I would like to thank all of those who were able to attend the Safety Through Partnership Conference, held in Toronto on November 27 and 28, 2000. I also wish to thank NAVCANADA for contributing to the organization and co-sponsorship of this important event.

I believe that the conference was instrumental in forging a commitment between government and industry to cooperatively identify and manage key safety issues by:

- moving toward a performance-oriented, risk-based approach in managing safety performance;
- paying greater attention to human factors in an effort to prevent future aviation occurrences;
- applying safety management systems to more proactively manage safety; and,
- sharing safety-related information through partnerships of Transport Canada with industry.

I look forward to continuing our dialogue in pursuit of the above objectives and I am pleased to attach the full conference report which includes both a synthesis of the results and a detailed account of the participants’ thoughts and suggestions.
This year’s Canadian Aviation Safety Seminar (CASS) 2001, to be held in Ottawa from May 14 to 16, will present an excellent opportunity to maintain the momentum created in Toronto as we seek more effective and collaborative ways of working together in raising the safety bar.

We will provide you with details of Transport Canada’s Action Plan in the coming months. I look forward to your continuing involvement and contributions in this regard.

Sincerely,

[Signature]

William J.S. Elliott

Attachment
Safety Through Partnership:
Ideas and Approaches

A synthesis of the findings of the
Safety Through Partnership Conference of
November 27 & 28, 2000
Toronto, Canada
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Annex A “As-It-Was-Heard” Report
A. Executive Summary

The Safety Through Partnership Conference was held in Toronto on November 27th and 28th, 2000. This was a unique opportunity for some 120 industry and government executives to collectively identify the key safety management challenges they face and propose meaningful action plans in a facilitated search conference format. Participants also heard from recognized experts in the fields of safety management and corporate liability.

Conference participants concluded that there is a growing need for:

- sharing safety data and information to improve effectiveness;
- integrating safety management into core business practices; and,
- forming partnerships to enhance safety performance collectively.

Participants committed to defining the features of Safety Management Systems, and to continue to expand communications. They also committed to exploring collaborative safety management activities.

In the near term, there was a commitment to build on the momentum of this successful conference. Many of these actions will be pursued in more detail at Transport Canada’s Canadian Aviation Safety Seminar (CASS), May 14-16, 2001 to be held in Ottawa. The theme is “Making Safety Management Systems Work in the 21st Century - Something for Everyone”.

Concurrently, efforts are being made to carry out some of the key actions described in this report.
B. Background on the Safety Through Partnership Conference

The need for partnerships and the co-operative management of safety has increased significantly as a result of the commercialization in recent years of key parts of the aviation system.

In our modern aviation system, government and industry must seek opportunities to continually improve the safety of the system. Safety management is widely believed to be the final frontier in accident prevention.

*Flight 2005* includes Transport Canada’s strategic vision for regulating and managing safety in aviation through partnership with the industry. The benefits of achieving “safety through partnerships” have been recognized as valuable and desirable by Transport Canada and NAVCANADA, who already have close ties with many in the aviation community.

The *Safety Through Partnership Conference* was a search conference. It was designed to translate a diversely understood issue - safety management - into an industry-wide action plan. The process resulted in an examination of the challenges of implementing safety management during these times of change. Common themes were identified, given priority through Pareto vote, and clearly defined before participants identified actions (with controls such as target dates and responsibilities) to move forward on the core issue.
C. Speakers’ Key Messages

**Margaret Bloodworth**, the Deputy-Minister, set the context for the conference by declaring that Transport Canada is committed to a different way of regulating. Under performance-based regulations, stakeholders will demonstrate their actual safety performance.

**John Abramson** clearly demonstrated that proactive safety management is a legal and business imperative. The inter-dependent nature of aviation makes safety management an obligation everybody in the industry shares.

**Dr. José Blanco** illustrated that the only way the industry can proactively build safety into our collective professions is to know and manage operational, organizational and human factors. Building and operating safety management systems can best accomplish this. When implemented, they will improve business performance.

**Dr. John Lauber** concluded by drawing on examples from a diverse career in aviation to illustrate the importance of system safety. He presented a compelling case for the proactive management of safety through effective partnerships.

**Mr. John Crichton** concluded the conference by commending the participants for their involvement in what he was sure would be judged a pivotal milestone in Canadian aviation.
D. Issues Development

a) Moving Toward a Positive Safety-Oriented Culture

Conference participants identified the development of a positive safety-oriented culture as a key management challenge for the aviation industry.

A company with a positive safety culture is one whose managers and staff share the commitment, values and behaviours to always improve safety as a business imperative.

Conference participants recognized the need for free-flowing safety-related information throughout the aviation industry. They also identified the important role that training will play in introducing safety-risk assessments into operational and business practices. These initiatives will need the commitment of both the regulator and industry executives.

Conference participants identified the need for the following key actions:

- the development of an industry-wide code of ethics;
- the development of an industry-specific safety policy and code;
- the promulgation of the individual company’s specific policy and code;
- the development of industry-specific safety performance measures; and,
- the delivery of industry-wide safety seminars.

With support from senior management, there will be a commitment to collect and share information, and to improve safety management skills. The subsequent competencies will translate into behaviours that will, over time, improve safety culture, and safety performance.
b) Management and Sharing of Safety Data and Information

Conference participants recognized that current data collection and analysis is inadequate and is not standardized. They further acknowledged that improvements in the identification and measurement of risk and safety issues are critical to effective safety management.

Participants discussed the establishment of a common approach to the collection and analysis of data by the aerospace industry and Transport Canada. They recognized this to be a key to improved safety management.

Conference participants also clearly indicated that Transport Canada must establish and support a non-punitive approach to occurrence reporting. Only then will the Canadian aerospace industry embrace the type of open reporting that fosters cultural change and improvements in safety management. The key to a holistic approach to safety management and improved safety performance lies in improved data collection and sharing throughout the sector, based on standardized terminology.

Participants identified the creation of a joint industry and government task force on safety data as the first step. The mandate of the task force would be to create an inventory of safety data, identify critical gaps, and to make recommendations for improvements.

In conclusion, participants felt that good safety management is dependent on the free flow of information.

c) Safety Management Orientation, Education and Training

Conference participants recognized that proactive safety management concepts need to be translated into practical applications.

Safety management practices will need to be integrated into core business competencies through the development and delivery of skills-based training programs.

Conference participants identified the need for the following key actions:

- the development of a performance standard for safety management system training;
- the conduct of an industry-wide needs analysis;
- the delivery of presentations by industry associations; and,
- the development of a web-based support system.

The implementation of these initiatives will yield returns to the aviation industry that will be measured by improvements in business and safety performance.


**d) Design and Implementation of a Safety Management System**

Conference participants advanced the idea that Safety Management Systems could provide a proactive way to systematically manage safety in a way that is appropriate to the needs of an organization.

Safety Management Systems are grounded in a corporate-wide safety policy. Safety-related procedures focus on the most safety-critical aspects of a company’s operation. Risk assessments are practical, and provide measures to direct the expenditure of resources. Safety Management Systems promise to integrate recent initiatives such as human factors, safety-risk assessment and safety measurement into day-to-day business practices. Safety Management Systems focus on safety performance.

Conference participants identified the need for the following key actions:

- the development of common definitions for application throughout aviation;
- the identification of governing principles and industry specific key features; and,
- the development of implementation plans within the industry, and for each company.

In other words, Safety Management Systems are the key to effective safety management and improved safety performance in the future.

**e) Partnerships, Communication and Networking**

Participants recognized that aviation safety depends on the interaction of many stakeholders. Ongoing communication and dialogue on safety management issues between industry and Transport Canada is critical.

The foundation of effective safety management is the development of a communication framework that links stakeholder groups in both industry and government. Such a framework will foster interactive communications using various media, involving all stakeholder groups, both large and small, and will include training and educational institutions.

Conference participants identified the need for improved communications. In particular, participants advocated an aviation safety website. They suggested that Transport Canada maintain the website and industry participate by contributing and more effectively exchanging information.

Conference participants concluded that raising the safety bar meant more effective and inclusive ways of communicating with each other. Mutual trust and open exchange of information and data will lead to more meaningful safety management partnerships.

While the *Safety Through Partnership Conference* has achieved the first step toward more meaningful dialogue, CASS 2001 will provide a good opportunity to further discuss the establishment and enhancement of partnerships.
f) **Roles, Responsibilities and Accountability**

Participants discussed the defining of roles, responsibilities, and accountabilities necessary to manage safety pro-actively within an organization, as well as the clear lines of accountability between the various stakeholders in the aviation system (e.g., Transport Canada, NAV CANADA, operators, manufacturers, unions, etc.).

Conference participants identified the need for stakeholders to take collective responsibility for the safety of the aviation system. The highest levels within an organization must be responsible for safety. There may be an opportunity to enhance safety management by increasing accountability for safety through alternate, non-regulatory means.

Participants recommended the following key actions:

- the establishment of a stakeholder steering committee to clearly define the roles, responsibilities, and accountabilities for safety management both within organizations and between the stakeholders; and,
- the examination of the best practices of companies, organizations and regulators in the application of safety management.

The definition of roles, responsibilities and accountabilities is linked to the overall design and development of Safety Management Systems. Participants observed that these definitions will evolve from a common understanding of safety management. Ownership of and commitment to safety management within the aviation community will require clearly defined roles, responsibilities and accountabilities.

g) **Resources**

Conference participants highlighted the need for resources to be allocated to improve the management of safety throughout the aviation transportation system. There is a requirement to show that allocating resources towards aviation safety brings a positive return on investment. This will help to change an industry-wide perception that allocating resources to safety is costly and done at the expense of efficiency.

Participants felt that the following factors should be considered when developing plans to address this issue:

- the implementation of Safety Management Systems and their associated sub-components (risk management, etc.) could result in the identification of an increased requirement for more resources;
- small operators may have difficulty in finding the necessary resources due to the inherent nature of their operating environment; and,
- government incentives/programs to help provide additional funding to the industry may prove difficult due to ongoing constraints on the public purse.

A proactive safety management program combined with a systematic approach to risk management will illustrate where safety resources are best allocated within each organization.
Moreover, the overall results will help to illustrate the positive returns on investment in aviation safety.

**h) Approaches to the Regulation of Safety Management**

Conference participants raised the question of whether to require Safety Management Systems in regulation or not; and, if so, what kind of regulatory approach should be pursued.

A number of approaches were inferred:

- No regulation: safety management requirements are not prescribed or mandated in any form.
- Self-regulation: individual firms regulate themselves.
- Private regulation: this option requires setting up or making use of sector associations responsible for the codification and policing of its members safety management practices.
- Public regulation: this involves mandating safety management requirements in legal instruments.

The question of whether or not to regulate safety management requirements remains, and will require further research and dialogue with all aviation stakeholders.
E. Key Actions

The following key actions were identified, in relation to the themes developed at the conference:

a) **Moving Toward a Positive Safety-Oriented Culture**
   - Develop and promulgate industry-wide safety management policy, code of ethics and safety performance measurement framework.
   - Deliver targeted seminars with a focus on safety management.

b) **Management and Sharing of Safety Data and Information**
   - Create a joint industry-government task force for the development of a safety data strategy.

c) **Safety Management Orientation, Education and Training**
   - Develop a performance standard for the delivery of safety management training.

d) **Design and Implementation of a Safety Management System**
   - Develop common definitions and principles for Safety Management Systems accompanied by an implementation plan.

e) **Partnerships, Communication and Networking**
   - Continue with on-going dialogue and collaborative activities, e.g. CASS, STP, joint-committees, task forces, safety reviews, development of a joint industry-government website, etc.

f) **Roles, Responsibilities and Accountability**
   - Pursue the clarification of roles, responsibilities and accountabilities as a prerequisite for fostering ownership for safety management.

g) **Resources**
   - Promote risk-based decision-making practices as an effective means for allocating resources to safety management.

h) **Approaches to the Regulation of Safety Management**
   - Conduct consultations and dialogue among stakeholders aimed at identifying the most appropriate means to implement safety management.
F. Conclusions

The key actions emerging from the *Safety Through Partnership Conference* point to much work ahead.

The results of the conference underscore the need to work together to advance aviation safety. This will necessitate greater collaboration to manage safety more proactively by forging partnerships, communicating more effectively, sharing safety information and focusing on safety management performance.
ANNEX A

NAV CANADA / Transport Canada

Safety Through Partnership

“As-It-Was-Heard” Report

November 27-28, 2000
Toronto
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Background to this Report – What is an “As-It-Was-Heard” Report?

**Definition**

The following report constitutes an “As-It-Was-Heard Report”. It is the faithful transcription of what was captured by the facilitators at the Safety Through Partnership conference. No editing was done to this report, nor permitted, other than adding some formatting to match the different phases of the facilitated session, or to reflect the process used. As a record of a facilitated session, this type of report format is much like a transcript or a verbatim report, except that it relates only to what was captured by or in the medium used, in this case the flipcharts.

**Purpose**

The purpose of an “As-It-Was-Heard Report” is threefold:

- It is sent to the participants of the Conference to reassure them that what they said was actually heard and captured.
- It will be used as the source document for developing a more focused synthesis report to be available in January, 2001.
- It can act as a continuing source of ideas for the participants in the session, over time.

**Cautions**

- Many things are noted during a work session that may appear out of context later on. This report is the transcribed ideas of the participants of the conference only, and is not meant to constitute policy.
- The facilitators have ensured that the words of the participants were recorded on the flipcharts during the conference work sessions. Should you, as a participant in the conference feel that an idea was misrepresented, we encourage you to contact us, so that we may issue a corrected copy. Please note that your intervention must be aimed at accuracy of reporting rather than at editing the text.

Thanks for your participation.
Issue Analysis: Group 1

Issue Statement:  Improving Safety Management in Canadian Aviation

1. How to focus SMS
2. How to define safety management
3. I wish we could have a standard vocabulary
4. I wish for legitimacy for employee representatives (partnership)
5. I wish for better safety data and information
6. I wish for sharing of information, issues and best practices
7. I wish for staff to share information
8. I wish independent small airports had the ability to organize SMS
9. How to head off litigation to prevent the shutdown of information sharing
10. I wish to quantify risk properly
11. How to make mitigation in line with risk
12. How to make safety in legislation, not contracts (duty time)
13. I wish for specific definitions
14. I wish for standard, world-wide performance measures
15. How to get people to report occurrences before they become incidents
16. How to get people to come forward with information
17. How to take action without using a legal “hammer”
18. How to get sections of the organization to move on issues
19. How to get focus on being proactive, not reactive
20. How to make “safety” more than accident statistics
21. How to protect whistle-blowers
22. How to overcome the perception of being pushed by regulators
23. How to pay for safety
24. How to gauge public perceptions
25. How to agree (industry and Transport Canada) on what is a safety issue, what is public perception
26. I wish Transport Canada was not seen as the enemy
27. How to deal with the real burdens on the industry; with perceived burdens
28. I wish to know how to measure safety
29. How to change culture
30. I wish for more responsive and timely response: more efficient (CARAC)
31. How to take collective responsibility
32. How to build safety goals, SMS in a company
33. How to encourage people (employees) to record problems
34. How to make all of the people in a company focus on safety issues
35. How to not make safety “token”
36. I wish the top person was responsible for safety
37. I wish regulations did not tie the hands of the CEO to manage properly
38. How to share the responsibility for safety between Transport Canada and regulators
39. How to overcome problems in smaller parts of the industry
40. I wish smaller players had access to the same tools as the larger operators (e.g., measurement)
41. I wish all players in the industry were able to attend important meetings
42. I wish major decisions were not skewed by only large players and organizations
43. I wish small players had the resources to participate in meetings, consultations, etc.
44. I wish for a better communication system
45. How to identify key meetings

Themes

1. Tools
   • To identify risks, perceptions
   • Hazard identification
   • Streamlining of tools, standards, etc.

2. Data and Information
   • Standard
   • Distribution to all players
   • Flow of information from industry to Transport Canada
   • Dealing with Access to Information
   • Upward data flow in the organization

3. Common Definitions
   • Common scope and criteria for “acceptable” risk, not just accidents (accidents vs. incidents)

4. Roles and Responsibilities
   • Reporting of information freely, without retribution within organization
   • Associations, unions, industry, Transport Canada, employees, CEOs and Boards
   • Bargaining vs. regulation in safety

5. Equal Access and Participation
• Resources
• Involvement in consultations
• Mechanism to be more effective
• Inclusiveness, access: involvement of all stakeholders
Group 2

**Issue Statement:** *Improving Safety Management in Canadian Aviation*

1. I wish for more efficient communications between management and employees (link decision maker to operator)
2. I wish for better communication between clients and stakeholders
3. I wish for better communication between the regulated and the regulator
4. I wish for better communication among government departments
5. I wish we had the freedom to report and communicate without fear of reprisal
6. How to convince the industry that safety can indeed be managed
7. I wish industry managers would understand and evolve from status quo
8. How to show benefits
9. How to sensitize and impress upon boards of directors and senior managers the SMS philosophy
10. I wish the risk-based approach was better understood across the board
11. I wish for an incentive to report hazards and risks
12. I wish for a means to self-audit that addresses all players in the organization
13. I wish for a system to gather, collate and analyze safety data
14. I wish to share safety information, data and analysis with all players
15. How to train “managers”, especially those hired from technical ranks
16. How to engage the “academic” world in advancing concepts throughout the industry (involved as part of the solution)
17. I wish to inform and educate *ab initio* aviation personnel on actual and real safety issues and risks, especially regarding consequences
18. How to change the prevalent “necessary evil” safety culture (meeting the minimum)
19. How to share SMS and best practices across modes or among industries
20. I wish for all players and aviation sectors to come together and achieve a better and more formal understanding of SMS (more integrated)
21. How to maintain a level of awareness and energy behind the SMS effort
22. How to select from the volume of safety information that information that will be the most effective in managing safety
23. I wish to draw on best practices of established management systems
24. I wish to educate and communicate, top-down and bottom-up
25. How to shift and evolve from quality control to auditing the auditors, without unconsciously damaging a good system
Themes

1. Communication
   - Data
   - Imparting knowledge (best practices)
   - Training
   - Sensitization
   - Integration

2. Culture
   - Philosophy
   - Policy and principles
   - Procedures and practices
   - Non-blaming
   - Reporting culture
   - Accountability (ownership)

3. Resources
   - ROI
   - Incentive to allocate

4. Overcoming Fear (Communication)
   - Cost
   - Legal
   - Lack of knowledge
   - Lack of leadership

5. Change
   - Build on past: practical
   - Systematic management
   - Link to success
   - Abstract to concrete
Group 3

Issue Statement: Improving Safety Management in Canadian Aviation

1. How to define the structure
2. How to establish a base level of understanding
3. How to integrate human and organizational factors
4. How to see the world through the same lens
5. How to have common reporting formats for incidents
6. How to determine the problem
7. How to determine why we have the problem; how to fix it; how to measure if the remedy is working
8. How to get performance regulation that targets system safety
9. I wish people would find out what it is all about
10. I wish for a more quantitative system to determine how we stack up
11. I wish I could delegate more to the industry
12. I wish we could be more open and honest with the public
13. I wish I had more faith in the media for a balanced assessment
14. I wish I could focus more on safety than on compliance
15. How to move from “individual” attention to “system” attention
16. How to move from talk to action
17. How to demonstrate that risks have been understood, and the reasons
18. How to get the partnership going
19. I wish the industry would come up with common practices
20. How to share safety-related data
21. How to use methods other than punishment to increase accountability
22. How to get safety to permeate all levels of an organization
23. I wish for a director of safety to be appointed to boards of aviation companies (Boards of Directors)
24. I wish corporations would have a safety target in their business plans
25. I wish for financial directors to take safety into account in assessing risk
26. I wish for an integrated risk management approach in aviation
27. How to measure safety performance
28. How to measure the financial benefits of improved safety
29. How to deal with “smoking gun” documents
30. How to identify “smoking guns”
31. I wish I could define safety partnership and prioritize top actions
32. How to convince the public and media that partnership is “good”, not “bad”
33. How to get unions and management to speak collectively
34. I wish I could convince my fellow board members about safety
35. How to get regulators to listen to experienced operators and use their advice
36. How to manage the media
37. How to make safety management explicit in a litigious environment
38. How to prevent driving safety underground

Themes

1. Common Understanding of Risk and Risk Management
   - Common definitions
   - Common measurement

2. Establishing an Industry-Government Safety Culture
   - Sharing of safety data
   - Identify an accountable executive
   - Participation by unions and management
   - Permeate through all levels

3. Education and Communication: Public and Media
   - Public relations training
   - Ability to communicate openly and honestly
   - Partnership “good”, not “bad”

   - Human activities
   - Methods other than punishment
   - Error management
   - Regulator is a player
Group 4

Issue Statement: Improving Safety Management in Canadian Aviation

1. How to identify risk factor management
2. I wish to standardize risk assessment and reporting to the industry level
3. I wish to extend aviation principles to the industry level
4. I wish for a common understanding across the industry of what aviation safety means
5. I wish to universally adopt key phrases
6. I wish to create a mission statement that establishes a culture
7. How to get the operational component to buy into a safety culture
8. I wish to enhance the cooperative and non-punitive approach to solving safety problems
9. I wish for a safety culture predicated on the basis that people want to do right
10. I wish the link between safety management and efficiency/profit had been demonstrated better
11. I wish to spell out accountabilities, incentives and performance measurements for all involved in the system
12. I wish to make safety planning part of the business planning process
13. I wish safety and profitability were synonymous
14. I wish for adequate risk assessment
15. I wish for balance between effective and efficient for safety programs
16. I wish for the safety culture to be robust to withstand the test of scrutiny
17. I wish regulators would allocate resources based on priority of risk
18. I wish safety management were simpler
19. I wish for a minimum standard for safety management systems (in all companies)
20. How to put in place an effective safety information gathering and sharing system
21. I wish for a non-punitive and cost-effective information system
22. I wish that high level public officials would understand that taking risk is part of the business
23. I wish the media would communicate with us (educate the media)
24. I wish the culture of safety management was extended to aerospace suppliers and vendors
25. I wish for an educated public that understands that risk is part of life
Themes

1. Standardization of Safety Management Information
   • Data reporting and collecting

2. Society’s Acceptance and Adoption of SMS Philosophy
   • Accountability and performance measurements
   • Opinion leaders, employees, managers, owners, shareholders, traveling public

3. Simplify Safety Management
   • More levels of buying-in

4. Communications and Respect
   • Cuts across all levels
   • Expand power of communications
Group 5

**Issue Statement:**  *Improving Safety Management in Canadian Aviation*

1. I wish we had an integrated way of managing human factor error in all aspects of aviation safety
2. I wish we had a quality database to work with for proactive reasons
3. I wish we could agree on a goal of zero fatalities
4. I wish we could agree on a fair and open process that meaningfully involves the traveling public
5. I wish a minimum percentage of income be set aside for training issues
6. How to report annually on the condition of aviation safety
7. I wish for a more structured interface between participants in aviation safety (e.g., NAV CANADA, airports)
8. How to break down the silos
9. I wish for less government intervention into their own departments on departmental budgets
10. I wish to educate pilots to try to avoid some mistakes that occur over and over again
11. How to get an aviation safety culture common to the industry
12. I wish for more informed media and public
13. I wish for better communications with the public regarding accident investigations
14. How to have more government-user coordination on issues: meetings
15. I wish for a better system to measure return on investment
16. How to count the accidents that don’t happen
17. I wish for a common database for incidents
18. How to define carelessness, judgement, etc., regarding human factor error
19. I wish we could drive fear out of the equation when talking safety
20. How to have no-fault reporting
21. How to remove the disincentives and stress the benefits of reporting
22. How to meet the need of senior management for training on the risks of not meeting requirements for SMS
23. I wish the CTSB had enough budget to investigate accidents
24. How to focus on trends and generic causes of accidents
25. How to develop a safety culture in the 3rd-tier operations in an uncontrolled environment
26. How to improve the respect of regulations
27. I wish we had more teeth to deal with off-airport control (people who attract bird hazards, etc.)
28. How to deal with zoning issues
29. I wish there was a technology in aircraft to provide information on WX, ACFT proximity
30. How to make that technology available to all air carriers for more widespread use
31. How to increase the use of TCAS
32. I wish noise abatement would be examined more seriously rather than being driven by politics
33. I wish there was an aviation code of ethics
34. I wish senior executives would take into account the long-term effects of existing safety issues in the system
35. I wish TCAS had a zero rate of false alarms
36. How to rationalize the mix of IFR and VFR traffic at airports
37. How to incorporate training on the 4 Ps
38. I wish for less pressure on pilots to fly in WX that's unsafe
39. How to give pilots the ability to say no without the risk of losing their job
40. I wish for more young people coming into the industry: all aspects
41. I wish to balance new technology with HF
42. I wish for more training on new technology
43. I wish for flight instruction would become a profession vs. building time
44. I wish for a pay raise (money) for instruction
45. I wish for more emphasis on professionalism
46. I wish for a safety manifesto signed by key industry leaders
47. I wish for more professionalism in making decisions on WX
48. I wish for a way to deal with violations due to pressures (WX limits)
49. I wish we had more CAT 3 operations at major airports and regional airports
50. I wish for more pressure to have more GPS approaches developed
51. How to deal with older aircraft in fleets
52. I wish for more education of consumers regarding the age of aircraft
53. I wish for more aircraft to be equipped with GPS
Themes

1. Training
   • Pilot education
   • National standards for training
   • Formal certification in other areas (equipment operators, management)
   • Decision making
   • How to define training

2. Technology and Equipment
   • Onboard technology
   • Airspace management infrastructure
   • Standards and requirements for…
   • Integration of technology and people in all sectors of the industry

3. Regulation and Policy
   • Standards
   • Need to be responsible and cost-effective
   • Address a real need
   • Result of consultation process

4. Information
   • Common information, management database
   • Common language in all areas
   • Distribution of timely safety information

5. Communication
   • About an atmosphere of no-fault reporting
   • And increase public and media awareness
   • Amongst air carriers, airport authorities, regulators
Group 6

**Issue Statement: Improving Safety Management in Canadian Aviation**

1. I wish for meaningful consultation, better identification of problems
2. I wish for on-site consultation with carriers
3. I wish for more and better quality data (occurrences)
4. I wish to capture unrecorded occurrences
5. I wish SMS data could be shared to prevent other carriers experiencing the same problem
6. How to keep data confidential
7. How to build a partnership network among regulators, providers and industry: education
8. I wish we walked together (see above for parties)
9. I wish for a more formal linkage between all parties and the client
10. I wish for more meetings
11. I wish for the meeting structure to be different than CARAC
12. I wish for more exploratory meetings
13. I wish for the focus not to be strictly on rule making
14. How to overcome the reluctance to discuss safety issues in public
15. How to regulate only after a clear problem has been identified
16. I wish people didn’t automatically hold up rule making as the only response to an issue
17. How to consult and look for good safety operating procedures
18. How to set criteria for good safe operating procedures
19. I wish human factors were defined in terms of what they’re not (limitations)
20. I wish we defined what we have achieved as well as what we can achieve
21. How to get politics out of the loop
22. I wish there were enough resources to deal with SMS issue
23. I wish for resources to identify potential risks to operators (safety and operational concerns)
24. I wish we could do more than minimum requirements
25. I wish to put training as a high priority in the organization
26. I wish to train pilots on how weather affects them
27. How to understand what expertise is available
28. How to access it
29. How to prevent waste due to duplication of safety training available through the industry and Transport Canada
30. How to eliminate inconsistency

31. How to eliminate competition between Transport Canada and the industry by removing Transport Canada from training if provided by the industry

32. How to improve delegation

33. How to define delegation

34. I wish to leave statistical analysis to those who have a thorough knowledge of the process and an established academic record (minefield)

35. How to avoid misinterpreting statistics

36. I wish for a greater understanding of the relationship between organizational factors and safety risk

37. I wish for public endorsement of current risk management policies

38. How to get that public endorsement

39. I wish for a considerably lower number of runway incursions

40. How to engage in a multi-disciplinary approach to managing safety risks and deficiencies

41. How to motivate people to want to work together to find best singular situation

42. How to build trust

43. I wish for more meetings like this

44. I wish to have this in Yellowknife

45. I wish for a meeting in July in Yellowknife

46. I wish for a common understanding of risk priorities

47. I wish for a common, accepted and organized way to measure the safety performance of the average organization

48. I wish for GPS approaches to be approved immediately

49. I wish training in SMS was more commonly available

50. I wish training was available in Yellowknife and across the country

51. I wish training by alternative means was available

52. I wish I had a better way to manage risks linked to organizational change (e.g., key employees)
Themes

1. Stakeholder Education and Awareness
   - Of public too
   - Training
   - Innovative ideas
   - Avoid duplication
   - Comfort
   - Availability
   - Delivery of training

2. Data Capture, Measurement and Analysis
   - Sharing
   - Non-punitive way

3. Improved Communication, Networking and Partnership
   - Work as a team
   - Keep people apprised of our good safety record
   - Share best practices

4. Regulation vs. Safety Management
   - Address specific issues identified by Transport Canada clients
   - Re-examination by Transport Canada of client needs
   - Self-regulation and self-inspection

5. Safety-Oriented Culture Change
   - Motivation
   - Collaboration
   - Trust
   - Sharing
   - Integrated safety (systematic approach)
   - Innovative ideas

6. Working Smarter with Tighter Resources
   - Realignment of resources
   - Delegation of authority to industry
   - Shared costs
   - Innovative ideas
   - Risk-based approach to resource allocation (broader definition)
Group 7

**Issue Statement:** Improving Safety Management in Canadian Aviation

1. How to develop a common language that partners agree on
2. I wish to see a common set of 4 Ps by each partner
3. I wish to incorporate what our front end knows into procedures and policy
4. How to remove the fear of retribution
5. How to increase openness and sharing (individually and at the group level)
6. I wish for acknowledgement of human error
7. How to cope with education and training within the regulatory framework
8. How to get the industry to accept more responsibility
9. How to build capacity in smaller enterprises
10. I wish for a reward and incentive program
11. I wish for educational sources for safety management training
12. I wish for clear and stated accountabilities
13. I wish for greater public education
14. I wish for clarification of personal, public and industry accountability
15. How to design organizations based on what people do
16. I wish senior management was aware of the impact of organizational design on safety management
17. I wish there was an awareness of HR systems on safety
18. How to trend analyze from existing data
19. How to instill, at the initial level, the importance of safety
20. How to integrate safety throughout the education process
21. How to create a better safety management culture
22. I wish to improve working conditions and environment
23. How to get strong individuals to buy into a collective approach to safety
24. I wish to remove levels of “stovepiping”
25. How to identify the key components of the partnership development process
26. How to make safety a superordinate goal
27. I wish that we recognized the fact that there are busy and quiet periods: not consistent
28. How to award rewards and incentives promoting safety
29. How to build in prevention in safety management: less reactive
Themes

1. Implementing Safety Management Systems (Design)
   - Buy-in to collective approach
   - Identify components of partnership
   - Front end proceeding into policy
   - Traffic periods: implementation and recognition

2. Human Factors
   - Acknowledge human error
   - Reward and incentive program
   - Remove fear and retribution
   - Focus rewards and incentives on safety
   - Improve working conditions

3. Communication
   - Increase openness and the sharing of information
   - Integrate safety through education
   - Instill at an early level
   - Develop a common language

4. Education
   - Develop an educational source for safety management
   - Integrate safety through education
   - Increase the quality of public education
   - Increase training and education in regulatory frameworks

5. Accountability
   - Clear and stated accountabilities
   - Defined for all personnel
   - Consistent at all levels
Group 8

**Issue Statement:** Improving Safety Management in Canadian Aviation

1. I wish we didn’t find the same factors over and over in aviation accidents and incidents
2. I wish we didn’t have our own separate silos of safety information and investigation
3. How to share best practices
4. I wish we could find ways to break down the adversarial attitudes that exist amongst the main stakeholders
5. I wish safety wasn’t politicized (i.e., partisan interests)
6. I wish we could get over the volunteer reporting amnesty issue
7. How to measure the effectiveness of safety management
8. I wish that Transport Canada would reject the fallacy that more regulation equals more safety (the thought that individual business can’t react quickly enough)
9. I wish that regulatory amendments were data driven
10. I wish we (Transport Canada and others) could do a better job of disseminating data
11. I wish we had a data-based industry that collects and disseminates information
12. How to move away from a “blame” culture
13. I wish corporate management would more consistently understand and demonstrate their role in safety (ditto regarding unions and employees)
14. I wish the issue of personal liability for directors, officers and agents would go away
15. I wish that legal concerns would not impede safety improvements
16. I wish that the ministry would not overreact to the media
17. I wish the media would not exaggerate safety issues to sell papers
18. How to educate the media and external stakeholders (e.g., SMS and processes)
19. How to resolve multi-faceted safety issues involving diverse stakeholders (who takes the lead?)
20. I wish we could have a more progressive audit system where we learn to manage or correct our safety issues more effectively
21. I wish that there was a better way to “cross-pollinate” best practices: qualify “industry auditors”
22. How to find a means to avoid industry competitiveness preventing the sharing of safety issues (e.g., best practices, data)
23. I wish everybody in aviation would consider the long-range view when dealing with safety issues
24. How to change the culture
25. I wish government and industry would better define safety program and systems
26. How to balance productivity and safety objectives

**Themes**

1. **Sharing of information**
   - Open communication
   - Trust
   - Non-punitive
   - Accessibility

2. **Decision Making**
   - Information-driven
   - Involves multiple stakeholders (such as corporate, government, labour associations)
   - Insulate from media, legal politics
   - Consider the long term
   - Prioritize
   - Benefit-cost analysis

3. **Safety Culture**
   - Role of regulator
   - Corporate executive
   - Cultural change
   - Learning vs. blaming
   - Cooperative vs. adversarial
   - Substance vs. impressions

4. **Safety Performance Measurement**
   - Leading vs. lagging indicators
   - Incentives
   - Measuring the effectiveness of SMS
Group 9

Issue Statement: Improving Safety Management in Canadian Aviation

1. How to improve the collection of information
2. How to change information into usable data that can be analyzed
3. How to improve the dissemination of data (timely)
4. I wish we had a reporting culture
5. How to identify the reporters of information
6. How to get around corporate confidentiality issues (competitiveness)
7. I wish we could provide “privileged” information without the threat of prosecution and the discovery process
8. I wish I could provide information without fear of release under ATI
9. I wish we had better analysis of data that is collected
10. I wish there were motives to gather data
11. I wish there were standards for collection (databases) and analysis
12. I wish we had a competitive safety culture
13. I wish we could discuss safety in public: media, G.P.
14. I wish we celebrated the positive safety record: in the media, in the company
15. I wish safety officers always reported to the CEO
16. I wish we had better training (Q.A., safety management)
17. I wish management listened to the people in the company
18. I wish we had a yearly Canadian symposium on incursions
19. I wish we had more Canadian expertise
20. I wish Canadian universities had programs in aviation and safety management
21. I wish we had curriculum standards and accreditation
22. I wish we had funding for #21
23. I wish we had funding to have people attend courses
24. I wish I knew what were good courses for my training budget
25. I wish we communicated the benefits of a human factors approach rather than command and control
26. I wish we had a safety charter clearly understood by all
27. I wish all policies matched the safety charter
28. I wish unions and management agreed on safety issues
29. I wish every proposal had a safety audit/risk management component
30. I wish we recognized that safety costs money
31. I wish the public recognized #30
32. I wish we communicated #30 to the public
33. I wish crane operators around airports knew the legislation: communication and education
34. I wish people did not use “we have not had an accident” argument
35. How to keep performance at the certification stage (monitoring)
36. I wish we thought of the application to small companies, not just medium and large
37. I wish management acknowledged human error and focused on management

Themes

1. Education
   - Available courses
   - Standards and curriculum
   - Expertise
   - Financing
   - Safety culture

2. Company Support
   - Executive commitment
   - Reporting culture
   - Business planning: integrated
   - Financing
   - Safety culture: good business
   - Risk management

3. Communication
   - Policies and procedures: risk management
   - Public awareness and media education
   - Employee awareness
   - Safety is good business

4. Data
   - Reporting culture
   - Measurement
   - Standards
   - Immunity and indemnity
   - Timely
   - Integrity
   - Access: users, research, custodian role
   - Purposes of collection: safety only, ATI
   - Sharing: lessons learned
   - Analysis: risk management
Group 10

**Issue Statement: Improving Safety Management in Canadian Aviation**

1. I wish for less negative motivation in the context of audits once something has gone wrong: I wish for positive reinforcement
2. I wish there was senior management commitment to a safety management system
3. How to make senior management accountable for safety management
4. I wish for the accountability of senior government management in safety management
5. I wish we could fast-track priority safety issues within the company and government
6. I wish we could meet more often until then to address safety quickly
7. I wish for less competitive offloading or divesting of responsibility: passing the buck
8. I wish there was a clear understanding of what is required in an SMS
9. I wish I could get SMS into some companies (air taxi)
10. I wish Transport Canada had more experienced inspectors in certain areas
11. I wish there were not recruitment and retention problems with regard to inspectors
12. I wish there was more sharing of information among common operators: more cooperative
13. I wish there was better communication between operators and regulators
14. I wish we had more formalized arrangements or a forum of common operators to resolve like issues
15. I wish there were more familiarization flights for controllers
16. I wish more pilots could visit accidents
17. I wish pilots would view the training facilities at Cornwall
18. I wish for more buy-in and a cooperative perspective (e.g., for a like CARAC)
19. I wish there was more coordination from various disciplines
20. I wish to find out what is important
21. I wish there were more interactive Transport Canada communication processes (web site)
22. I wish solutions weren’t all-encompassing but allow flexibility for the user to develop their own solutions
23. I wish the purpose of a regulation was clear to have them address the underlying problem
24. I wish the politics were removed from the decision making as it does not make operational sense (Quebec-Ontario differences)
25. I wish we could reconcile the two presentations this morning
26. I wish I knew how to understand how we are going to ensure contractor service quality
27. I wish that my safety was guaranteed with connecting code-share partner airlines
28. I wish to see increased consideration from the public point of view
29. I wish we could build the public perspective into our processes
30. I wish we could link #29 with #23
31. I wish I knew how the maintenance organizations have adapted to the new technologies
32. I wish the SMS philosophy was incorporated into the training environment both initial and recurrent (FTU: Flight Training Units)

**Themes**

1. Communication
   - Sharing information
   - Common source
   - Coordination and collaboration
   - More available
   - Reconcile operators’ liability with respect to need to share safety data

2. Prioritization
   - Hard to do if information isn’t share or known
   - Competing agendas: can we get to a common agenda?
   - Objectivity required
Prioritized Themes (and Pareto Vote): Group 1

1. **Roles, Responsibility and Accountability (24)**
   - Transport Canada, associations, unions, industry, employees, CEOs and Boards, traveling public
   - Bargaining vs. regulation (deal within regulations vs. SMSs)
   - Clear, stated accountabilities (defined) and performance measurement
   - Consistent and at all levels

<table>
<thead>
<tr>
<th>Action</th>
<th>Who</th>
<th>When</th>
<th>Performance Indicator</th>
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</table>
| 1. Use CASS:  
  - Talk about SMS  
  - Invite bargaining units, associations, all stakeholders | Transport Canada | May 2001 | Document draft produced |
| 2. Define what R&Rs are by Steering Committee (including associations and other stakeholders) | NAV CANADA / Transport Canada (to set up Steering Committee) | September 2001 | TOR |
| 3. Researching R&Rs: practices of other countries (benchmarking) | CATCA / ACPA | March 2001 | Report |

2. **Resources (13)**
   - Realigned resources
   - Shared costs
   - Innovative ideas
   - Delegation of authority to industry
   - Risk-based approach to resources allocation
   - ROI
   - Incentive to allocate resources
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<tbody>
<tr>
<td>1. Implement standardized and systematic risk management process (in aviation context)</td>
<td>Transport Canada</td>
<td>January 2002</td>
<td>Policy</td>
</tr>
<tr>
<td>2. SMS training provided to small operators</td>
<td>Alberta Aviation Council (pilot project)</td>
<td>July 2001</td>
<td>Recommendations</td>
</tr>
</tbody>
</table>
Group 2

1. **Data and Information Management and Sharing (116)**
   - Timely sharing of information
   - Open, trusting, non-punitive
   - No-fault reporting
   - Standards
   - Capture, measure and analyze
   - Access to data: availability
   - Access to Information

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<tbody>
<tr>
<td>1. Prepare inventory of what’s currently available</td>
<td>Joint government-industry task force</td>
<td>By end of 2001</td>
<td>Prepare document (90% feedback)</td>
</tr>
<tr>
<td>2. Needs analysis</td>
<td>Joint government-industry task force</td>
<td>First half of 2001</td>
<td>Prepare report</td>
</tr>
<tr>
<td>3. Amend Aeronautics Act to enable non-punitive reporting system</td>
<td>Transport Canada in consultation</td>
<td>End of 2002</td>
<td>Royal Assent</td>
</tr>
</tbody>
</table>
| 4. Make data available on the World Wide Web | Agency responsible for collection of particular data + associations | As soon as available (some available now) | • List of all sites where information available  
• Number of hits  
• Effective search engine |
| 5. Develop databases | Transport Canada (lead) in partnership with stakeholders | 2003-2005 | • Data available through the internet  
• Compatible with statistical requirements of all stakeholders (ICAO, Stats Canada)  
• Query capable |
1. **Education, Training and Sensitization (71)**

- Formal certification from operators to Board Room
- Avoid duplication
- Integrating technology and people
- Standards (national) and curriculum
- All stakeholders
- Engaging the academic world and developing new sources
- Partnership as an open-ended process
- Financing (assistance and funds)

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<tbody>
<tr>
<td>1. Develop a performance standard for safety management system training</td>
<td>Regulator and industry</td>
<td>Before introduction of program</td>
<td>Have standards</td>
</tr>
<tr>
<td>2. Identify various levels at which education is required</td>
<td></td>
<td></td>
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<tr>
<td>3. Presentation at board level to get buy-in</td>
<td>Credible person at the board level (been there)</td>
<td>Budget planning time</td>
<td>Presentation complete</td>
</tr>
<tr>
<td>4. Identify a champion</td>
<td>Board</td>
<td>During or shortly after presentation</td>
<td>Person named</td>
</tr>
<tr>
<td>5. Presentation at association meetings (sensitize)</td>
<td>Safety Through Partnership delegates</td>
<td>Meetings: ATAC, AIAC, ACPA, CAC, AME symposia, BCAC and other councils</td>
<td>Presentations completed</td>
</tr>
<tr>
<td>6. Provide support to people introducing the program</td>
<td>Transport Canada System Safety</td>
<td>After development of program</td>
<td>Program report</td>
</tr>
<tr>
<td>7. Develop internet support system (WWW solution)</td>
<td>Transport Canada, NAV CANADA and associations</td>
<td>ASAP, ongoing</td>
<td>Information available on sites</td>
</tr>
</tbody>
</table>
1. **Regulation vs. Safety Management (10)**
   - Re-examination of client need by Transport Canada
   - Address the specific issues identified
   - Self-regulation and self-inspection
   - Regulations need to address real needs, be responsible and responsive
   - “The regulator as a player”
     (No action items were developed for this theme due to its low priority)

2. **Design and Implementation of an SMS (68)**
   - Systematic view of safety
   - Buy-in to collective approach
   - Identify components of 4 Ps
   - Simplify safety management
   - Specific and sophisticated hazard and risk identification tools
   - Build on past experiences
   - Practical

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<tr>
<td>1. Develop a definition for SMS agreed upon by the industry</td>
<td>Partnership</td>
<td>May 2001: CASS Forum</td>
<td>Clear definition and agreement</td>
</tr>
<tr>
<td>2. Identify key features of an SMS plan</td>
<td>Partnership</td>
<td>May 2001</td>
<td>Agreed upon template and clear identification of implementation plan</td>
</tr>
<tr>
<td>3. Develop implementation plan:</td>
<td>Individual stakeholders</td>
<td>End of 2002</td>
<td>Implementation plan</td>
</tr>
<tr>
<td>• Gap analysis</td>
<td>Individual stakeholders</td>
<td>End of 2001</td>
<td>Implementation plan</td>
</tr>
<tr>
<td>• Best practices survey</td>
<td>Partnerships</td>
<td>End of 2001</td>
<td>Up and running Agreements on framework</td>
</tr>
<tr>
<td>• Operationalize the plan</td>
<td>All</td>
<td>By 2003</td>
<td></td>
</tr>
<tr>
<td>• CARAC consultation on SMS regulatory framework</td>
<td>Partnership</td>
<td>Concurrently</td>
<td></td>
</tr>
</tbody>
</table>
1. **Safety-Oriented Culture Change (126)**

- Free, open flow of information, a reporting culture, no blame
- Permeates all levels (within and without)
- Executive commitment, support and accountability
- Integrated safety (systematic approach)
- Motivation, collaboration and trust
- Performance indicators

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<tr>
<td>1. Industry to develop a code of aviation safety ethics</td>
<td>Industry and government, task force, working group</td>
<td>May 15, 2001</td>
<td>Written document: Final draft</td>
</tr>
<tr>
<td>2. Write industry-specific safety policy and code</td>
<td>Industry associations, e.g., ATAC, CAMC</td>
<td>September 2001</td>
<td>Industry-specific safety code: the document</td>
</tr>
<tr>
<td>3. Write a statement of corporate safety policy</td>
<td>CEOs</td>
<td>December 2001</td>
<td>Signed company-specific safety policy</td>
</tr>
<tr>
<td>4. Development of performance indicators and measurement criteria</td>
<td>Industry associations</td>
<td>December 2001</td>
<td>100% industry participation</td>
</tr>
<tr>
<td>5. Design and present a series of aviation safety seminars</td>
<td>Transport Canada and industry</td>
<td>May 2001</td>
<td>Video, roadshow</td>
</tr>
<tr>
<td>6. Integrate sections of company dealing with safety issues (i.e., sep. pilots, mechanics and flight attendants)</td>
<td>CEO</td>
<td>May 2001</td>
<td>Common safety documentation</td>
</tr>
</tbody>
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Group 6

1. **Communication, Networking and Partnerships (53)**
   - Communicating policies and process: Cuts across all levels
   - Public awareness and media education
   - Involvement of small operators
   - Common understanding and language: Establishment of dialogue
   - Shared best practices
   - Work as a team
   - Keep public informed of our good safety record (openness)

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<tbody>
<tr>
<td>1. Create a medium to communicate Transport Canada and industry policy and process to all stakeholders</td>
<td>CEO creates framework for communication of safety policy (all):</td>
<td>November 2001 and ongoing</td>
<td>Framework document created</td>
</tr>
<tr>
<td>2. State corporate safety policy (by CEO) and effective two-way communication (internal, e.g., focus groups)</td>
<td>Associations agree on SM plan</td>
<td></td>
<td>Random survey of stakeholders</td>
</tr>
<tr>
<td>3. Produce guidance material on aviation SMS: Define language of aviation SMS</td>
<td>Transport Canada and industry (joint consultation)</td>
<td>April 2001</td>
<td>Booklet available</td>
</tr>
<tr>
<td>4. Produce annual safety plan to communicate to all stakeholders</td>
<td>CEO, industry associations, Transport Canada</td>
<td>End of next fiscal year</td>
<td>Have document: distribute</td>
</tr>
<tr>
<td>5. Recognize safety achievement and awareness and significant safety contributions (e.g., award for excellence in safety management)</td>
<td>Transport Canada, industry associations, operators organizations</td>
<td>Immediate and ongoing (annual)</td>
<td>Award presented, promoted and publicized</td>
</tr>
<tr>
<td>6. Develop a joint web site for aviation safety:</td>
<td>All, including educational institutions, Transport Canada as custodian</td>
<td>18 months from now</td>
<td>Site launched and maintained (i.e., current)</td>
</tr>
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</tbody>
</table>
| • Data and statistics  
• Reflect aviation scene  
• Develop internet-accessible repository of lessons learned and best practices | | | |
| 7. Mechanism to import best practices (important to share and implement)  
• Symposium to discuss best practices | CASS (Transport Canada SS) + regional conferences | 2002 and ongoing | On agenda and discussed |
| 8. Joint government and industry safety oversight or management committees = partnership | All | June / December annually | Safety committee terms of reference |
| 9. Produce awareness and educational programs on SMS and report results to public and media (Q&A panel, TV ads, kiosks and booths in terminals): e.g., safety seminar for media | Joint industry and Transport Canada | 6-12 months | • Informed media coverage  
• Public kits on web site |
### 1. Safety-Oriented Culture Change (126)

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<tbody>
<tr>
<td>1. To give awards to individuals who identify systematic safety problems</td>
<td>Airlines, NAV CANADA, Transport Canada, industry, professional associations</td>
<td>6 months</td>
<td>Awards described in those terms: Change: two types of awards</td>
</tr>
<tr>
<td>2. To change internal investigative process and outcome:</td>
<td>Aviation companies and NAV CANADA</td>
<td>12 months</td>
<td>Changed, revisited investigation process</td>
</tr>
<tr>
<td>• Legal aspects</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• New framework</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. To develop and table safety culture change strategies: with safety</td>
<td>All Transport Canada stakeholders</td>
<td>2 years</td>
<td>Compliance with 2005 strategies developed</td>
</tr>
<tr>
<td>management system</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. To review and amend discipline policy (unions and management)</td>
<td>Aviation companies and Transport Canada</td>
<td>2 years</td>
<td>Amended policy</td>
</tr>
<tr>
<td>5. To structure and set up regional workshops on safety management to</td>
<td>Transport Canada</td>
<td>9 months</td>
<td>Workshops held, consistency across the department</td>
</tr>
<tr>
<td>help change the culture and promote understanding</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 1. Data and Information Management and Sharing (116)

<table>
<thead>
<tr>
<th>Action</th>
<th>Who</th>
<th>When</th>
<th>Performance Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Review most significant safety risks</td>
<td></td>
<td>Fall 2001</td>
<td>Joint meetings: results presented</td>
</tr>
<tr>
<td>2. Conduct an initial information needs analysis vs. what is available (gap analysis)</td>
<td>Operators, regulators, associations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Identify the most significant data shortfalls in the context of risk (10 risk issues)</td>
<td>• Industry sector • Common pool</td>
<td>Spring 2002</td>
<td>Joint meetings</td>
</tr>
<tr>
<td>4. Standardization of terminology</td>
<td>Combined effort by sector</td>
<td>Spring 2001</td>
<td>Data dictionary</td>
</tr>
<tr>
<td>5. Establish an amnesty program (non-punitive)</td>
<td>• Regulator • Operator • TSB</td>
<td>Fall 2001</td>
<td>Flow of information</td>
</tr>
</tbody>
</table>
# Group 9

## 1. Design and Implementation of an SMS (68)

<table>
<thead>
<tr>
<th>Action</th>
<th>Who</th>
<th>When</th>
<th>Performance Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop a consensus on philosophy: Education awareness, incentive programs</td>
<td>Political leaders, Transport Canada leaders and industry leaders, Labour Committee</td>
<td>End of 2001</td>
<td>Major companies and associations endorsement and resolutions</td>
</tr>
<tr>
<td>2. Development of policies, procedures and processes</td>
<td>Individual companies</td>
<td>Start January 2002</td>
<td>Existence of 3 Ps</td>
</tr>
<tr>
<td>3. Develop targeted training packages on how to development and implement safety management + cost-effective consulting function (e.g., ISO, CSA)</td>
<td>Transport Canada and industry associations</td>
<td>End of 2001</td>
<td>Training package exists</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Consulting function exists</td>
</tr>
<tr>
<td>4. Create a senior steering committee (insurance association)</td>
<td>Ministry of Transport</td>
<td>June 2001</td>
<td>Exists: meeting held</td>
</tr>
<tr>
<td>5. Develop and obtain approval of implementation plan</td>
<td>Transport Canada</td>
<td>Plan by March 2001</td>
<td>Action plan approved by steering committee</td>
</tr>
</tbody>
</table>
Group 10

1. **Education, Training and Sensitization (71)**

<table>
<thead>
<tr>
<th>Action</th>
<th>Who</th>
<th>When</th>
<th>Performance Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Finalize the SMS regulation</td>
<td>Transport Canada</td>
<td>Summer 2001</td>
<td>Gazette Part II</td>
</tr>
<tr>
<td>2. Develop and upgrade SMS within company</td>
<td>All operators</td>
<td>Fall 2001</td>
<td>Feedback from Transport Canada audit</td>
</tr>
<tr>
<td>3. Implement information education program on SMS</td>
<td>Transport Canada and associations</td>
<td>Summer 2001</td>
<td>Feedback from the system</td>
</tr>
<tr>
<td>4. Incorporate SMS awareness training in commercial pilot training program</td>
<td>Flying schools, colleges, corporate training units</td>
<td>2002</td>
<td>Change in syllabus</td>
</tr>
<tr>
<td>5. Incorporate SMS awareness training in AME training program</td>
<td>Colleges and training institutes</td>
<td>2002</td>
<td>Change in syllabus</td>
</tr>
<tr>
<td>6. Have associations draft a communiqué to be sent to their constituents</td>
<td>Associations</td>
<td>December 2000</td>
<td>Communiqué sent</td>
</tr>
<tr>
<td>7. Create videos and CD-ROM to make available in terminals, for viewing company safety management initiatives</td>
<td>Aircraft operators, airport operators</td>
<td>Summer 2001</td>
<td>Video delivered, equipment installed</td>
</tr>
</tbody>
</table>
Action Research: Day 1

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Team consensus</td>
<td>• Amend the aeronautical legislation</td>
</tr>
<tr>
<td>• Speakers</td>
<td>• Airline participation</td>
</tr>
<tr>
<td>• Discussed Topics</td>
<td>• Pilots, flight attendants and the organization</td>
</tr>
<tr>
<td>• Facilitators</td>
<td>• Please include the text of the speeches (opening and closing) and presentations in the final document</td>
</tr>
</tbody>
</table>


Next Steps: Group 1

Focus Question: What needs to happen in the short term for the energy of the conference to be sustained?

1. Organize, prioritize action items, determine who will do this
2. CASS: Use results of Safety Through Partnership, link to CASS officially, use CASS as a launch to action
3. Build consensus among industry groups for Safety Through Partnership (ATC, an airport council, etc.)
4. Involve other stakeholders in future (operators, small operators)
5. Decide how to fund future initiatives and training (especially for small operators): Use System Safety/Safety Services
6. Use different forum for consensus building
7. Use Safety Through Partnership forum for brainstorming, high level discussions
8. Include, “Where have we gone, what have we done?” Report in a future Safety Through Partnership conference (standard, pros and cons, cost to each)
9. Involve “users” when determining SMS standard, benchmarks, etc. (look to FAA)
10. Understand implications of self-regulation on topic of SMS
11. Develop a regulatory framework (minimums, performance-based) for SMS
12. Central system for reporting to assess and communicate risks: Share expertise and analysis
13. Manage the change (change is widespread, at different stages): Big changes in a complex environment
### Action Research

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Networking, meeting people</td>
<td>Noisy room</td>
</tr>
<tr>
<td>Structure, formality</td>
<td>Need breakout rooms</td>
</tr>
<tr>
<td>Facilitator</td>
<td>Election Day conflict</td>
</tr>
<tr>
<td>Length was right</td>
<td>Need more CEOs, operators</td>
</tr>
<tr>
<td>Looking at the big picture with industry and government</td>
<td>Wanted to see more detail on SMS presentation</td>
</tr>
<tr>
<td>Not too much difference of opinion on many issues</td>
<td>Q&amp;A time for guest speakers</td>
</tr>
<tr>
<td>Common objective</td>
<td>Competing priorities affected attendance</td>
</tr>
<tr>
<td>Time notification of conference</td>
<td>Include list of attendees in call-out (proposed and past)</td>
</tr>
<tr>
<td>Size of conference</td>
<td></td>
</tr>
<tr>
<td>High level people</td>
<td></td>
</tr>
</tbody>
</table>
Group 2

Focus Question: What needs to happen in the short term for the energy of the conference to be sustained?

1. Prepare and distribute conference final report
2. Promote and market Safety Through Partnership and distribute report to wider audience (through ATP, ASC and other media that would reach CEOs and board members)
3. Validate and refine ideas that surfaced at Safety Through Partnership
4. Strike a working group to prioritize action items of Safety Through Partnership (Transport Canada to facilitate, industry and associations as participants)
5. Initiate amendment of the Aeronautics Act to enable reporting
6. Establish performance measures and indicators
7. Prepare SMS comparative analysis and distribute widely
8. Communicate guest speakers’ messages to as wide an audience as possible
9. Safety Through Partnership delegates to brief and communicate SMS messages within their respective organizations
10. Push to promulgate necessary bill to amend the Aeronautics Act
11. Pursue current SMS (regulatory and otherwise) initiatives
12. Market benefits of SMS

Action Research

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Thinking along the same lines</td>
<td>• Room made communication in working groups a little difficult</td>
</tr>
<tr>
<td>• Well organized</td>
<td>• Would like a “state of the union” address supported by information and data</td>
</tr>
<tr>
<td>• Good mix and quality of guest speakers</td>
<td>• Could have been more effective if issue papers had been distributed prior to the conference (background)</td>
</tr>
<tr>
<td>• Good mix of delegates</td>
<td>• A portion of the key industry players could/should have been here</td>
</tr>
<tr>
<td>• Just-in-time production of report</td>
<td>• No one to speak on behalf of traveling public</td>
</tr>
<tr>
<td>• Dinner and speaker a good idea</td>
<td>• Maybe one day</td>
</tr>
<tr>
<td>• Compressed time (no wasted time)</td>
<td></td>
</tr>
</tbody>
</table>
Group 3

**Focus Question:** What needs to happen in the short term for the energy of the conference to be sustained?

1. Spread the outcome to our organizations
2. NAV CANADA to distribute corporate safety plan to aviation community
3. Target missing-in-action
4. Today: Ask who are the final authorities for making a commitment
5. Reach out internationally
6. Collect information on dollar savings from safety activities
7. Better educate ourselves on how this affects our areas of responsibility
8. Look for other safety management plans internationally
9. Identify the key people (champions) who have their CEO’s ear and gain their support
10. Introduce Flight Data Monitoring
11. Introduce an Air Safety Accident Plan

**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Excellent speakers: Covered all areas</td>
<td>• Missing CEOs</td>
</tr>
<tr>
<td>• The right length</td>
<td>• Minister should have been here</td>
</tr>
<tr>
<td>• Process was well managed</td>
<td>• Room to noisy</td>
</tr>
<tr>
<td>• Excellent next day documentation</td>
<td>• Speaker Q&amp;As</td>
</tr>
<tr>
<td>• Diverse groups at the tables</td>
<td>• Could have started later to allow for morning arrivals</td>
</tr>
<tr>
<td>• Participation</td>
<td>• Magnitude of project</td>
</tr>
<tr>
<td>• Group feedback vs. individual</td>
<td>• Not enough international representation</td>
</tr>
<tr>
<td></td>
<td>• Could have taken lessons and presentations from outside of aviation:</td>
</tr>
<tr>
<td></td>
<td>“The person who owns the dynamite factory”</td>
</tr>
</tbody>
</table>
Focus Question: What needs to happen in the short term for the energy of the conference to be sustained?

1. Look to the highest level representatives to ensure the message is out that the conference is a success
2. Identify areas we discussed
3. Take work to middle managers to keep the momentum going
4. Work the actions into goals and objectives
5. Prepare a plan for CASS
6. Industry and government move forward together
7. Create a steering committee to coordinate actions (#1 priority)
8. Pledge leaving the conference on part of each organization
9. High level representation on steering committee
10. A communiqué that conveys commitment and success
11. Ongoing plans should capture and use the ideas of the conference
12. Further refinement of “themes” of the conference: Simplification of the themes
13. Ensure items are put on the web site immediately: Develop and link sites that hold key information
14. Send monthly progress reports to all conference invitees
15. Automated notice of changes in progress on the web site
16. A communications plan to spread the word
### Action Research

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Good facilitator</td>
<td>• Industry as a whole should all be represented (e.g., underwriters, smaller companies)</td>
</tr>
<tr>
<td>• Had a conference</td>
<td>• Format may not work with the next stages of the process</td>
</tr>
<tr>
<td>• People showed up</td>
<td>• Feedback should go to all who were invited but didn’t show</td>
</tr>
<tr>
<td>• Good participation</td>
<td></td>
</tr>
<tr>
<td>• Good results and concepts</td>
<td></td>
</tr>
<tr>
<td>• Good representation</td>
<td></td>
</tr>
<tr>
<td>• Given the goal of the conference, it was great</td>
<td></td>
</tr>
<tr>
<td>• Excellent cross section</td>
<td></td>
</tr>
<tr>
<td>• Timing of conference was right</td>
<td></td>
</tr>
<tr>
<td>• Duration was good</td>
<td></td>
</tr>
<tr>
<td>• Stayed away from preconceived ideas</td>
<td></td>
</tr>
<tr>
<td>• First speaker was challenging, provocative and motivating</td>
<td></td>
</tr>
</tbody>
</table>
Group 5

Focus Question: What needs to happen in the short term for the energy of the conference to be sustained?

1. Need to create a smaller and more focused group
2. Summarize and prioritize the Action Plan
3. Assign a champion for plans
4. Create a steering committee to stay on top of things
5. Hire an outside agency to be responsible for the process
6. Form the ability to share information across the industry and return to organization to evaluate own practices and/or effect change
7. Create a forum to share best practices
8. Identify resources required: Who pays?
9. Identify a “recognized authority” to develop a “safety code of ethics”: Identify the right voices to form that authority
10. Need to synchronize this with CASS (front/back end of CASS)
11. Need to include academics, financial, technical and risk analysis expertise
12. Need to develop and blend other streams to effect change
13. Identify a more detailed Action Plan: Assign leads and deliverables
14. Set specific objectives to reach goals
15. Improve our ability to collect incident data, more robust HF information, high quality data
16. Success requires our hearts to be in this: High level of commitment
17. Can’t wait for the data, need to jump in, put our hearts into it
18. Set up a secretariat and a steering committee
19. Form small working groups to work actions
20. Reconvene this group when the working groups have something to report; Review and vet the work of the working groups
21. Need to involve more organizations, FTUs through to major airlines
22. Gather ideas and input from all levels and departments within organizations
23. Develop a checklist to follow-through on procedures and SMS
**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Speakers fairly informative: Message was good</td>
<td>• The framework followed limited conversation</td>
</tr>
<tr>
<td>• Large number of working groups was a good idea: Larger number of ideas</td>
<td>• Broader analysis: There are more ways to the table</td>
</tr>
<tr>
<td>• Immediate feedback</td>
<td>• More background reading material prior to attendance</td>
</tr>
<tr>
<td>• Facilitation</td>
<td>• Need better representation from smaller operators</td>
</tr>
<tr>
<td>• Being in the same room facilitated networking</td>
<td>• All attendees to bring 5 safety concerns to the table (suggestion for CASS)</td>
</tr>
<tr>
<td>• Length of the workshop was right</td>
<td>• Aviation safety too big a topic</td>
</tr>
<tr>
<td>• Kept to schedule</td>
<td>• Reduction process: A lot has been lost</td>
</tr>
<tr>
<td>• Noble objective</td>
<td></td>
</tr>
<tr>
<td>• Great dinner</td>
<td></td>
</tr>
<tr>
<td>• Excellent collegiality</td>
<td></td>
</tr>
<tr>
<td>• Airports well represented</td>
<td></td>
</tr>
</tbody>
</table>
Group 6

Focus Question: What needs to happen in the short term for the energy of the conference to be sustained?

1. Another forum to discuss follow-up from November 27-28
2. Transport Canada press release (high profile announcement) on meeting:
   - Emphasis on SMS
   - Working with industry
   - Education institutions included
3. Follow-up meeting in conjunction with CASS:
   - Best use of resources
   - Combine
4. Concerned with how to achieve all actions:
   - No spare time or money
   - Appeal for practical focus (this is too broad)
5. Next meeting: Breakout groups to be more focused
6. Be practical
7. Opportunity to expand audience at CASS: Include senior management and stakeholders (e.g., educational institutions)
8. Expand CASS focus to move forward with action items
9. Not expanding timeframe of CASS (danger!)
10. Concern with CASS expenses (e.g., Vancouver @ $240 a night):
    - Have a cheaper facility to attract smaller operators to the association
    - Better value than Vancouver
11. This is a huge national initiative: Impressed with the amount of valuable input and solid action plan ó What are we going to do with this?
12. Smaller task group to review and prioritize
13. Work has to be done by all participants to prepare for CASS
14. Representatives report back to industry associations at their AGMs
15 Use the next few months to talk about this meeting and prepare a meaningful contribution to CASS
16. Process: Concerned with a process to implement; Need ownership to implement
17. Finalize Action Plan to form a record for reference on who’s to do what: “Flight Plan” to prepare to contribute to CASS
18. Representatives commit to reporting back to industry associations to give SMS more focus and energy
19. Concern that the Action Plan is a combination of 10 tables of information: How to integrate?

20. Action Plan rolled up into major areas of agreement (synthesized outcomes)

21. Alternative approaches to this meeting (e.g., alternatives with CASS)

22. Should we be working with System Safety in the field?

23. Final document should be distributed just to participants

24. Use the industry associations newsletters to spread “the word”, that is, announce this watershed event:
   - To generate excitement about collaboration
   - To engage participants

**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Openness: Having Action Plan the next morning was great!</td>
<td></td>
</tr>
<tr>
<td>• Excellent participation at tables</td>
<td>• Need more ju-jubes</td>
</tr>
<tr>
<td>• Strong willingness to come up with new and innovative ideas</td>
<td>• Some action items will/may die</td>
</tr>
<tr>
<td>• Well organized</td>
<td>• Noise: Need breakout rooms</td>
</tr>
<tr>
<td>• Good speakers</td>
<td>• Ideas not matched to resources</td>
</tr>
<tr>
<td>• Shared ownership of managing safety</td>
<td>• Logo didn’t reflect reality (not united and working as a united group)</td>
</tr>
<tr>
<td>• Good mix of participants</td>
<td>• Hear more about systems (technology)</td>
</tr>
</tbody>
</table>
Group 7

**Focus Question:** What needs to happen in the short term for the energy of the conference to be sustained?

1. Identify a champion of the Safety Management initiative
2. Create linkage of the outcome of this conference with CASS
3. Distribute conference material to CASS ó Platform Development
4. Identify key venues (landscape) structures and organizations to engage in safety management
5. Entry points
6. Leverage points
7. Create a coordinating working group to develop follow-on strategy ó Action Plans (core group):
   - ACAD
   - Professional organizations
8. Develop an overall implementation plan (by working group)

**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilitation worthwhile</td>
<td>Guest presentations similar (schedule)</td>
</tr>
<tr>
<td>Central location</td>
<td>Fine tune mix at each table</td>
</tr>
<tr>
<td>Good information</td>
<td></td>
</tr>
<tr>
<td>Speakers well-positioned: Legal presentation</td>
<td></td>
</tr>
</tbody>
</table>
Group 8

**Focus Question:** What needs to happen in the short term for the energy of the conference to be sustained?

1. Determine where and what resources are required
2. Select the top 4 themes, and action key action items
3. Sustain dialogue and communication through e-conferencing
4. Determine qualifications of the individuals required to develop SMS within an organization
5. Identify champions of Safety Through Partnership (who’s in charge?)
6. Solicit team members from all groups to action the “priority” themes
7. Find out what systems (SMS) are out there and use the elements (best practices) to build an appropriate SMS
8. Develop a performance measurement system
9. Emphasize positive / wins vs. negative / losses

**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Opportunity to understand others’ operations</td>
<td>• Follow-up</td>
</tr>
<tr>
<td>• Good cross-section of people attending Safety Through Partnership</td>
<td>• Vague as to purpose and desired outcome</td>
</tr>
<tr>
<td>• Timeliness of publishing Day report</td>
<td>• Someone has to take control to continue this process</td>
</tr>
<tr>
<td>• Use of facilitation</td>
<td>• Need more operators attending</td>
</tr>
<tr>
<td>• Cross-section of people at each table</td>
<td>• Resources to follow up</td>
</tr>
<tr>
<td>• Time management</td>
<td>• “Biting off more than can be chewed”</td>
</tr>
<tr>
<td>• Conference length</td>
<td>• Logistics: Getting work done in this size of room</td>
</tr>
<tr>
<td>• Presentations and content</td>
<td></td>
</tr>
<tr>
<td>• Attendance through 1½-day conference</td>
<td></td>
</tr>
</tbody>
</table>
Group 9

**Focus Question:** What needs to happen in the short term for the energy of the conference to be sustained?

1. Implementation Plan
2. Communications Plan to sell philosophy to small and medium operators
3. Identify hurdles:
   - Fear of regulator
   - Costs and incentives
   - Motives: Self-regulation
4. Identify early resources
5. Develop a training module
6. Review current regulatory proposals: Immunity issues (including reporting and data issues)
7. Steering committee plan:
   - Identify members
   - Mandate and role
   - Approval
   - Announce formation at CASS
8. Training Module:
   - What is SMS?
   - Why is it good for you?
   - How to do it? (specific modules for subsets of the industry with a focus on small and medium companies)

**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Productive process</td>
<td>Need high level public endorsement and participation</td>
</tr>
<tr>
<td>Good mix of industry and government</td>
<td>Some missing, e.g., small airport operators</td>
</tr>
<tr>
<td>Good speakers</td>
<td></td>
</tr>
</tbody>
</table>

**What Went Well**
- Productive process
- Good mix of industry and government
- Good speakers

**What Concerns**
- Need high level public endorsement and participation
- Some missing, e.g., small airport operators

---

---
Group 10

**Focus Question:** *What needs to happen in the short term for the energy of the conference to be sustained?*

1. Continue to consult with the industry on the framework for SMS
2. Use experiences learned from major carriers and apply this to smaller operators: Training should be industry-led
3. Develop and instill motivation ($) for the industry to implement SMS
4. Initiate the discussion on how to fund SMS implementation
5. Incorporate what companies do now into SMS framework
6. Have the regulator provide assistance in educating and coaching operators on implementing SMS
7. Establish a Transport Canada and industry working group to implement SMS

**Action Research**

<table>
<thead>
<tr>
<th>What Went Well</th>
<th>What Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Good mix of people: Diverse</td>
<td>• Need more time</td>
</tr>
<tr>
<td>• Range of discussion</td>
<td>• May have been preconceived agendas brought to the table (real or perceived)</td>
</tr>
<tr>
<td>• Opportunity to discuss</td>
<td></td>
</tr>
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<td>• Good and prompt documentation</td>
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<td>• Good process</td>
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<td>• Advanced SMS significantly</td>
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<td>• Clear up misconceptions</td>
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<td>• Identified concerns of operators</td>
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<td>• Shared points of view</td>
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