SMS Best Practice Submission

ANSP	NAV CANADA		Date of submission	August 2024
SoE Study Area	6.2 Safety Risk Management			
Best Practice Title	Unit Risk Registry (URR)			
In use since	completely reworked in 2024			
ANSPs using this practice				

The Unit Risk Registry (URR) is a repository of local operational safety issues/challenges/concerns, hazards and risks. It is an important part of the Company's SMS and safety risk management process. The URR is one method by which NAV CANADA meets its regulatory requirement to identify hazards to aviation safety and to evaluate and manage the associated risks. It is the foundation of proactive safety risk management.

The primary purpose of the URR is to provide local management with a tool to identify and track local safety-related issues, including progress against mitigations / an action plan. It also contains built-in mechanisms for escalation. This data is aggregated with other safety data sources and fed into the National Safety Trend Analysis (NSTA) report, which is a key source of information for the larger Corporate Safety Risk Assessment and Corporate Safety Planning processes.

The URR is designed predominantly for local units but used by many:
- Unit/specialty management to identify, track and action local safety issues
- Operations managers to identify regional or specialty issues and monitor progress on actions
- Departmental managers to identify issues being raised locally in relation to their departmental activities (mostly Operations and Technology)
- Safety and Quality as a key input to other safety risk management processes
- Transport Canada as one way to verify that we're meeting our regulatory requirements.

The URR is important – it helps identify safety issues proactively across the company and is a key input to decisions related to safety investments.

The requirement for the URR is specified in the SMS Manual, the Safety Standard on Safety Risk Management, in ATSAMM, and in the documentation related to the Safety Pillar Program (one of 4 key processes). Each unit is expected to have at least one active/open (in progress) URR entry however it is preferred that each unit enters as many safety issues/risks as necessary to accurately reflect the situation at the unit.

In 2024, both the URR process and the tool were completely reworked to address user feedback. The new tool and process include:
- a module (app) for the URR housed in the same safety information system (NC-SIS) as all other safety data; a system that operational personnel are familiar with
- categorization of entries based on a fixed issue type taxonomy which was developed based on the explanatory factors in NC-RAT (TOKAI); there are three levels of categorization, each providing more specificity on the safety issue
- a risk assessment (severity / likelihood) of the most plausible worst-case scenario in light of existing controls
- an action plan defining what will be done locally to reduce the risk, supported by indicators of success
- a method to escalate issues that cannot be addressed locally, to either regional or national management
- a National Monitoring Team (NMT) that reviews all entries for completeness and quality, identifies trends and connections between concerns in units and the broader organization, triages escalated issues and monitors progress, and monitors issues assessed as being high risk

- the ability to record activity against the action plan and/or escalated issue and close the feedback loop to the unit
- joint Safety Pillar and Unit Manager agreement to close a unit risk once the action plan has been completed and the indicators of success met

While roles and responsibilities for the new process did not change dramatically, more emphasis was placed on the role of Unit Manager to approve the action plan as it is they who support and resources the activities required to mitigate the risk. A summary of roles and responsibilities:

- Operational Safety Pillars: collect data and enter into NC-SIS (new, updated, close) i.e., identify the safety issues/challenges/hazards/risks; assess the risks; develop action plans; identify indicators of success; send to unit manager for approval
- Site or Specialty Managers (L1): review entire URR entry for completeness; approve the action plan; support the implementation of the action plan; conduct regular review and follow-up
- SMS Coordinators: provide tailored communications within FIR; conduct proactive monitoring (status and trends) and follow-up; provide support to Safety Pillars in FIR by being the first point of contact for questions; first point of contact in FIR for escalated issues
- L2 Operations Managers (MACCO; MATO-Airport; MTTO): provide oversight and follow-up; address issues escalated to them; use data for decision-making
- L3 Operations Directors (ACC Operations, Airport & FIS, Major Tower, Terminal Ops): same as L2s
- National Monitoring Team (NEW): national oversight of the data; make connections by reviewing data on a regional and national level; escalate and monitor issues as required
- Safety and Quality Department: maintain and continuously improve the process and tool

The new URR was launched in the Fall of 2023 and the National Monitoring Team (NMT) met for the first time in January 2024. Prior to the launch, multiple awareness briefings were held for various audiences (key users through to senior leaders), along with detailed tutorials and 1:1 support. Dashboards were also developed for various audiences along with a PowerBI report.

The URR is meant to be updated throughout the year as action plans are implemented and monitored. However, at minimum, it must be reviewed and updated annually. This is done in the Fall; typically, during the two months between October and November. To be used as input to other processes, all URR action plans need to be approved locally by mid-December.

The benefits of the new URR seen to date include:
- Improved quality of data through the categorization using a common taxonomy (vs free text)
- Improved data analysis (trending and cross-process) that can support the identification of national-level operational safety risks
- Ability to identify facility cohorts with the most high-risk entries
- Improved trust by operational personnel in the process and how the information is used
- Improved ability to track progress against the action plan and to provide information between users
- Enhanced corporate Safety Risk Assessment (supporting risk ID phase by providing related safety data)

The following additional information is attached:
- URR Guideline
- URR Glossary / Issue Type Definitions
- National Monitoring Team (NMT) Terms of Reference (TOR)
- NC-SIS Quick Reference Guide

By submitting this document, your organisation is willing for the proposed Best or Good Practice to be shared with other ANSPs.

For Best Practices, this document should be sent together with the SoE in SMS questionnaire, to: soe_2023@eurocontrol.int

Submissions for consideration as Good Practices may be sent by the above date. They may also be identified during the survey interview sessions with the survey team, following which a Good Practice submission document will be requested.