

## SMS Good Practice Submission

ANSP	NAV CANADA	Date of submission	July 2025
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SoE Study Area	6.2 Safety Risk Management		
Good Practice Title	Unit Risk Registry (URR)		
In use since	completely reworked in 2024		
ANSPs using this practice			

### URR Overview

The Unit Risk Registry (URR) is a centralized repository of local operational safety issues, hazards and risks. It is an important part of the Company's SMS and safety risk management process. Through proactive reporting, 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. NAV CANADA has more than 150 local operational units and specialties that log unit risks.

### Purpose and Function

The primary purpose of the URR is to provide local management with a structured tool to:

- Identify and track local safety-related issues.
- Monitor progress against mitigation strategies and action plans.
- Escalate unresolved or high-risk issues that cannot be addressed locally.

Data from the URR is aggregated with other safety data sources and contributes to the National Safety Trend Analysis (NSTA) report, which is a key input to the larger Corporate Safety Risk Assessment and Corporate Safety Planning processes.

### Who Uses the URR

While predominantly designed for local units, the URR supports a wide range of users:

- Unit/Specialty Managers: Identify, track and manage local safety issues.
- Operations Managers and Directors: Identify regional or specialty issues and monitor progress on actions.
- Departmental Managers: Identify department-wide issues (mostly Operations and Technology).
- Safety and Quality: Use URR data in broader safety risk management processes.
- Transport Canada: Verify compliance with 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.

### Governance and Expectations

The requirement to maintain the URR is specified in the SMS Manual, the Safety Standard on Safety Risk Management, in the Air Traffic Services Administration and Management Manual (ATSAMM), and in the documentation related to the Safety Pillar Program (one of 4 key processes). Each unit is expected to maintain at least one active/open (in progress) URR entry although ideally all safety issues/risks should be documented to accurately reflect the unit's risk profile.

### 2024 Redesign: New Tool and Process

In response to user feedback and a company-wide transition to SharePoint Online, the URR process and tool were completely redesigned in 2024. Key enhancements included:

- Integrated Module (app): a dedicated URR app within the safety information system platform (NC-SIS), familiar to operational personnel.
- Structured Categorization: Entries are categorized using a three-tier taxonomy based on NC-RAT (TOKAI) explanatory factors. Level 3 is the most detailed. There can be a one-to-many relationship between a risk and the root causes, which are best described at Level 3.

- Risk assessment: Evaluation of the most plausible worst-case scenario, considering existing controls
- Action Plans: Locally defined mitigation strategies with measurable success indicators.
- Escalation Mechanism: Issues that cannot be addressed locally can be escalated to regional or national levels.
- National Monitoring Team (NMT): 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 high-risk issues.
- Feedback Loop: The ability to record activity against the action plan and/or escalated issue.
- Closure Protocol: Unit risks are closed only with joint agreement from the Safety Pillar and Unit Manager once the action plan has been completed and success indicators are met.

### **Roles and Responsibilities**

While the core roles and responsibilities remained consistent, the redesigned process emphasizes the Unit Manager's role in approving and supporting action plans. Key roles and responsibilities include:

- Safety Pillars: Identify safety issues, assess risks, develop action plans, identify indicators of success, and submit for approval.
- Unit/Specialty Managers (L1): Review entire URR entry for completeness, approve action plans; support implementation, and conduct regular follow-ups.
- SMS Coordinators: Provide local support, monitor trends, and manage escalations (first point of contact).
- L2 Operations Managers/L3 Operations Directors: Provide oversight and follow-up, address issues escalated to them and use data for decision-making.
- National Monitoring Team (NMT): Conduct national-level reviews, identify trends, and manage escalations.
- Safety and Quality Department: Maintain and improve the URR process and tool

### **Initial Implementation**

The new URR was launched in the Fall of 2023 with the first National Monitoring Team (NMT) meeting held in January 2024. Leading up to the launch, extensive awareness sessions, tutorials and one-on-one support were provided. A Power BI report as well as dashboards for various user groups were also developed.

### **Review Cycle**

The URR is updated throughout the year as new risks are identified and as action plans are implemented and monitored. At a minimum, each entry must be reviewed and updated annually.

### **2025 Enhancements**

In 2025, the URR tool and its review by NMT were further enhanced:

**Dashboards.** A new view was created for the NMT within the NC-SIS module to reduce the need to filter and sort. This view allows for the NMT to easily see entries that have been escalated, have had no activity in the last six months, have been reviewed by the NMT and the associated date, and those that are related to a national risk.

**Stronger Feedback Loop.** The memo field is now used to inform local units when their entry is connected to national operational safety risks with associated Corporate Safety Plan initiatives.

**Data Completeness.** All high and medium risks have now been categorized down to Level 3, which improves the root cause analysis.

**Updated Guidance.** New examples were added to the URR guidelines to support the escalation process and improve clarity and consistency in URR submissions.

**Refocus NMT Scope.** With foundational work complete, the NMT's mandate is strengthened to emphasize trend analysis and cross-unit reviews, supporting national-level risk identification.

### **Benefits Realized**

The redesigned URR has already delivered measurable benefits:

- Improved data quality through structured categorization.

- Enhanced ability to identify national-level operational safety risks.
- Ability to identify facility cohorts with the highest-risk entries.
- Increased trust and engagement from operational personnel as demonstrated by a significant improvement in reporting timelines: average time an entry is in draft/review reduced from 236 days (2024) to 12 days (2025); and the number of draft or in review entries represents 13% of the total entries (vs 28% in 2024).
- Better tracking and communication of action plans and progress.
- Stronger support for the Corporate Safety Risk Assessment.
- Clear visibility into escalated issues and accountability.

### Supporting Materials

The following documents are available for reference:

- 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\\_2025@eurocontrol.int](mailto:soe_2025@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.