

Safety Management System Evaluation Tool

SMS Evaluation Tool Guidance

Tool Purpose

To assist organisations in determining how to best assess, develop and implement the various elements of an effective Safety Management System (SMS), the CAA has developed an Evaluation Tool (this document). This may be used during the initial SMS implementation and certification process, to help ensure that an organisation's SMS is scaled to a level that corresponds to the size of the organisation, the nature and complexity of the activities undertaken by the organisation, and the hazards and associated risks inherent in the activities undertaken by the organisation.

The tool has been developed from guidance material published by the [Safety Management International Collaboration Group \(SM ICG\)](#).

To assist in assessing the maturity and effectiveness of an organisation's SMS, the tool uses the concept of different levels of performance in respect to the organisation's safety management capability; these are described in the figure below.

Present	There is evidence that the 'indicator' is clearly visible and is documented within the organisation's SMS Documentation.
Suitable	The indicator is suitable based on the size, nature, complexity of the organisation and the inherent risk in the activity, including consideration of the industry sector.
Operating	There is evidence that the indicator is in use and an output is being produced.
Effective	There is evidence that the indicator is effective and achieving the desired outcome.
Best Practice	Organisations seeking to continually improve can use the best practice indicators to achieve a higher level of safety performance.

Figure 1: Description of Individual Performance Indicators

The evaluation tool is designed to be able to be used at all stages of the SMS implementation process, from implementation planning through to certification. At certification, it may be used to establish whether the elements of an SMS are **Present** and **Suitable**. At a later stage the tool can also be used to assess how well the SMS is **Operating** and **Effective**. The **Best Practice** indicators are provided for organisations seeking opportunities to continually improve their overall safety performance and are not required for SMS certification (date for implementation).

The tool requires an interactive approach within the organisation, e.g. discussions or interviews should be held with a cross section of people within the organisation, and processes and practices should be observed and analysed.

The tool is designed to recognise the difference in oversight methods such as traditional compliance-based oversight to performance-based oversight methods, thereby enabling the assessment of not only compliance but also the effectiveness of an SMS.

The tool has also been designed to indicate the expected standard of an organisation's SMS in terms of acceptable means of compliance with the SMS related rules and advisory material, and the ability of the SMS to effectively manage safety risk.

For ongoing surveillance activities the CAA may define additional expectations for individual indicators. As a part of the maturity assessment of the SMS, the CAA will determine if all individual indicators for each of the elements are operating, and that overall effectiveness has been achieved.

User Competencies

The Tool should be used by individuals with training and competency in:

- Safety Management Systems based on the ICAO SMS Framework
- Understanding of Quality Management Systems, compliance and auditing
- Interview techniques
- Understanding of risk management
- Appreciation of the difference between compliance and performance
- Report writing techniques, to allow narrative to be used to summarise the assessment.

Instructions for using the tool

For each element an introductory paragraph adapted from AC100-1 and the ICAO Annex 19 SMS Framework is given, along with a reference to the associated Part 100 rule requirements. Following this there are a series of indicators for 'acceptable means of compliance + performance' and 'best practice' that should be reviewed to determine whether the indicator is Present, Suitable, Operating or Effective (P, S, O, E), using the guidance and descriptions set out below.

The vertical P and S columns have been shaded out where there is unlikely to be an outcome for the particular indicator at SMS certification. The horizontal shaded performance indicators reflect the organisation's safety culture and have a corresponding letter 'C'.

Manual Reference

The 'Manual Ref.' column can be used by the organisation to record a reference to the SMS documentation for the particular indicator where appropriate.

How it is achieved

The organisation should use the 'How it is achieved' column to describe how they have achieved the P, S, O, or E level for the Acceptable Means of Compliance + Performance indicators citing any evidence or examples to support their assessment.

Verification

The Verification column may be used by the CAA to record any observations, conversations, records and documents sampled.

How it is achieved to improve overall safety performance

Best practice indicators are provided for organisations seeking opportunities to continually improve their overall safety performance. Organisations can use the 'How it is achieved to improve overall safety performance' column to describe how they have achieved the P, S, O, or E level for the best practice indicators.

Organisation and CAA Summary

Once all indicators have been assessed by the organisation and the CAA, an assessment can be made on the overall effectiveness of the SMS element; this should be noted in the respective summary comments box.

The SMS Journey

For most organisations, SMS will take time to implement and may take several years to mature to a level where it is fully effective. The following diagram shows the different levels of SMS maturity within an organisation, as that organisation implements, develops and improves its SMS. The diagram also illustrates how the tool is used to assess the performance indicators (refer 'Description of Individual Performance Indicators', Figure 1) in relation to the organisation's level of SMS maturity.

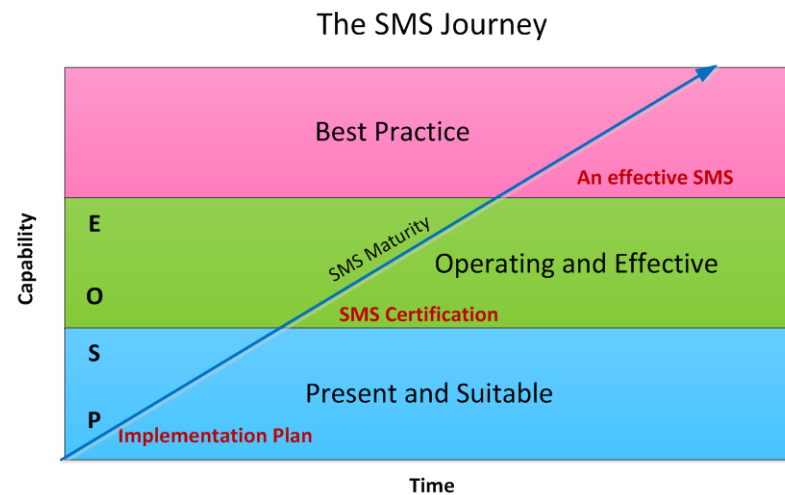


Figure 2: The SMS Journey

Organisation:	CAA client number:
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Evaluation completed by – Name:	Position:
SMS documentation reference:	Date:

For CAA use only

CAA Staff:			
Name:			
Date of assessment:			

0. SMS Implementation Plan

Transitional Provisions of each organisation certification rule / ICAO Annex 19, Appendix 2 – 1.5.1

The organisation is required to develop an SMS implementation plan that outlines how the organisation will implement a system for safety management that meets the requirements of Part 100. The implementation plan should contain a sufficient level of detail to show that the organisation has adequately identified how it will meet the overall objective of successfully implementing an SMS.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	How it is achieved	Verification
0.1	There is evidence that the implementation plan has been developed in consultation with the chief executive and individuals who are responsible for functions within the organisation.	<input type="checkbox"/>	<input type="checkbox"/>				
0.2	A gap analysis has been undertaken and the outcome documented, to compare the organisation's current state with the SMS rules and required elements.	<input type="checkbox"/>	<input type="checkbox"/>				
0.3	The tasks identified from the gap analysis, have been allocated the necessary resources to be completed.	<input type="checkbox"/>	<input type="checkbox"/>				
0.4	There is evidence that the completed gap analysis has been used to provide input for development of the implementation plan.	<input type="checkbox"/>	<input type="checkbox"/>				
0.5	The implementation plan may consist of more than one document, be combined with the gap analysis document, or created in a format that is appropriate to the content and complexity.	<input type="checkbox"/>	<input type="checkbox"/>				
0.6	There is evidence that a structured management of change process has been applied to the implementation of SMS.	<input type="checkbox"/>	<input type="checkbox"/>				
0.7	Management of change activities have been integrated into the implementation plan.	<input type="checkbox"/>	<input type="checkbox"/>				
0.8	The implementation plan includes realistic timelines and milestones for each task or group of tasks from the planning stage to the entire implementation of the SMS.	<input type="checkbox"/>	<input type="checkbox"/>				
0.9	For a phased implementation approach, these tasks are sorted according to the phase allocation of their related elements.	<input type="checkbox"/>	<input type="checkbox"/>				

0.10	Risks associated with the implementation of SMS have been identified and include appropriate control/mitigation.	<input type="checkbox"/>	<input type="checkbox"/>		
0.11	The coordination of integrating safety related third party contractors and suppliers without an SMS, into the scope of the organisation's SMS, are included in the implementation plan.	<input type="checkbox"/>	<input type="checkbox"/>		
0.12	The implementation plan assigns responsibility for completion of the identified tasks and overall governance for the implementation plan.	<input type="checkbox"/>	<input type="checkbox"/>		
0.13	A process is described whereby the status and performance of the SMS implementation plan is regularly monitored, and steps taken to mitigate substandard performance.	<input type="checkbox"/>	<input type="checkbox"/>		

Effectiveness is achieved when the organisation can demonstrate that their SMS implementation plan addresses the required SMS elements and Part 100 requirements.	
Organisation Summary	CAA Summary

Element 1 Safety Policy and Accountability

CAR 100.3(a)(1) / ICAO Annex 19, Appendix 2 – 1.1, 1.2 & 1.3

For clarity, the Safety Policy and Accountability requirements have been separated under the following sub headings:

- 1.1 - Management Commitment and Responsibility
- 1.2 - Safety Accountabilities
- 1.3 - Appointment of Key Safety Personnel

1.1 Management Commitment and Responsibility

The organisation is required to define its safety policy, which should be developed in consultation with management and staff representatives and be signed by the chief executive. The safety policy should reflect organisational commitments regarding safety, including a clear statement about the provision of the necessary human and financial resources for its implementation and be communicated, with visible endorsement, throughout the organisation. The safety policy should be regularly reviewed to ensure its remains relevant and appropriate to the organisation.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
1.1.1	There is a safety policy endorsed by the chief executive that includes a commitment towards achieving the highest safety standards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.2	The organisation has a safety management system that interfaces with other management system functions (e.g. workplace health & safety, quality, environmental, finance etc).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.3	The chief executive and the senior management team promote and demonstrate their commitment to the Safety Policy through active and visible participation in the system for safety management.			<input type="checkbox"/>	<input type="checkbox"/>			
1.1.4	The safety policy is communicated to all employees (including contract staff) with the intent that they are made aware of their individual responsibilities and obligations with regard to Safety.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.5	The safety policy includes a commitment to: <ul style="list-style-type: none"> • continuous improvement; • observing all applicable legal requirements, standards and best practice; • providing appropriate resources; • defining safety as a primary responsibility of all 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
	staff.							
1.1.6C	The safety policy actively encourages safety reporting.							
1.1.7	The safety policy is reviewed regularly to ensure it remains relevant and appropriate.			<input type="checkbox"/>	<input type="checkbox"/>			
1.1.8C	A policy has been defined that clearly identifies the conditions under which punitive action would be considered (e.g. illegal activity, negligence or wilful misconduct).							
1.1.9C	There is evidence of decision making, actions and behaviours that reflect a positive safety culture.							

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
1.1.10	Personnel at all levels within the organisation are involved in the establishment and maintenance of the system for safety management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.11	There is one safety policy used throughout the organisation and it is implemented at all levels of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.12	The safety policy is clearly visible, or available, to all personnel (including significant contracted organisations) and is included in key documentation and communication media.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.13	Safety policy objectives drive the organisation's goals and mission statements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.1.14	The organisation regularly verifies that personnel throughout the organisation are familiar with and have understood the policy and its message.			<input type="checkbox"/>	<input type="checkbox"/>			
1.1.15	The chief executive demonstrates their commitment by attending relevant industry safety conferences and forums.			<input type="checkbox"/>	<input type="checkbox"/>			
1.1.16C	A non-punitive reporting policy is actively endorsed by management and staff representatives.							

Effectiveness is achieved when the organisation has defined its safety policy that clearly states its intentions, safety objectives and philosophies and there is visible evidence of safety leadership and management 'walking the talk' and demonstrating by example.

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1.2 Safety Accountabilities

The chief executive will be identified as the person who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS. The organisation shall also identify the safety accountabilities of all members of senior management, irrespective of other functions, as well as employees, with respect to the safety performance of the SMS. Safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organisation, and shall include a definition of the levels of management with authority to make decisions regarding safety risk tolerability.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
1.2.1	A chief executive has been appointed with full responsibility and ultimate accountability for the SMS to ensure it is properly implemented and performing effectively.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.2.2	The chief executive has control of the financial and human resources required for the implementation of an effective SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.2.3	The chief executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.2.4	Safety accountabilities, authorities and responsibilities are defined and documented throughout the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.2.5	Staff at all levels, are aware of, and understand their safety accountabilities, authorities and responsibilities regarding all safety management processes, decisions and actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.2.6C	Safety management is shared across the organisation (i.e. it is not just the responsibility of the safety system manager and their team).							
1.2.7	There are documented management organisational diagrams and job descriptions for all personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance
1.2.8	There is evidence of employee involvement and consultation in the establishment and operation of the SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2.9C	There is evidence that safety management system principles are active at all levels of the organisation and safety is part of the everyday language.					
1.2.10	Safety accountabilities throughout the organisation are clearly documented and individuals understand their accountabilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2.11	Key safety activities are clearly described in senior management duties and responsibilities and are incorporated into their performance targets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2.12	Management recognises positive safety behaviours and contributions to maintain the organisation's SMS.			<input type="checkbox"/>	<input type="checkbox"/>	

Effectiveness is achieved when there are clear lines of safety accountability throughout the organisation to the chief executive who has ultimate accountability for the SMS and the senior management team fully understand the risks faced by the organisation.

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1.3 Appointment of Key Safety Personnel

The organisation is required to identify a person who is responsible for the system for safety management, and who will be the focal point for the implementation and maintenance of an effective SMS. In addition, any safety group or committee that supports the chief executive and the safety manager in delivering an effective SMS should be defined and documented.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
1.3.1	A competent person with the appropriate knowledge, skills and experience has been nominated as the person responsible for the system for safety management and fulfils the required job functions and responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.3.2	There is a demonstrable reporting line between the safety manager and the chief executive.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.3.3	The organisation has allocated sufficient resources to manage the SMS including, but not limited to, safety investigation, analysis, auditing and promotion.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.3.4	Individuals within the organisation that have a key safety role have their competence maintained through additional training and attendance at industry relevant conferences, seminars and workshops.			<input type="checkbox"/>	<input type="checkbox"/>			
1.3.5	The organisation has established a structured safety group or committee, appropriate for the size and complexity of the organisation that is represented by a full range of employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
1.3.6	The safety group or its equivalent monitors the safety performance of the operations and the effectiveness of the SMS.			<input type="checkbox"/>	<input type="checkbox"/>			
1.3.7	The senior person responsible for managing and maintaining the SMS is given appropriate status in the organisation, reflecting the importance of the safety role and is independent of line management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
1.3.8	Safety group or equivalent includes stakeholders and significant contracted organisations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance
1.3.9	Safety group or equivalent is focused on safety issues and attendees are actively encouraged to participate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<p>Effectiveness is achieved when the SMS is facilitated by the responsible individual and there is a safety structure of key personnel from the various operational areas of the organisation as appropriate. Senior management are actively engaged in the system for safety management.</p>	
<p>Organisation Summary</p>	<p>CAA Summary</p>

Element 2 Co-ordinated Emergency Response Planning

CAR 100.3(a)2 / ICAO Annex 19, Appendix 2 – 1.4

Organisations engaged in aircraft operations require an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations and the return to normal operations and is properly coordinated with the emergency response plans of those organisations it must interface with during the provision of its service.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
2.1	An emergency response plan (ERP) that reflects the size, nature and complexity of the operation has been developed and defines the procedures, roles, responsibilities and actions of the various organisations and key personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2.2	Key personnel in an emergency have easy access to the ERP at all times.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2.3	The organisation has a process to distribute the ERP procedures and to communicate the content to all personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2.4	The ERP is regularly tested for the adequacy of the plan and the results reviewed to improve its effectiveness.			<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
2.5	The organisation has agreements with other organisations for mutual aid and the provision of emergency services.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2.6	The organisation has implemented a Critical Incident Stress Management programme for its staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when the organisation has an emergency response plan that is appropriate and is regularly tested and updated including coordination with other organisations as appropriate.

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Element 3 Development, Control and Maintenance of Safety Management Documentation

CAR 100.3(b) / ICAO Annex 19, Appendix 2 – 1.5

The organisation is required to develop and maintain SMS documentation. This should describe the safety policy and safety objectives, the SMS requirements, the SMS processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs. The organisation can incorporate the SMS documentation into its existing organisation documentation (exposition), or develop and maintain a stand-alone SMS manual to communicate its approach to the management of safety throughout the organisation.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
3.1	There is documentation that describes the safety management system and the interrelationships between all of its elements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.			<input type="checkbox"/>	<input type="checkbox"/>			
3.3	Documented procedures are in place to establish and manage third party interfaces.			<input type="checkbox"/>	<input type="checkbox"/>			
3.4	The SMS documentation details and references the means for the storage of other SMS related records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3.5	SMS documentation is readily available to all personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
3.6	The organisation can demonstrate that safety management processes are integrated into other organisational systems.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3.7	The organisation has analysed and uses the most appropriate means for the delivery of documentation at both the corporate and operational levels.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when the organisation has SMS documentation that describes their approach to the management of safety, which is used throughout the organisation and is regularly reviewed and updated. The documentation supports the safety objectives of the organisation.

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Element 4 Hazard Identification

CAR 100.3(a)(2) / ICAO Annex 19, Appendix 2 – 2.1

The organisation is required to develop and maintain processes that ensure hazards to aviation safety are identified. Hazard identification should be based on a combination of reactive, proactive and predictive methods of safety data collection.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
4.1	The organisation has a reporting system to capture errors, hazards and near misses that is simple to use and accessible to all personnel and relevant third parties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4.2	The organisation has proactively identified relevant aviation safety hazards and assessed the associated risks related to its current activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4.3	The safety reporting system provides feedback to the reporter of any actions taken (or not taken) and, where appropriate, to other personnel within the organisation or relevant third parties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4.4C	Personnel express confidence and trust in the organisation's reporting policy.							
4.5	Human performance related hazards are being identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
4.6C	There is an active reporting system indicated by employee reporting levels being tracked as a safety performance indicator.							
4.7C	Safety Reports include the reporter's own errors and events (self-reporting) that the reporter would not normally report (events where no-one was watching).							
4.8	The reporting system empowers personnel to propose preventative and corrective actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4.9C	The reporting system is actively used throughout the organisation.							
4.10	There is a process in place to analyse reports to look for trends and gain useable management information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when hazards to aviation safety including near misses and errors are being identified and reported throughout the organisation. Hazards are captured in a register and assessed in a systematic and timely manner.

Organisation Summary

CAA Summary

Element 5 Risk Management

CAR 100.3(a)(2) / ICAO Annex 19, Appendix 2 – 2.2

The organisation is required to develop and maintain processes for risk management that ensures analysis, assessment and control of safety risks.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
5.1	There is a structured process for the management of risk that includes the assessment of risk associated with identified aviation safety hazards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5.2	Potential safety risks associated with third party contractors and suppliers are assessed and mitigated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5.3	There are criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5.4	The organisation has risk control processes that deliver effective and robust mitigations /controls, and where applicable an action plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5.5	Mitigating / control actions resulting from the risk assessment, including timelines and allocation of responsibilities, are documented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5.6	Risk management is embedded in day to day activities and routinely applied in decision making processes.			<input type="checkbox"/>	<input type="checkbox"/>			
5.7	Senior management have visibility of medium and high risks and their mitigation and controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
5.8	There is evidence that risks are being managed to ALARP principles.			<input type="checkbox"/>	<input type="checkbox"/>			
5.9	The organisation uses its risks management results to develop best practice guidelines that it shares with the industry.			<input type="checkbox"/>	<input type="checkbox"/>			
5.10	The risk management processes are monitored and reviewed and improved on a periodic basis.			<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when the organisation understands and is managing its safety risks through a defined process that ensures analysis, assessment and control to an acceptable level.

Organisation Summary	CAA Summary
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Element 6 Safety Investigation

CAR 100.3(a)(3)(i) / ICAO Annex 19, Appendix 2 – 3.1

The organisation is required to develop and maintain a process to conduct internal safety investigations in response to reported accidents, incidents and hazards for identifying causal factors to establish what went wrong, why, and how to prevent any recurrence.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
6.1	There is a structured process to ensure investigations are carried out to establish underlying contributing factors and potential hazards for existing and future operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6.2	Personnel responsible for investigating safety reports are competent in investigation techniques.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6.3	Safety reports are acted on in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6.4	Investigations establish causal/contributing factors (why it happened, not just what happened).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6.5	The actions resulting from investigation recommendations are recorded and monitored.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6.6	The outcomes of safety investigations feed back into the organisation's SMS.			<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
6.7	The organisation applies systemic and thematic methodology when investigating incidents or accidents.			<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when there are processes to trigger investigations, gathering evidence and conducting analysis, developing recommendations and for distributing the report. There is a documented record of the investigation process and required actions in response to safety investigations are monitored and reviewed.

Organisation Summary	CAA Summary
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Element 7 Monitoring and Measuring Performance

CAR 100.3(a)(3)(ii) / ICAO Annex 19, Appendix 2 – 3.1

The organisation is required to develop and maintain the means to verify the safety performance of the organisation and to validate the effectiveness of safety risk controls. The safety performance of the organisation shall be verified in reference to the safety performance indicators and safety performance targets of the SMS.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
7.1	Safety goals and objectives have been established and communicated throughout the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7.2	Safety performance targets and indicators have been defined, communicated and are being monitored and analysed for trends.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7.3	Safety performance indicators correlate to the organisation's safety objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7.4	The organisation uses a combination of leading and lagging indicators to measure the safety performance of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7.5	Safety goals, objectives, targets and performance indicators are reviewed regularly to ensure they remain relevant and appropriate.			<input type="checkbox"/>	<input type="checkbox"/>			
7.6	Safety assurance activities feed back into the hazard identification and risk management process.			<input type="checkbox"/>	<input type="checkbox"/>			
7.7	The organisation is monitoring its current, future and third party safety risks and is taking action to address unacceptable safety risks.			<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
7.8	When establishing and reviewing safety goals, objectives, targets and performance indicators, the organisation considers: hazards and risks; financial, operational and business requirements; view of interested parties.			<input type="checkbox"/>	<input type="checkbox"/>			
7.9	Safety goals, objectives, targets and performance indicators encompass all areas of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7.10	Performance measurements have been defined for significant safety risks identified by the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance
7.11	Personnel at all levels are aware of the safety performance measurements in their areas of responsibility and the results of performance measurements are communicated to them.			<input type="checkbox"/>	<input type="checkbox"/>	
7.12	The analysis and allocation of resources is based on outputs from the performance measurement i.e. are intelligence led.			<input type="checkbox"/>	<input type="checkbox"/>	

<p>Effectiveness is achieved when the organisation has developed a series of safety performance indicators that are appropriate to the type of operation. There is a means to measure and monitor trends and take appropriate action when necessary.</p>	
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Element 8 Management of Change

CAR 100.3(a)(2) / ICAO Annex 19, Appendix 2 – 3.2

The organisation is required to develop and maintain a process to identify changes within the organisation and its operation that may pose a risk to aviation safety. The process should describe the arrangements to ensure safety performance before implementing changes, and to eliminate or modify safety risk controls that are no longer needed or effective.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
8.1	The organisation has established a process and conducts hazard analysis/risk assessment for significant operational changes, organisational changes and changes in key personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8.2	Risk assessments are aviation safety focused.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8.3	Key stakeholders are involved in the management of change process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8.4	During the management of change process previous risk assessments and existing hazards are reviewed for possible effects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8.5	Management of change plans are documented and the outcomes are recorded.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8.6	The management of change process is performed prior to the introduction of new equipment or processes that have safety implications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
8.7	Validation of the safety performance occurs after organisational and operational changes have taken place to assure assumptions remain valid and the change was effective.			<input type="checkbox"/>	<input type="checkbox"/>			
8.8	Safety accountabilities, authorities and responsibilities are reviewed as part of the change.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when the organisation uses the safety risk management system to proactively assess all significant changes to the organisation and its operations.

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Element 9 Continuous Improvement of the SMS

CAR 100.3(a)(3)(iii) / ICAO Annex 19, Appendix 2 – 3.3

The organisation is required to develop and maintain a process to identify opportunities to continuously improve its overall safety performance.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
9.1	The CEO (or persons accountable to the CEO) has the necessary authority to make decisions related to the improvement and effectiveness of the SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
9.2	The SMS is regularly reviewed for improvements in safety performance and the outcome documented.			<input type="checkbox"/>	<input type="checkbox"/>			
9.3	A register of all safety related third party contractors and suppliers is kept and maintained.			<input type="checkbox"/>	<input type="checkbox"/>			
9.4	Safety related third party contractors and suppliers who do not have an SMS are included in the scope of the organisation's SMS.			<input type="checkbox"/>	<input type="checkbox"/>			
9.5	Contracts/service level agreements specifying safety standards are in place with safety related service providers.			<input type="checkbox"/>	<input type="checkbox"/>			
9.6	There is evidence of continuous improvement of the SMS.			<input type="checkbox"/>	<input type="checkbox"/>			
9.7	Evidence of lessons learnt is incorporated into policy and procedures.			<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
9.8	The organisation benchmarks its SMS against industry best practice and is an active promoter of SMS.			<input type="checkbox"/>	<input type="checkbox"/>			
9.9C	Best practice is sought and embraced.							
9.10C	Surveys and assessments of organisational culture are carried out at regular intervals and acted upon.							
9.11	For safety related services the organisation requires contracted organisations to have an SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
9.12	For safety related services the SMS of the contracted organisation is interactive with that of the contracting organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when the organisation routinely monitors the SMS performance to identify potential areas of improvement and the outcomes of this process lead to improvements to its overall safety performance.

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Element 10 Internal Audit Programme

CAR 100.3(a)(3)(iii) / ICAO Annex 19, Appendix 2 – 3.3

The organisation is required to develop and maintain a process to conduct internal audits to assess compliance, conformance and system effectiveness.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
10.1	There is a defined internal audit programme or plan that covers all of the organisation's operations over a specified period and extends to any third party service provider.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.2	Internal audits are being conducted to assess compliance, conformance and system effectiveness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.3	Audits are performed by persons competent in auditing skills and techniques.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.4	Auditing personnel have operational independence of the area being audited.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.5	Analytical methods are used to identify the root causes of non-conformances or deviations to ensure actions are effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.6	There is a process for monitoring corrective and preventative actions resulting from audits to ensure required actions are appropriate, implemented in a timely manner, and effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.7	The operation of the internal audit programme is itself subjected to independent audit under the quality assurance programme.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
10.8	There is a planned, comprehensive internal audit process that is sufficiently flexible to accommodate a risk-based approach.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10.9	Audit process not only audits against the documented standards, procedures and practices, but also seeks to identify risk, or hazards and review existing controls for effectiveness.			<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when the organisation has a safety audit programme that is defined and fully implemented that examines compliance, conformance and system effectiveness.

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Element 11 Management Review

CAR 100.3(a)(3)(iii) / ICAO Annex 19, Appendix 2 – 3.3

The organisation is required to develop and maintain a process to ensure continuing effectiveness of the organisation's safety processes and procedures, and to assess opportunities for improvement.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
11.1	There is a documented and demonstrated method of conducting regular reviews by senior management of the effectiveness of the SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
11.2	There is a documented process specifying the frequency of management reviews using a structured agenda.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
11.3	There is a process whereby the results of the review are evaluated and recorded, and conclusions implemented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
11.4	Taken into account are changes in risk exposure, stakeholders, business environment and performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when senior management review the effectiveness of the safety management system (in terms of performance, policies and procedures, effectiveness in addressing safety related findings and achieving continuous safety improvement) and implement appropriate changes.

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Element 12 Safety Training and Competency

CAR 100.3(a)(4) / ICAO Annex 19, Appendix 2 – 4.1

All personnel are trained and competent to fulfil their SMS related duties and the training programme is monitored for effectiveness and updated.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
12.1	There is a documented process to identify and provide Safety Management training, including initial and recurrent training, so that personnel are competent to fulfil their safety responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.2	The training syllabus, eligibility and requirements are documented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.3	The organisation's SMS training is part of the organisation's overall training programme.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.4	There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.5	There is a process that evaluates the individual's competence that considers knowledge, skill and attitudes, and takes appropriate remedial action when necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.6	A training record is maintained for all staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
12.7C	Training includes human and organisational factors including just culture and non technical skills with the intent of reducing human error.							
12.8	Training requirements are documented for each area of activity within the organisation, including areas where training requirements are not defined by regulations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.9	A training needs analysis is carried out for all staff and is regularly reviewed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12.10	SMS training is provided for third party contractors working in activities related to the company's operation.			<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance
12.11	Employees have a means to request additional SMS training in relation to their role in SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12.12	Management recognise and uses informal opportunities to instruct employees on safety management.			<input type="checkbox"/>	<input type="checkbox"/>	
12.13	SMS training includes attendance at industry forums and conferences.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12.14	SMS training exercises and methods for all employees are kept current to reflect such things as: <ul style="list-style-type: none"> o new techniques o technologies o results of investigations o corrective actions o regulatory changes 			<input type="checkbox"/>	<input type="checkbox"/>	
12.15	An annual training plan is in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Effectiveness is achieved when all personnel are trained and competent to perform their SMS related duties and the training programme is monitored for its effectiveness and updated.	
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Element 13 Communication of Safety Critical Information

CAR 100.3(a)(4) / ICAO Annex 19, Appendix 2 – 4.2

The organisation should develop and maintain a process for safety communication that ensures all personnel are fully aware of the SMS, conveys safety critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

Acceptable Means of Compliance + Performance Indicators		P	S	O	E	Manual Ref.	How it is achieved	Verification
13.1	Safety initiatives, strategies and information are communicated throughout the organisation to staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
13.2	Significant safety events and investigation outcomes are communicated to staff, including contracted organisations where appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
13.3	Internal and external sources of safety information are defined in SMS documentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Best Practice Indicators (not required for SMS certification)		P	S	O	E	How it is achieved to improve overall safety performance		
13.4	There is a safety communication plan that utilises means such as: <ul style="list-style-type: none"> · electronic communication (emails, web-based presentations) · regular safety meetings · SMS newsletter etc. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
13.5	The effectiveness of safety communication is regularly assessed and the plan revised as required.			<input type="checkbox"/>	<input type="checkbox"/>			
13.6	Safety-related information is proactively shared with other organisations.			<input type="checkbox"/>	<input type="checkbox"/>			

Effectiveness is achieved when personnel are aware of the SMS, safety critical information and their role in respect of aviation safety.

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