AZƏRBAYCAN RESPUBLİKASININ
NƏQLİYYAT, RABİTƏ VƏ YÜKSƏK TEXNOLOGİYALAR NAZİRLİYİ
DÖVLƏT MÜLKİ AVİASİYA AGENTLİYİ

Ə M R

№ 30

Bakı şəhəri "08" aprel 2021

"Technical Requirements and Implementation Guidelines for Safety Management System", "Safety Management System Assesment Tool" sənədlərinin 1-ci nəşrlərinin və Aviasiya Təhlükəsizliyi Formalarının qüvvəyə minməsi barədə

Azərbaycan Respublikası Prezidentinin 27 iyun 2019-cu il tarixli 756 nömrəli Fərmanının 3.1.3-cü bəndində nəzərdə tutulmuş "Uçuşların təhlükəsizliyinin idarə edilməsi sisteminin təşkili Qaydası"na və Uçuşların Təhlükəsizliyi üzrə Dövlət proqramına əsasən xidmət təminatçıları tərəfindən uçuşların təhlükəsizliyinin idarə edilməsi sisteminin təşkili məqsədilə "Technical Requirements and Implementation Guidelines for Safety Management System", "Safety Management System Assesment Tool" sənədlərinin 1-ci nəşrləri və Aviasiya Təhlükəsizliyi Formaları işlənib hazırlanmışdır.

Sözügedən sənədlərin tətbiqini təmin etmək məqsədilə "Azərbaycan Respublikasının Nəqliyyat, Rabitə və Yüksək Texnologiyalar Nazirliyi yanında Dövlət Mülki Aviasiya Agentliyi haqqında Əsasnamə"nin 5.6.6-cı yarımbəndini rəhbər tutaraq, **əmr edirəm:**

1. "Technical Requirements and Implementation Guidelines for Safety Management System", "Safety Management System Assesment Tool" sənədlərinin 1-ci nəşrləri və Aviasiya Təhlükəsizliyi Formaları 12 aprel 2021-ci il tarixindən qüvvəyə minsin.
2. Sənədlərin Dövlət Mülki Aviasiya Agentliyinin (DMAA) və "Mülki Aviasiyada Uçuşların Təhlükəsizliyi üzrə Dövlət Müfəttişliyi"nin aidiyyəti mütəxəssisləri tərəfindən öyrənilməsi və icrası təşkil edilsin.
3. Sənədlərin yenilənmiş versiyaları DMAA-nın rəsmi internet saytında yerləşdirilsin.
4. Əmr bütün şəxsi heyətə çatdırılsın.
5. Əmrin icrasına nəzarət direktorun müavini Hacıağa Hacıyevə həvalə edilsin.

Direktor **Arif Məmmədov**

APPROVED
by SCAA Director Order
№ 30 dd. 08 April 2021

Safety Management System Assessment Tool

State Civil Aviation Agency of the Republic of Azerbaijan

Document № AAR-SMS-002

Edition № 01

Effective date: dd. 12.APR.2021

Baku

https://www.caa.gov.az

INTENTIONALLY LEFT BLANK

0.2 TABLE OF CONTENT

0 ADMINISTRATION AND CONTROL OF THE DOCUMENT 1

0.1 Approval Page 1

0.2 Table of Content 3

0.3 List of Effective Pages 5

0.4 Distribution and Control 7

0.5 Records of Amendments and Revisions 9

0.6 Administration and Control 11

1 SAFETY POLICY AND OBJECTIVES 1

1.1 Management Commitment 1

1.2 Safety Accountability and Responsibilities 9

1.3 Appointment of Key Personnel 12

1.4 Co-Ordination of Emergency Response Planning 15

1.5 SMS Documentation 17

2 SAFETY RISK MANAGEMENT 1

2.1 Hazard Identification 1

3 SAFETY ASSURANCE 1

3.1 Safety Performance Monitoring and Measurement 1

3.2 Management of Change 4

3.3 Continuous Improvement of the SMS 7

SUMMARY COMMENTS: 9

3.3 CONTINUOUS IMPROVEMENT OF THE SMS 9

4 SAFETY PROMOTION 1

4.1 Training and Education 1

4.2 Safety Communication 4

5 ADDITIONAL ITEMS TO BE CONSIDERED 1

5.1 Interface Management 1

5.2 Compliance Monitoring 3

6 ASSESMENT RESULT 1

INTENTIONALLY LEFT BLANK

0.3 LIST OF EFFECTIVE PAGES

	Chapter 0	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00
3	12.APR.2021	00
4	12.APR.2021	00
5	12.APR.2021	00
6	12.APR.2021	00
7	12.APR.2021	00
8	12.APR.2021	00
9	12.APR.2021	00
10	12.APR.2021	00
11	12.APR.2021	00
12	12.APR.2021	00
13	12.APR.2021	00
14	12.APR.2021	00
15	12.APR.2021	00
16	12.APR.2021	00
	Chapter 1	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00
3	12.APR.2021	00
4	12.APR.2021	00
5	12.APR.2021	00
6	12.APR.2021	00
7	12.APR.2021	00
8	12.APR.2021	00
9	12.APR.2021	00
10	12.APR.2021	00
11	12.APR.2021	00
12	12.APR.2021	00
13	12.APR.2021	00
14	12.APR.2021	00
15	12.APR.2021	00
16	12.APR.2021	00
17	12.APR.2021	00
18	12.APR.2021	00
19	12.APR.2021	00
20	12.APR.2021	00
	Chapter 2	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00
3	12.APR.2021	00
4	12.APR.2021	00
5	12.APR.2021	00
6	12.APR.2021	00
7	12.APR.2021	00
8	12.APR.2021	00
	Chapter 3	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00
3	12.APR.2021	00
4	12.APR.2021	00
5	12.APR.2021	00
6	12.APR.2021	00
7	12.APR.2021	00
8	12.APR.2021	00
9	12.APR.2021	00
10	12.APR.2021	00
	Chapter 4	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00
3	12.APR.2021	00
4	12.APR.2021	00
5	12.APR.2021	00
6	12.APR.2021	00
	Chapter 5	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00
3	12.APR.2021	00
4	12.APR.2021	00
5	12.APR.2021	00
6	12.APR.2021	00
7	12.APR.2021	00
8	12.APR.2021	00
	Chapter 6	
Page	**Effective date**	**Revision #**
1	12.APR.2021	00
2	12.APR.2021	00

INTENTIONALLY LEFT BLANK

0.4 DISTRIBUTION AND CONTROL

Copy #	Type of Copy	Department	Location
Master	**(S)**	Quality Control And Rulemaking	SCAA Library/ Intranet
1	**(S)**	Quality Control And Rulemaking	Q-Pulse

S) Soft Copy - (electronic version)

(H) Hard Copy – (printed version)

Note: *Electronic and hard copies are considered "uncontrolled" if they are printed or not included into this distribution list.*

INTENTIONALLY LEFT BLANK

0.5 RECORDS OF AMENDMENTS AND REVISIONS

Ed./Rev. №:	Effective date:	Reason
Ed.01	12.04.2021	

Edition: - *Release of a document having incorporated all previous revisions until the current version. New edition of a document will not show revised text in blue color. Current edition of a document shown on each page in footer.*

Revision: *- A change made to a part of document, where it is reflected with blue text or accompanied with a vertical line on right side of a document. Basic information on revisions (number and date) given in the List of effective Pages and indicated in header of affected page and in context itself.*

INTENTIONALLY LEFT BLANK

0.6 ADMINISTRATION AND CONTROL

This document is published as a book on A4-sized sheets. The PDF files will be locked and signed to prevent changes.

This document is regularly revised and amended. All personnel must be familiarized with all revisions done.

This document will be Amended and Revised in accordance with requirements of "Documentation and Control" procedure.

AUDIT INFORMATION					
Audit Tile :				**Date :**	
Organisation :				**Certificate Number**	
Nominated Post Holder *(Name Surname)*		**Signature**		**Stamp:** *(Accountable Manager)*	
Accountable Manager *(Name Surname)*		**Signature**			
CAA Lead Inspector – Name:		**Compliance☐**		**Oversight ☐**	
CAA Inspectors – Name:					
AUDIT CRITERIA					
Applicable AARs :		**Other Applicable Regulations (AARs, Safety Alert, Safety Decision)**			
Applicable Manual – Q-Pulse Ref.		Revision Number:			

Introduction

ICAO Annex 19, second edition, promotes a common approach to safety management and safety oversight across aviation domains. This document provides a common assessment methodology focusing both on assessment and continual improvement of the Safety Management System/SMS within the scope of the CAA oversight.

A common approach to assessing Safety Management System/SMS effectiveness supports the evolution from traditional, compliance based oversight to performance-based oversight, provides a common baseline for Safety Management System/SMS effectiveness assessment and creates a sound basis for mutual acceptance of SMS under bilateral agreements.

The assessment tool is designed to be used by both the CAA and by organisations, to assess the effectiveness of their own Safety Management System/SMS, for the purpose of continuous improvement. The resulting assessment may be discussed with the CAA, in order to obtain a common understanding of SMS effectiveness. Organisations could also use the tool to assess the Safety Management System/SMS of subcontract organisations.

How and When the Tool is Used

This Safety Management System assessment tool is intended to be used for both initial certification (initial implementation of the Safety Management System/SMS) and continuing oversight.

Initial Certification/Implementation

Before issuing the certificate, the CAA shall make sure that all processes are “Present” and “Suitable”, so that all the required enablers of a functioning SMS are implemented by the organisation. In this initial certification phase, a large part of the SMS assessment shall be carried out by a desktop review of relevant Safety Management System/SMS Documentation. However, carrying this out at the organisation provides an opportunity for the inspector to advise and guide the organisation on its SMS implementation and support standardised implementation.

Continuing Oversight

After initial implementation, the organisation should start using the Safety Management System/SMS as part of its operations. The CAA shall ensure that within the first oversight planning cycle the organisation’s Safety Management System/SMS processes are “Present”, “Suitable” and “Operating”. An organisation may eventually have “Effective” processes, which is the evidence of an effective SMS. In order to check that SMS processes are indeed “Operating” and/or “Effective” the Safety Management System/SMS shall be re-evaluated on a regular basis to assess how well it is performing. The review shall involve assessment of all of the items in the assessment tool which can be done by a combination of organisational visits, meetings and desk top reviews.

As an organisation’s Safety Management System/SMS processes mature and it evolve into ‘Operating’ and ‘Effective’ this may also require subsequent review of the ‘suitability’ criteria. Changes to an organisation’s approval may also require a reconsideration of the suitability of the SMS processes. So when significant changes take place the CAA may determine the need to review the existing assessment to ensure it is still appropriate.

Credit for Other Oversight Activities

Valuable information about Safety Management System/SMS effectiveness can be gained from other oversight activities. This may include such activities as routine compliance audits and inspections, occurrence investigations and meetings with the organisation. This should be taken into consideration by the inspector through liaison with other inspectors involved in the oversight of the organisation.

Reduction of Oversight Frequency

In the context of performance based oversight, the CAA will reduce the oversight frequency to 24 months for some organisations on the following basis:

the organisation has demonstrated an effective Safety Management System/SMS;

the organisation has continuously demonstrated under AAR-SMS-001 2.3.2, that it has full control over all changes;

no level 1 findings have been issued; and

all corrective actions have been implemented within the time period accepted or extended by the CAA.

Organizations with Multiple Certificates

In the case of an organisation holding multiple approval certificates, the use of the Safety Management System/SMS assessment tool shall follow the rule “1 Safety Management System/SMS = 1 assessment”. Therefore, the organisation should integrate all certificates within a single Safety Management System/SMS, the assessment should consider the Management System/SMS as a whole.

Tool Guidance

The tool assesses the compliance and effectiveness of the Management System/SMS through a series of features based on ICAO Annex 19 Second Edition and AAR-SMS-001 - SafetyManagement System requirements for organisations with relevant cross reference to other AAR SMS requirements. It is set out using the 12 elements of the ICAO SMS Framework andsome additional Management System requirements. Each feature should be reviewed to determine whether the feature is present, suitable and operating and effective, using thedefinitions and guidance set out below.

The tool is partially completed by the organisation (Present, Suitable and Operating) to assess itself and by the CAA Inspector to verify and validate the organisation’s assessment.

Applicability

The assessment tool can be used to assess any size of organisation. However, due consideration should be given to the size, nature and complexity of an organisation to assess whether the individual feature of the SMS is ‘Suitable’. Inspectors should refer to any existing regulations that define what the Safety Management System/SMS may look like for non-complex organisations when considering if a feature is ‘Suitable’. The Inspectors should also consider any applicable Alternative Means of Compliance as part of the Safety Management System/SMS assessment.

The tool has been modified to capture the AAR-SMS-001 Safety Management System/SMS requirements.

Definitions

Present: There is evidence that the feature is documented within the organisation's Safety Management system/SMS Documentation.

Suitable: The feature is suitable based on the size, nature, complexity of the organisation and the inherent risk in the activity.

Operating: There is evidence that the feature is in use and an output is being produced.

Effective: There is evidence that the feature is achieving the desired outcome and has a positive safety impact.

For Present, Operating and Effective a 'word picture' is included to help the inspector determine the correct level. The word picture for 'Suitable' may not apply to all organizations, as this is specific to the individual organisation and impossible to define for all types and sizes of organisations. It is the responsibility of the organisation to determine the suitability and to justify to the CAA Inspectors who will then assess it.

The PSOE level should be considered as progressive; it must first be present, then confirmed as suitable, then it becomes operating and may then be effective. During ongoing assessments the suitability should be reassessed taking into account changes to the organisation and its activities.

An item cannot be considered Effective if it is not present because if it is not documented it cannot be carried out consistently and systematically.

What to look for: This column guides the inspector when looking at each individual feature and is not meant to be a checklist. The items listed are not specific to an individual PSOE level but remind the inspector of areas they may want to consider to look at. Some items in this column may not be relevant depending on the type or nature of the organisation.

Level of Detail to be Recorded

It is important that the inspector using the assessment tool records evidence of the assessment. Evidence includes documentation, reports, records of interviews and discussions. For example, for an item to be present the evidence is likely to be documented only, whereas for assessing whether it is operating it may involve assessing records as well as face to face discussions with personnel within an organisation.

Findings and Observations

For the initial certification, all the processes should be present and suitable. If any are not then the deficiencies should be raised as findings and approval should not be granted. After initial certification, during the assessment if a process is found not to be operating, a finding should be raised.

Where a feature is found not to be effective the inspectors may consider issuing an observation to give rise to suggested improvements. However, findings should not be issued if the process is 'Operating' but not 'Effective'.

The completed assessment tool with the CAA detailed comments from the assessment should be provided to the organisation along with a report that captures any findings and observations to assist in continuous improvement of the SMS and support a positive safety culture at a State level.

Scoring the Safety Management System/SMS assessment

The main objective of the assessment tool is to assist the CAA assess the Safety Management System/SMS for effectiveness in a consistent and quantifiable

manner. Scoring is not intended to be used as a pass / fail criteria but to help assess the maturity of the SMS as a benchmark against other organisations and to aid in continuous improvement. Scoring is exponential so that a higher score is achieved for being Effective to encourage organisations to strive to achieve that level for their processes. A minimum score of 75% in each component of the Safety Management System/SMS must be achieved for the SMS to be declared effective.

Assessment of Just Culture

When carrying out the SMS assessment the Inspector should be sensitive to the organisation's just culture when sampling documents for evidence. This is especially important when looking at safety investigations and reporting systems. This may be achieved by asking the organisation to remove any sensitive information from documents or by the assessor applying just culture principles to any documents they review. This should also include avoiding detailing names of individuals interviewed during the SMS assessment and only recording the position of those individuals i.e 'Safety Manager' or 'a flight crew member' etc.

Recommended Audit Sequencing

Although the SMS assessment tool follows the ICAO Annex 19 SMS framework structure there are benefits from starting the assessment with Safety Risk Management followed by Safety Assurance as these are the core activities of an effective SMS. This will ensure an appropriate allocation of time is given to these 2 components and their elements. In sequencing the assessment in this way many of the aspects of Safety Policy and Objectives will be revealed during the first 2 components and can be credited.

1 SAFETY POLICY AND OBJECTIVES

1.1 MANAGEMENT COMMITMENT

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
2.1.1 (e) 2.1.1 (g)	The service provider shall define its safety policy in accordance with AAR-SMS-001. The safety policy shall: e) be signed by the accountable executive of the organization g) be periodically reviewed to ensure it remains relevant and appropriate to the service provider											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a safety policy that includes a commitment to continuous improvement, observe all applicable legal requirements, standards and considers best practice signed by the accountable manager.			There are no suitability considerations. A safety policy should be short and succinct whether it is in a large complex organisation or in a small simple organisation.			It is reviewed periodically to ensure it remains relevant to the organisation. The accountable manager is familiar with the contents of the safety policy.			The accountable manager is familiar with the contents of the safety policy. The policy is updated for continuous improvement.		
Assessment results											
What to look for											
- Safety Policy signed by the Accountable Manager. - Ensure that All Safety components are detailed in the Safety Policy are presents. - What triggers the last revision of the Safety Policy? - Talk to accountable manager to assess his/her knowledge and understanding of the safety policy. - Interview staff to determine how readable and understandable it is.											
Annex 19 SARPS											
1.1.1											

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
2.1.1 (b)	The safety policy shall: b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**	
The safety policy includes a statement to provide appropriate resources.			The larger the organisation the more likely a sophisticated resource management tool is needed.			The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.			The organisation is reviewing and taking action to address any forecasted shortfalls in resources.			
Assessment results												
What to look for												
- Review available resources including personnel, equipment andfinancial. - There are sufficient and competent personnel. - Review planned manpower vs actual manpower. - SAG minutes are reporting resources issues.												

Annex 19 SARPS											
1.1.2											
AAR-SMS-001 Reference			**AAR-SMS-001 Requirements**								
2.1.1 (f)			The safety policy shall : f) be communicated, with visible endorsement, throughout the organization								
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a means in place for the communication of the safety policy.			Consider whether the means of communication has sufficient visibility for all staff, and where appropriate, customers and staff in external.			The safety policy is communicated to all personnel (including relevant contract staff and organisations).			People across the organisation are familiar with the policy and can describe their obligations in respect of the safety policy.		
Assessment results											
What to look for											
- Review how safety policy is communicated. - Safety policy is clearly visible. - Question managers and staff regarding knowledge of the safety policy.											

Annex 19 SARPS	
1.1.3	

AAR-SMS-001 Reference	**AAR-SMS-001 Requirements**
2.1.1 (a) 2.1.1 (c)	The safety policy shall a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture.

PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
The management commitment to safety is documented within the safety policy.			Consider how a positive safety culture is promoted and assessed in organisations that have multiple sites and bases.			The accountable manager and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system.			Decision making, actions and behaviours reflect a positive safety culture and there is good safety leadership that demonstrates commitment to the safety policy.		

Assessment results			

What to look for

- All Managers are familiar with the key elements of the safety policy.
- Evidence of senior management participation in safety meetings - Review Attendance list of SRM, SAG, and review delegation list.
- Evidence of senior management participation in safety training, conferences.
- Feedback from safety culture surveys and related actions.
- Relationship with regulator and other stakeholders (how can it beseen).

Annex 19 SARPS	
1.1.4	

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
2.1.1 (c) 2.1.1 (d) AMC1 to 2.1.2(a) (d)	The safety policy shall : d) Clearly indicate which types of behaviors are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
A Just Culture Policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a Just Culture.			Consider whether there are supporting procedures for the just culture policy and in larger organisation and independent review board to make any decisions on disciplinary actions.			There is evidence of the Just Culture policy and supporting principles being applied and promoted to staff.			The Just Culture policy is applied in a fair and consistent manner and people trust the policy. There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff and staff representatives.		
Assessment results											

What to look for

Annex 19 SARPS	
1.1.5	

AAR-SMS-001 Reference	AAR-SMS-001 Requirements
GM to 2.1.1 (b), 2.1.1 (g) AMC1 to 2.1.2 (a)(b)	Taking due account of its safety policy, the service provider shall define safety objectives. The safety objectives shall: a) form the basis for safety performance monitoring and measurement as required by 2.3.1. b) reflect the service provider's commitment to maintain or continuously improve the overall effectiveness of the SMS. c) be communicated throughout the organization. d) be periodically reviewed to ensure they remain relevant and appropriate to the serviceprovider.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organisation.			Consider whether the safety objectives selected are suitable for the type of activity and the size and nature of the organisation. A small organisation may just have one or 2 safety objectives.			Safety objectives are being regularly reviewed and are communicated throughout the organisation.			Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met.		

Assessment results			
What to look for			
- Assess whether the safety objectives are appropriate andrelevant? - Objectives are defined that will lead to an improvement in processes, outcomes and the development of a positive safety culture. - Assess how safety objectives are communicated throughout theorganisation. - Safety objectives are being measured to monitor achievement throughSPIs. - SPI reported in SRM and action taken in case of Alert Level reached.			
Annex 19 SARPS			
1.1.6			

SUMMARY COMMENTS: 1.1 MANAGEMENT COMMITMENT

1.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
2.1.2 (a) AMC1 to 2.1.2 (a) - (b), (c), (d)	The service provider shall : a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization, for the implementation and maintenance of an effective SMS.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
An accountable manager has been appointed with full responsibility and ultimate accountability for the SMS.			Consider whether the right person is selected for the role of the Accountable Executive, their ability to control resources and their proximity to the operation (neither too remote or where there may be a conflict of interest).			The accountable manager ensures that the SMS is properly resourced, implemented and maintained and has the authority to stop the operation if there is an unacceptable level of safety risk.			The accountable manager ensures that the performance of the SMS is being monitored, reviewed and improved.		
Assessment results											
What to look for											
- Evidence that the accountable manager has the authority to provide sufficient resources for relevant safety improvements. - Evidence of decision making on riskacceptability. - Review SMS activities are being carried out in a timely manner and the SMS is sufficiently resourced. - Evidence of activities being stopped due to unacceptable level of safety risk.											

Annex 19 SARPS	
1.2.1	

AAR-SMS-001 Reference	AAR-SMS-001 Requirements
2.1.2 (b) 2.1.2 (c) 2.1.2 (d 2.1.2 (e)	The service provider shall: b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management, c) identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organisation, d) document and communicate safety accountability, responsibilities, and authorities throughout the organization, e) define the levels of management with authority to make decisions regarding safety risktolerability.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
The safety accountability, authorities and responsibilities are clearly defined and documented.			Consider whether they have been defined clearly enough for the individuals. Large complex organisations may require several organisational charts to show the organisational structure and lines of accountability whereas a small organisation may just need a single chart.			Everyone in the organisation is aware of and fulfil their safety responsibilities, authorities and accountabilities and encouraged to contribute to the SMS.			The accountable manager and the senior management team are aware of the risks faced by the organisation and safety management system principles exist throughout the organisation so that safety is part of the everyday language.		

Assessment results

What to look for

- Question managers and staff regarding their roles and responsibilities.
- Confirm senior managers are aware of the organisation’s safety performance and its most significant risks.
- Evidence of managers having safety related performance targets.
- Look for active participation of the management team in the SMS.
- Evidence of appropriate risk mitigation, action andownership.
- Levels of Management authorised to make decisions on risk acceptance are defined.
- Acceptance of risk is aligned withauthorisations.

Annex 19 SARPS	

1.2.2	
SUMMARY COMMENTS: **1.2 SAFETY ACCOUNTABILYTY AND RESPONSIBILITIES**	

1.3 APPOINTMENT OF KEY PERSONNEL

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
2.1.3 , 2.1.3.1 ,AMC to 2.1.3.1 (a)	The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line with the accountable manager.			The Safety Managers background/experience & qualifications are appropriate for the size and complexity of the organisation. Check position description/role requirements for the Safety Manager.			The safety manager has implemented and is maintaining the SMS. The safety manager is in regular communication with the accountable manager and escalates safety issues when appropriate.			The safety manager is competent to manage the SMS and identifying improvements in a timely manner. There is a close working relationship with the accountable manager and the safety manager is considered a trusted advisor and given appropriate status in the organisation.		
Assessment results											
What to look for											
- Review safety manager role including credibility and status. - Appropriate safety training received. - Evidence of maintained competency. - Review how the safety manager gets access to internal and external safetyinformation. - Review how the safety manager communicates and engages with operational staff and senior management. - Review safety manager workload / allocated time to fulfil role. - Check there are sufficient resources for SMS activities such as safety investigation, analysis, auditing, safety meeting attendance and promotion. - Review of safety report action and closuretimescales. - Interviews with accountable manager and safety manager.											
Annex 19 SARPS											
1.3.1: Annex 19 Note: *Depending on the size of the service provider and the complexity of its aviation products or services, the responsibilities for the implementation and maintenance of the SMS may be assigned to one or more persons, fulfilling the role of safety manager, as their sole function or combined with other duties, provided these do not result in any conflicts of interest.*											

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
GM to AMC to 2.1.3.1 (j)	Management System AMCs for complex organisations.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
The organisation has established appropriate safety committees(s) that discuss and address safety risks and compliance issues and includes the accountable manager and the heads of functional areas.			Review safety committee and meeting structure incl. Terms of Reference for each committee / meeting, Meeting attendance levels, meeting records and actions. Outcomes are communicated to the rest or the organisation.			There is evidence of meetings taking place in accordance with the terms of reference detailing the attendance and frequency of meetings. The safety committees monitor the effectiveness of the SMS and compliance monitoring function by reviewing there are sufficient resources, actions are being monitored and appropriate safety objectives and SPIs have been established.			Safety committees include key stakeholders. The outcomes of the meetings are documented and communicated and any actions are agreed, taken and followed up in a timely manner. The safety performance and safety objectives are reviewed and actioned as appropriate.		
Assessment results											

What to look for

- Review safety committee and meeting structure and Terms of Reference for each committee / meeting.
- Review meeting attendance levels (SRB and SAG).
- Review meeting records and actions.
- Outcomes are communicated to the rest or theorganisation
- Evidence of safety objectives, safety performance and compliance being reviewed and discussed at meetings.
- Participants challenging what is being presented when there is limitedevidence.
- Senior management are aware of the most significant risks faced by the organisation and the overall safety performance of the organisation.
- Safety Strategies are implemented by SAG

Annex 19 SARPS	
1.3.2	

SUMMARY COMMENTS:

1.3 APPOINTMENT OF KEY PERSONEL

1.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
2.1.4 AMC to 2.1.4 (f)	The service provider required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
An appropriate emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities and actions of the various organisations and key personnel.			Structure of Plan matches with scope of activity. Agreement (SLA) and Coordination with internal and external Stakeholders (as described in the ERP). Training and Competencies as appropriate.			The ERP is reviewed and tested to make sure it remains up to date. Key personnel have easy access to the relevant parts of the ERP at all times. There is evidence of coordination with other organisations as appropriate.			The results of the ERP review and testing are assessed and actioned to improve its effectiveness.		
Assessment results												
What to look for												
- Review emergency response plan. - Review how co-ordination with other organisations is planned. - Review how ERP is distributed and where copies areheld. - Talk to key personnel and check they have access to the ERP - Different types of foreseeable emergencies have beenconsidered. - Review when plan was last reviewed and tested and any actions taken as aresult.												

Annex 19 SARPS	
1.4.1	

SUMMARY COMMENTS:

1.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

1.5 SMS DOCUMENTATION

AAR-SMS-001 Reference	AAR-SMS-001 Requirements											
GM to AMC2.1.5 (a) Appendix 8,1	The service provider shall develop and maintain an SMS manual that describes its (*Endorsed by the Accountable Manager)*: a) safety policy and objectives b) SMS requirements c) SMS processes and procedures d) accountability, responsibilities and authorities for SMS processes andprocedures											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes.			SMS documentation includes not only general contents but also contents which reflect the size, nature and complexity of the service provider and/or SMS documentation is reviewed and updated based on the specific condition of the service provider's.			SMS documentation is consistent with other internal management systems and is representative of the actual processes in place. Changes to the SMS documentation are managed Everyone has easy access to, familiar with and follow the relevant parts of the SMS documentation.			SMS Documentation is proactively reviewed for improvement.		
Assessment results											
What to look for											
- Review the SMS Documentation and amendment procedures. - Check for cross references to other documents andprocedures. - Check availability of SMS documentation to all staff. - Check staff know where to find safety related documentation including procedures appropriate to their role.											
Annex 19 SARPS											
1.5.1											

AAR-SMS-001 Reference	AAR-SMS-001 requirements
2.1.5 (b) **AMC to 2.1.5 (b)**	The service provider shall develop and maintain SMS operational records as part of its SMS documentation.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
The SMS documentation defines the SMS outputs and which records of SMS activities will be stored.			SMS operational records to be stored are appropriately selected based on the size, nature and complexity of service provider and system for gathering and storing SMS operational record is appropriately developed.			SMS Outputs are produced as per Manual. SMS activities are appropriately stored and found to be complete and consistent with appropriate data protection and control.			SMS records are routinely used as inputs for safety management related tasks and continuous improvement of the SMS.		

Assessment results			

What to look for

- Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc).
- Check how safety records are stored and versioncontrolled.
- Data protection and confidentiality rules have been defined and are consistentlyapplied.
- Check appropriate staff are aware of the records control processes andprocedures.

Annex 19 SARPS	
1.5.2	

SUMMARY COMMENTS: 1.5 SMS DOCUMENTATION

SAFETY POLICY AND OBJECTIVES SUMMARY		
Number of Markers assessed as being effective:	(out of 13)	
Percentage of Markers assessed as being effective:	(100/13 x number of effective markers)	
Effectiveness Achieved for Component:	(Must be in excess of 75%)	**YES / NO** (delete as appropriate)

INTENTIONALLY LEFT BLANK

2 SAFETY RISK MANAGEMENT

2.1 HAZARD IDENTIFICATION

AAR-SMS-001 Reference	AAR-SMS-001 requirements
2.2.1 AMC 1 to 2.2.1	The service provider shall develop and maintain a process to identify hazards associated with its aviation products or services. Hazard identification shall be based on a combination of reactive and proactive methods.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
There is a process that defines how reactive and proactive hazard identification is gathered from multiple sources (internal and external).			Different sources (reporting, internal audit results, safety surveys, safety investigations etc) are defined to be used as a source for continuing reactive and proactive hazard identification. Hazard identification process is defined so that it can be included as a part of all daily operations and management of the organization and makes possible effective hazard identification. Process acts and recognizes situations where hazards activate safety investigation.			The hazards are identified and documented. Human and organisational Factors related hazards are being identified.			The organisation has a register of the hazards that is maintained and reviewed to ensure it remains up to date. It is continuously and proactively identifying hazards related to its activities and operational environment and involves all key personnel and appropriate stakeholders. Hazards are assessed in a systematic and timely manner.		

Assessment results			

What to look for

- Review how hazards are identified, analysed andrecorded.
  - Consider hazards related to: + possibleaccident scenarios + Human and organisational factors + business decisions and processes + Third party organisations
  - Review what internal and external sources of hazards are considered such as: Safety reports/audits safety surveys/investigation /inspection/ brainstorming/Management of Change activities/Commercial and other external influencesetc.
- Investigations of safety occurrences establish causal/contributing factors (why it happened, not just what happened) and identify Human and organisational contributing factors.
- Hazards identified from occurrences are processed in compliance with AAR-SMS-001

Annex 19 SARPS	
2.1.1	

AAR-SMS-001 Reference	AAR-SMS-001 requirements									
AMC2 to 2.2.1	Safety reporting procedures									
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. Responsibilities have been defined. The process identifies how reports are actioned and timescales specified.			Addition to Present. All reporting systems, including confidential reporting schemes include an effective feedback Process. Feedback process including responsibilities and time-lines concerning feedback from different phases of reporting process (receiving, analysing etc) are defined.			The reporting system is simple to use, being used and accessible to all personnel. There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation. Reports are evaluated, processed, analysed and stored. People are aware and fulfil their responsibilities in respect of the reporting system. Reports are processed within the defined timescales.			There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner Personnel express confidence and trust in the organisations reporting policy and process. The reporting system is being used to make better management decision making and continuous improvement. The reporting system is available for third parties to report (partners, suppliers, contractors).		
Assessment results											

What to look for
- Review the reporting system for access and ease of use (e.g. – Safety Reporting Box in a private area). - Check staff trust the reporting system, are familiar with it and know what should be reported. - Review how data protection and confidentiality is achieved. - Evidence of feedback to reporter, the organisation and thirdparties. - Assess volume and quality of reports including self-reporting. - Review report closure rates. - Check availability to contracted organisations and customers to makereports. - The system supports analysis andfollow-up. - Confirm responsibilities with regards to occurrence analysis, storage and follow-up clearly defined. - Check relevant staff are aware of which occurrences should bemandatory. - Assess how senior management engage with the outputs of the reportingsystem.

Annex 19 SARPS	
2.1.2	

SUMMARY COMMENTS: 2.1 HAZARD IDENTIFICATION

AAR-SMS-001 Reference	AAR-SMS-001 requirements							
2,2,2 GM to 2.2.2	The service provider shall develop and maintain a process that ensures ***analysis, assessment and control*** of the safety risks associated with identified hazards.							
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a process for the analysis and assessment of safety risks. The level of risk the organisation is willing to accept is defined.			Organization has tailored and defined it´s severity and likelihood criteria to fit it´s actual circumstances. Risk assessment and mitigation responsibilities, rights and time-lines are clearly defined in the risk assessment and mitigation process and practical based on the size and complexity of the organization.			Risk analysis and assessments are carried out in a consistent manner based on the defined process. The defined risk acceptability is being applied.			Risk analysis and assessments are reviewed for consistency and to identify improvements in the processes. Risk assessments are regularly reviewed to ensure they remain current. Risk acceptability criteria are used routinely and applied in management decision making processes and are regularly reviewed.		

Assessment results

What to look for
- Review risk classification scheme andprocedures. - Severity and likelihood criteria defined (or alternative methodology described). - Review layout of risk register. - Sample an identified hazard and how it is processed anddocumented. - Review what triggers a risk assessment. - Check any assumptions made and whether they arereviewed. - Review how issues are classified when there is insufficient quantitative data available. - Process defines who can accept what level ofrisk. - Risk register is being reviewed and monitored by the appropriate safetycommittee(s). - Evidence of risk acceptability being routinely applied in decision making processes.

Annex 19 SARPS	
2.2.1	

AAR-SMS-001 Reference			AAR-SMS-001 requirements								
AMC to 2.2.2			The service provider shall develop and maintain a process that ensures [analysis, assessment and] ***control*** of the safety risks associated with identified hazards.								
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
The organisation has a process in place to decide and apply the appropriate risk controls.			The process includes clearly defined responsibilities, time-lines and it is defined the way that it can be included as a part of daily operations of organization.			Appropriate risk controls are being applied to reduce the risk to an acceptable level including timelines and allocation of responsibilities. Human Factors are considered as part of the development of risk controls			Risk controls are practical and sustainable and applied in a timely manner and do not create additional risks. Risk Controls take into consideration Human Factors.		
Assessment results											

What to look for

- Risk controls consider human and organisational factors.
- Evidence of risk controls being actioned and followup.
- Aggregate risk is being considered.
- Look at whether the risk controls have reduced the residualrisk.
- Risk controls clearly identified.
- Review the use of risk controls that rely solely on humanintervention.

Annex 19 SARPS	
2.2.2	

SUMMARY COMMENTS: 2.2 RISK ASSESSMENT AND MITIGATION

SAFETY RISK MANAGEMENT SUMMARY		
Number of Requirements assessed as being effective:	(out of 4)	
Percentage of Requirements assessed as being effective:	(100/4 x number of effective Requirements)	
Effectiveness Achieved for Component:	(Must be in excess of 75%)	**YES / NO** (delete as appropriate)

3 SAFETY ASSURANCE

3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT

AAR-SMS-001 Reference			AAR-SMS-001 requirements								
2.3.1			The service provider shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.								
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a process in place to assess whether the risk controls are applied and effective.			The process covers the scope and nature of the operation. The process is frequent enough. Individuals responsible for gathering, evaluating, monitoring the effectiveness of risk control are competent.			Risk controls are being verified to assess whether they are applied and effective.			Risk controls are assessed and actions taken to ensure they are effective and delivering a safe service. The reasons for ineffectiveness of risk controls are investigated.		
Assessment results											

What to look for
- Evidence of risk controls being assessed for effectiveness (e.g. audits, surveys, reviews). - Evidence of risk controls applied by contracted organisations / third parties being assessed. - Information from safety assurance and compliance monitoring activities feeds back into the safety risk management process. - Review where risk controls have been changed as a result of theassessment.

Annex 19 SARPS	
3.1.1	

AAR-SMS-001 Reference	**AAR-SMS-001 requirements**
2.3.1 AMC 3 to 2.3.1 AMC 1 to 2.3.1	The service provider's safety performance shall be verified in reference to the safety performance indicators and Safety performance targets of the SMS in support of the organization's safety objectives.

PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a process in place on how the safety performance of the organisation will be measured including safety performance indicators and targets linked to the organisation's safety objectives.			SPIs are based on reliable sources of data. SPIs are focused on what is important rather than what is easy to measure The process covers the scope and nature of the operation. The process is frequent enough. Individuals responsible for gathering, evaluating, monitoring the effectiveness of SPI and SPT are competent.			The safety performance of the organisation is being measured and the SPIs are being continuously monitored and analysed for trends.			SPIs are demonstrating the safety performance of the organisation and the effectiveness of risk controls based on reliable data. SPIs are reviewed and regularly updated to ensure they remain relevant. Where the SPIs indicate a risk control not being effective appropriate action is taken.		

Assessment results			

What to look for	
- Evidence that SPIs are based on reliable sources ofdata. - Evidence of when Safety performance indicators were lastreviewed. - The defined SPIs and targets are appropriate to the organisation's activities, risks and safety objectives. - SPIs are focused on what is important rather than what is easy to measure. - Consideration of any State SPIs. - Review whether any action has been taken when an SPI is indicating a negative trend (reflecting a risk control or an inappropriate SPI). - Evidence that results of safety performance monitoring are discussed at senior management level. - Evidence of feedback provided to the accountable manager.	
Annex 19 SARPS	
3.1.2	

SUMMARY COMMENTS:
3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT

3.2 MANAGEMENT OF CHANGE

AAR-SMS-001 Reference	AAR-SMS-001 requirements
2.3.2 AMC to 2.3.2, GM 1 to 2.3.2	The service provider shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
The organisation has established a management of change process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.			The triggers and scope of the process. The complexity of the procedure with regards to the size and complexity of the organisation. The integration with the risk management and safety assurance processes. The level of sign-off.			The management of change process is being used. It includes hazard identification and risk assessments with appropriate risk controls being put in place before the decision to make the change is taken. Human Factors issues have been considered and being addressed as part of the change management process.			The management of change process is used for all safety related changes including Human Factors issues and considers the accumulation of multiple changes. It is initiated in a planned, timely and consistent manner and includes follow up action that the change was implemented safely.		

Assessment results			

What to look for	
- Key stakeholders are involved in theprocess. - Review what triggers the process. - Review recent changesthat have been through the risk assessment process. - Change is signed off by an appropriately authorised person. - Transitional risks are being identified and managed. - Review follow up actions such as whether any assumptions made have been validated. - Review whether there is an impact on previous risk assessments and existing hazards. - Review whether consideration is given to the accumulative effect of multiplechanges. - Review that business related changes have considered safety risks (organisational restructuring, downsizing, IT projects etc.) - Evidence of Human Factors issues being addressed duringchanges. - Review impact of change on training andcompetencies.	
Annex 19 SARPS	
3.2.1	

SUMMARY COMMENTS: 3.2 THE MANAGEMENT OF CHANGE

3.3 CONTINUOUS IMPROVEMENT OF THE SMS

AAR-SMS-001 Reference			AAR-SMS-001 requirements								
2.3.3 AMC to 2.3.3, GM to 2.3.3			The service provider shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.								
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.			The expected frequency for the SMS review. The variety of stakeholders involved. The variety of data used. The proper balance between qualitative and quantitative data. The links with the safety assurance process.			There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken.			The assessment of SMS effectiveness uses multiple sources of information including the safety data analysis that supports decisions for continuous improvements.		
Assessment results											

What to look for	

- What information and safety data is used for management decision making for continuous improvement?
- Evidence of:
  o Lessons learnt being incorporated into SMS and operationalprocesses.
  o Best practice being sought and embraced.
  o Surveys and assessments of organisational culture being carried out and actedupon.
  o Data being analysed and results shared with Safety Committees.
- Evidence of follow up actions.
- Feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis all contribute towards continuous improvement of the SMS.	

Annex 19 SARPS	
3.3.1	

SUMMARY COMMENTS: 3.3 CONTINUOUS IMPROVEMENT OF THE SMS

SAFETY ASSURANCE SUMMARY		
Number of Markers assessed as being effective:	(out of 4)	
Percentage of Markers assessed as being effective:	(100/4 x number of effective markers)	
Effectiveness Achieved for Component:	(Must be in excess of 75%)	**YES / NO** (delete as appropriate)

INTENTIONALLY LEFT BLANK

4 SAFETY PROMOTION

4.1 TRAINING AND EDUCATION

AAR-SMS-001 Reference			AAR-SMS-001 requirements								
2.4.1 (a) 2.4.1 (b)			The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties. The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.								
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a training programme for SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities and accountabilities) and how the organisation's SMS operates.			The training program should be compatible with the size and complexity of the activities developed by the organization. The program considers the profile of the target audience, the training syllabus, the competency of the instructors and the frequency of the training events. There is a process to maintain training records for all personnel trained.			The SMS training programme is delivering appropriate training to the different staff in the organisation and being delivered by competent personnel.			SMS Training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests) and is linked to the competency assessment. Training is routinely reviewed to take into consideration feedback from different sources.		
Assessment results											
What to look for											
- Review the SMS training programme including course content and deliverymethod. - Check training records against the trainingprogramme. - Review how the competence of the instructors is being assessed. - Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations etc. - Review how training is assessed for new staff and changes inposition. - Review any training evaluation. - Does the training include human and organisationalfactors? - Ask staff about their own understanding of their role in the organisation's SMS and their safety duties. - Check all staff are briefed on compliance.											

Annex 19 SARPS	
4.1.1	

AAR-SMS-001 Reference	AAR-SMS-001 requirements
2.4.1	Requirements for maintaining personnel trained and competent to perform their safety and compliance tasks

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
There is a process in place to ensure that the organisation has trained and competent personnel.						There is evidence of the process being used and being recorded.			The competency assessment programme takes appropriate remedial action when necessary and feeds into the training programme.		

Assessment results			

What to look for

- Review how competence assessment is carried out on initial recruitment andrecurrently.
- Check it includes safety duties and responsibilities and compliance management

Annex 19 SARPS	
4.1.2	

SUMMARY COMMENTS: 4.1 TRAINING AND EDUCATION

4.2 SAFETY COMMUNICATION

CAR PART X Reference	CAR PART X requirements											
2.4.2 GM to 2.4.2	The service provider shall <u>develop and maintain a formal means for safety communication</u> that: - ensures personnel are aware of the SMS to a degree commensurate with their positions - conveys safety-critical information - explains why particular actions are taken to improve safety; and - explains why safety procedures are introduced or changed											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organisation to all personnel as relevant. This includes contracted organisations and personnel where appropriate.			The means of communication are appropriate to the size and complexity of the organisation. The information is targeted to reach the relevant audience.			Safety critical information is being identified and communicated throughout the organisation to all personnel as relevant including contracted organisations and personnel where appropriate.			The organization analyses and communicates safety critical information effectively through a variety of methods as appropriate to maximise it being understood. Safety communication is assessed to determine how it is being used and understood and to improve it where appropriate.		
Assessment results												

What to look for
- Review the sources of information used for safetycommunication. - Review the methods used to communicate safety information e.g., meetings, presentations, emails, website access, newsletters, bulletins, posters etc. - Assess whether the means of communication isappropriate. - Is the means for safety communication being reviewed for effectiveness and material used to update relevant training? - Significant events, changes and investigation outcomes are beingcommunicated. - Check accessibility to safety information. - Ask staff about any recent safety communication. - Review whether information from occurrences are communicated to all relevant personnel (internal and external) and it has been appropriately dis-identified.

Annex 19 SARPS	
4.2.1	

SUMMARY COMMENTS: **4.2 SAFETY COMMUNICATION**

SAFETY PROMOTION SUMMARY		
Number of Markers assessed as being effective:	(out of 3)	
Percentage of Markers assessed as being effective:	(100/3 x number of effective markers)	
Effectiveness Achieved for Component:	(Must be in excess of 75%)	**YES / NO** (delete as appropriate)

INTENTIONALLY LEFT BLANK

5 ADDITIONAL ITEMS TO BE CONSIDERED

These additional items included for the assessment are related to new notes in Annex 19 Edition 2. They are considered important parts of an effective SMS and optional for assessment until these are reflected in future amendments of AAR-SMS-001

5.1 INTERFACE MANAGEMENT

Ref	**Annex 19-Appendix 2, Note 2**											
5.1.1	The service provider's interfaces with other organizations can have a significant contribution to the safety of its products or services.											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
The organisation has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.			The SMS addresses all internal and external interfaces, which influence the safety of the organisations' products/services. External organisations are trained on the service providers' safety critical issues and on the interface risks. Safety information is distributed to the right organisation at the right time.			The organisation is managing the interfaces through hazard identification and risk management. There is assurance activity to assess risk mitigations being delivered by external organisations.			The organisation has a good understanding of interface management and there is evidence that interface risks are being identified and acted upon. Interfacing organisations are sharing safety information and take actions when needed.		
Assessment results												

What to look for

- Review how interfaces have been documented. It may be included in a systemdescription.
- Evidence that:
  o Safety critical issues, areas and associated hazards areidentified.
  o Safety occurrences are being reported andaddressed.
  o Risk controls actions are applied and regularly reviewed.
  o Interfaces are reviewed periodically.
- The organisation's SMS covers hazard identification for the external services and activities and internal interfaces.
- Training and safety promotion sessions are organised with relevant external organisations.
- External organisations participate in SMS activities and share safetyinformation.

SUMMARY COMMENTS: **5.1 INTERFACE MANAGEMENT**

INTERFACE MANAGEMENT SUMMARY		
Number of Markers assessed as being effective:	(out of 1)	
Percentage of Markers assessed as being effective:	(100/1 x number of effective markers)	
Effectiveness Achieved for Item:	(Must be in excess of 75%)	**YES / NO** (delete as appropriate)

5.2 COMPLIANCE MONITORING

Ref	Annex 19 SARPS											
5.2.1	Responsibilities and accountability for ensuring compliance are defined											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
Applicable requirements are clearly identified and properly transcribed into organisation manuals and procedures. Responsibilities and accountabilities for compliance are defined for all staff.						Organisation manuals and procedures are regularly reviewed in light of changes in applicable requirements. All staff are aware of their responsibilities and accountabilities for compliance and to follow processes and procedures.			Enhancements to processes and procedures are suggested from the workforce and management. Individuals are proactively identifying and reporting potential non-compliances.		
Assessment results											

What to look for
- Review how senior management ensure the organisation remains in compliance. - Review that job descriptions include responsibilities for compliance.

Ref	Annex 19 SARPS											
5.2.2	Responsibilities and accountabilities for compliance monitoring are defined											
PRESENT	**YES**	**NO**	**SUITABLE**	**YES**	**NO**	**OPERATING**	**YES**	**NO**	**EFFECTIVE**	**YES**	**NO**
It has been documented that there is a person or group of persons with responsibilities for compliance monitoring including the person acting as compliance monitoring manager with direct access to the accountable manager. The accountable manager's accountability and responsibilities for compliance monitoring is documented.						The compliance monitoring manager has implemented and is maintaining a compliance monitoring programme The accountable manager is ensuring there are sufficient compliance monitoring resources and independence of the audit function is being maintained.			The organisation has established a method to assess the efficiency and effectiveness of the compliance monitoring activities with feedback to the accountable manager. The accountable manager and senior management actively seek feedback on the status of compliance monitoring activities		

Assessment results			

What to look for

- How does the compliance monitoring manager interact with:
  - senior management
  - line managers
  - the safety management staff ?
- Evidence that senior management take action on compliance monitoring results.
- Check that the number of staff involved in compliance monitoring isappropriate.
- Check for evidence of direct reporting lines to the accountablemanager.
- Review how independence of the audit function is achieved.

Ref	Annex 19 SARPS
5.2.3	Compliance monitoring programme.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
The organisation has a compliance monitoring programme including details of the schedule of monitoring activities and procedures for audits and inspections, reporting, follow up and records. The way independence of compliance monitoring is achieved is documented.						The compliance monitoring programme is being followed and regularly reviewed. This includes the modification of the programme to address identified risks or organisational and operational changes. Compliance monitoring is independent from operational activities and includes contracted activities.			The organisation regularly reviews its compliance monitoring programme and procedures to identify the need for changes and to ensure they remain effective.		

Assessment results			

What to look for

- Assess the contents of the programme against any regulatoryrequirements.
- Review how risk and performance is used to determine the depth and frequency of monitoring activities.
- Review how independence is achieved.
- Assess what triggers a change in the programme.
- Review whether there are any potential conflicts of interest.

Ref	Annex 19 SARPS
5.2.4	Compliance monitoring outcomes e.g. audit results including corrective and preventive actions follow-up.

PRESENT	YES	NO	SUITABLE	YES	NO	OPERATING	YES	NO	EFFECTIVE	YES	NO
The organisation has documented procedures for the identification and follow-up of corrective actions and preventive actions. There is a process for how audit results are communicated to the accountable manager and senior management. The interface between compliance monitoring and the safety risk management processes is described.						The identifying and follow-up of corrective and preventive actions is carried out in accordance with the procedures including causal analysis to address root causes. The status of corrective and preventive actions is regularly communicated to relevant senior management and staff.			The organisation regularly reviews the status of corrective and preventive actions. The organisation investigates the systemic causes and contributing factors of findings. Significant findings are used in internal safety training & safety promotion sessions. The audit results and root causes, causal and contributing factors are analysed and considered when reviewing internal policies and procedures.There is regular communication between compliance monitoring staff and staff involved in other SMS activities.		

Assessment results			

What to look for

- Review the methods used for causal analysis
- Is the method used consistently?
- Review any repeat findings or where actions havenot been implemented or overdue.
- Check for timely implementation ofactions.
- Awareness of senior management of the status of significant findings and related CA/PAs.
- Appropriate personnel participate in the determination of causes and contributing factors.
- Look for consist ency between internal audit results and external auditresults.

SUMMARY COMMENTS: 5.2 RESPONSIBILITIES FOR COMPLIANCE AND MONITORING FUNCTION

COMPLIANCE MONITORING SUMMARY		
Number of Markers assessed as being effective:	(out of 3)	
Percentage of Markers assessed as being effective:	(100/4 x number of effective markers)	
Effectiveness Achieved for Item:	(Must be in excess of 75%)	**YES / NO** (delete as appropriate)

6 ASSESMENT RESULT

	SAFETY POLICY AND OBJECTIVES	SAFETY RISK MANAGEMENT	SAFETY ASSURANCE	SAFETY PROMOTION	INTERFACE MANAGEMENT	COMPLIANCE MONITORING
Number of effective markers:						
Percentage of effective markers:						
COMBINED PERCENTAGE OF MARKERS ASSESSED AS EFFECTIVE:						
ASSESSMENT RESULT	**□ SMS IS EFFECTIVE**			**□ SMS IS NOT EFFECTIVE**		

INTENTIONALLY LEFT BLANK