SMS Maturity Assessment Evaluation Tool

For Design , Manufacturing and Maintenance organisations

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International SMS Industry standard SM-0001 rev A

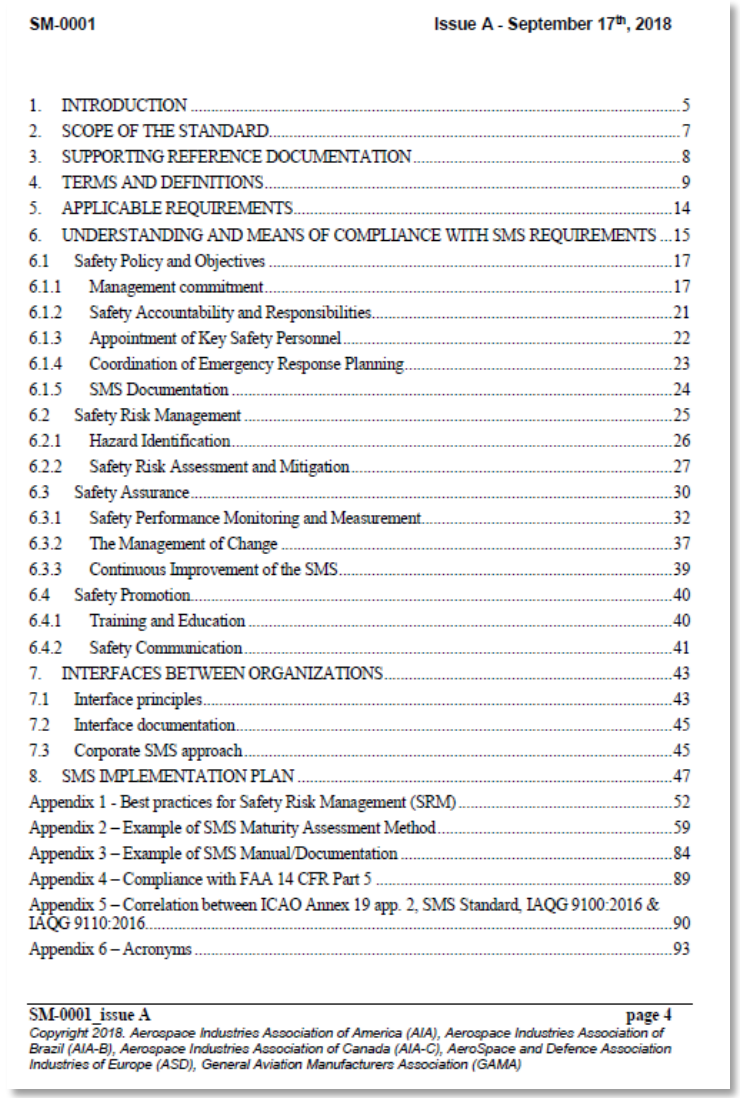
SM-0001 Issue A - September 17th, 2018

International Industry Standard

IMPLEMENTING A SAFETY MANAGEMENT SYSTEM
IN
DESIGN, MANUFACTURING AND MAINTENANCE ORGANIZATIONS

Publishers:

AIA AIAB AIAC ASD GAMA



SM-0001
Issue A - September 17th, 2018

Objective

Enable the aviation industry to implement a Safety Management System (SMS) consistent with the International Civil Aviation Organization's (ICAO) Annex 19

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International SMS Industry standard rev A to C

Current applicable Rev. B

- Recognized by EASA, through AMC to Part 21, as a stand alone means of compliance with SMS req. for Design and Manufacturing organisations
- Accepted by FAA, TCCA, ANAC as a basis for a voluntarily implemented SMS program in Design and Manufacturing Organizations (also in Maintenance organisations for FAA).
- Used by a number of organisations, in particular those contributing to SM-0001 working group.

Ongoing Rev. C

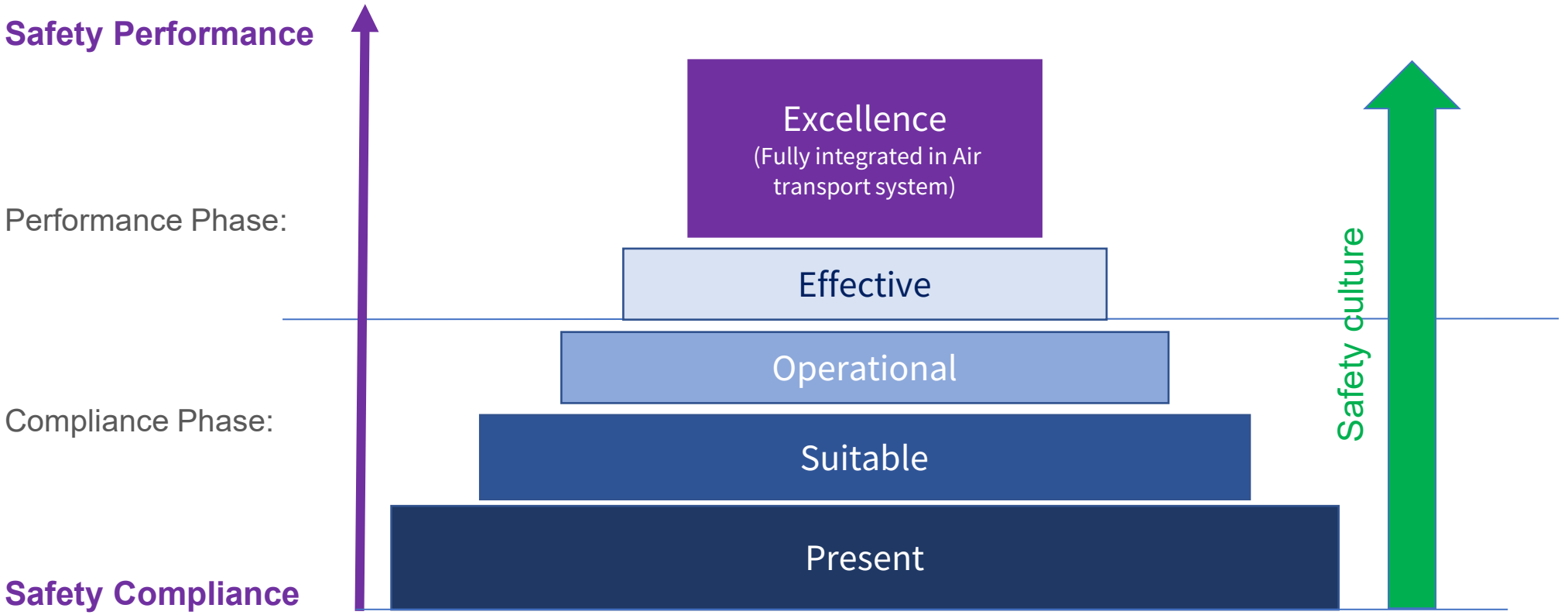
Kick off: 12 Sept. 2022

Publishing: Q3/2023 or Q1/2024 depending on way forward with SMS in maintenance organisations topic.

SMS Maturity Assessment

International SMS Industry standard called SM-0001 (App2 in rev.B March 2022)

SMS Maturity levels for SMS Maturity assessments



SMS incremental Maturity journey

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SMS Maturity Assessment

Scale of SMS incremental Maturity journey & Evaluation Tool

Safety Performance

Safety culture

Safety Compliance

Definition of Maturity levels & associated expectation for SMS Components & Elements		Safety Policy & Objectives	Safety Risk Management	Safety Assurance	Safety Promotion
5	**Excellence** The organisation is an industry leader and embraces and shares its best practices with key external stakeholders	Accountable and Senior management are fully involved in the SMS and managing safety policy and objective processes set forth by the organisation to proactively manage risk. The organisation drives continuous improvement of SMS through analytics and metrics. Employees across the organization are engaged with the policy and objectives as is evidenced in day to day operations. Key external stakeholders are clearly engaged with the SMS	The organisation is continuously identifying hazards (Operational, Technical, Human and Organisational) and is actively managing them; this is visible in safety performance. Data sources, hazard identification methods, risk analysis and risk assessment processes are continuously improved. Output from SRM is used to actively drive continuous improvement of the organisation' SMS.	The safety performance of the organization (including organizational factors) is being measured and the SPIs are being continuously monitored and analysed for trends at Accountable executive and Senior management level. Continuous improvement of the SMS is occurring and evident in performance monitoring.	SMS training programme is continuously improved and actively encouraged at Accountable and Senior management levels. Just culture and safety communication are part of day to day business
4	**Effective** The SMS is working in an effective way and is striving for continuous improvement.	Accountable and Senior management are clearly involved in the SMS and proactively managing safety policy and objective processes set forth by the organisation to proactively manage risk. Employees across the organization are engaged with the policy and objectives as is evidenced in day to day operations. Key external stakeholders have a clear understanding of their role and contribution to the SMS	The organisation identifies key hazards (Operational, Technical, Human and Organisational), both internal and external, and is actively managing them. Safety hazards and safety risks are documented and accessible as appropriate to the organsiation. There is effective interaction between SRM and SA. Safety Risk Management is proactive.	The safety performance of the organization is being measured and trends are proactively acted upon by Senior Leadership including the Accountable Executive.	SMS training is routinuously reviewed and improved to take into consideration feedback from different sources. Safety communication is assessed to determine how it is being used and understood and to improve it where appropriate.
3	**Operating** The systems and processes of the SMS are operating.	The safety policy and objectives are assessed on a regular basis for applicability and relevance to the current organisational environment. There is evidence that the organization's fully functioning processes are in use. Promotion of safety objectives and processes by accountable and senior management levels	Hazards are identified and documented based on safety data from events that have occurred or in anticipation of potential events that could lead to an unacceptable risk. Safety risk analysis and safety risk assessments are being routinely conducted. Safety risks are being mitigated and monitored to ensure the adequacy of implemented controls.	The safety performance of the organization is being measured and the SPIs are being continuously monitored and analysed for trends at Senior management level. Internal audits occurring on key SMS processes, including relevant interfacing stakeholders.	Training is reviewed and maintained as appropriate to the organisation' SMS needs. Safety relevant information is being identified and communicated internally and externally, as appropriate.
2	**Suitable** Features suitable to size, nature and complexity of the organisation and risks	There are policies, processes, organisation' accountability and responsibilities, ready to operate with identified ressources	There is a standard safety risk management process that is applied to areas of the organization that could adversly impact product safety, as defined in the System Description. There is an anomymous and confidential employee reporting system to capture safety concerns	There is a documented process to assess whether the appropriate risk controls are applied and effective. The KPI/SPI are defined, and the method and triggers for change management are identified.	There is a process to communicate safety relevant information and a SMS training programme in place
1	**Present** The SMS is documented and defined.	On top of compliance with airworthiness rules + Quality standards, there are policies (Safety + Just culture, description of organisation' accountabilty and responsibilities for SMS, processes documented that detail how the SMS will operate.	On top of compliance with airworthiness rules + Quality standards, There is a standard process that defines how reactive and proactive hazard identification is conducted, how safety risk analysis and safety risk assessments are completed, and how to determine the need for and adequacy of safety risk controls. The System Description is documented. There is a confidential employee reporting system to capture safety concerns	On top of compliance with airworthiness rules + Quality standards, The relevant organization is defined and key SMS processes for monitoring are defined, including a documented process to assess whether the appropriate risk controls are applied and effective.	On top of compliance with airworthiness rules + Quality standards, Safety critical information, and Just culture principles are communicated througout the organisation. There is a training programme for SMS defined.

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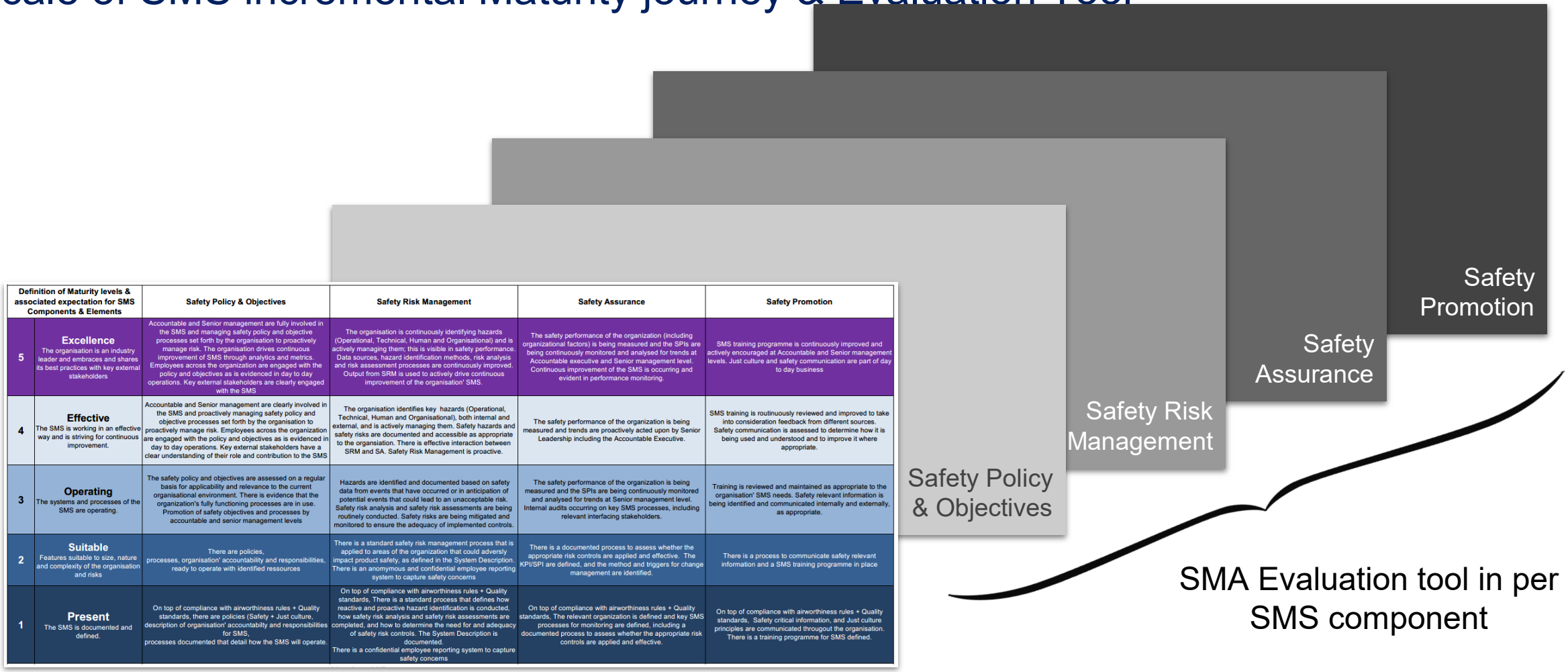
SMS Maturity Assessment

Scale of SMS incremental Maturity journey & Evaluation Tool



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Global SMS

SMA Evaluation tool in per SMS component

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SMS Maturity Assessment evaluation tool

Purpose was to provide Design, Manufacturing and Maintenance organisations with a tool to:

- Support them in preparation of SMS audits by authorities (up to level 3)
- Guide them in the SMS maturity journey through
  - Self assessment
  - Or may be used for Independant SMS Maturity assessments (e.g Corporate Safety organisations)
- To keep flexibility on the how to deploy but to provide enough guidance on the final expectation
- This tool is different from safety culture evaluation/surveys

SMS Maturity Assessment evaluation tool

Benefits :

- Within multi-AO organisations, it may be a common approach to prepare compliance audits up to level 3

- Empowerments of the teams:
  - to implement SMS as expected by the SM-0001 standard
  - to increase maturity
  - to make them familiar with the SMS and performance-based approach (level 4 and 5)

- Interfaces of the organisation are addressed since level 3
  ➜ The SMS of an organisation is addressed as a sub-system of the Aviation System

A Performance-based oriented approach
with enough flexibility to shape needs and constraints of OEM's

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THANK YOU !

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