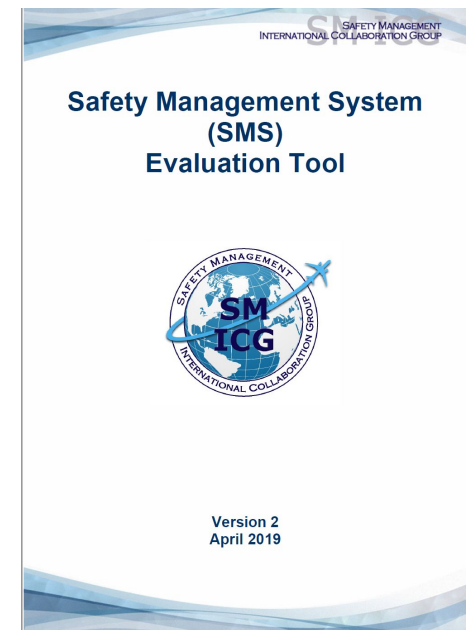


Insights After Hundreds of Audits

Using the SMICG SMS Evaluation Tool

Kris Stewart, Senior Manager,
Safety Support
WYVERN Ltd



WYVERN's Experience with SMICG SMS Tool

- Hundreds of SMS audits
- Global use
- Enhances training
 - Safety Leader Training Course TM
 - Auditor training
 - Client training
- Enhances standardization



What We Like

- Global recognition
- Excellent Guidance
- SRM is Paramount!



1. SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1 HAZARD IDENTIFICATION (Annex 19 element 2.1)

Evaluation	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	1.1.1	There is a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.						
	1.1.2	There is a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation.						
	1.1.3	Personnel express confidence and trust in the organisation's reporting policy.						
Guidance	What to look for							
	<ul style="list-style-type: none"> - Review the reporting system for access and ease of use. - Check staff's trust of and familiarity with the reporting system, and whether they know what should be reported. - Review how data protection and confidentiality is achieved. - Evidence of feedback to reporter, the organisation, and third parties. - Assess volume and quality of reports, including whether personnel are reporting their own errors and mistakes. - Review report closure rates. - Check whether contracted organizations and customers are able to make reports. - Review how reports in the system are analysed. - Confirm that responsibilities with regards to occurrence analysis, storage, and follow-up are clearly defined. - Check that relevant staff are aware of which occurrences should be mandatory. - Assess how senior management engage with the outputs of the reporting system. 							
	Present		Suitable		Operating		Effective	
	<p>There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database.</p> <p>The process identifies how reports are actioned, and timescales are specified and addressed.</p>		<p>The reporting system is accessible and easy to use by all personnel.</p> <p>Responsibilities, timelines, and format for the feedback are meaningful and well defined.</p> <p>Data protection and confidentiality is ensured.</p>		<p>The reporting system is being used by all personnel.</p> <p>There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation.</p> <p>Reports are evaluated, processed, analysed, and stored.</p> <p>Staff are aware of and fulfil their responsibilities in respect to the reporting system.</p> <p>Reports are processed within the defined timescales.</p>		<p>There is a healthy reporting system based on the volume of reporting and the quality of reports received.</p> <p>Safety reports are acted on in a timely manner.</p> <p>Personnel express confidence and trust in the organisations' reporting policy and process.</p> <p>The reporting system is being used to make better management decisions and continuously improve.</p> <p>The reporting system is available for third parties to report (partners, suppliers, and contractors).</p>	

WYVERN AMS Integration

- Used for:
 - Aircraft Operators
 - FBOs
 - MROs
 - Other

SARP: SMS Audit 1.1.1	Required	Select Score ▼
There is a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.		
SARP: SMS Audit 1.1.2	Required	Select Score ▼
There is a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organization.		
SARP: SMS Audit 1.1.3	Required	Select Score ▼
Personnel express confidence and trust in the organization's reporting policy.		
SARP: SMS Audit 1.1.4	Required	Select Score ▼
There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).		

Transparency and Education Value

- We send the SMICG SMS Evaluation Tool to the service provider well before the audit to ensure they understand:
 - What will be evaluated
 - What we will be looking for
 - How Effectiveness is defined



Safety Risk Management Elements and Their Indicators

1. SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1 HAZARD IDENTIFICATION (Annex 19 element 2.1)

Evaluation	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	1.1.1	There is a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.						
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	1.1.3	Personnel express confidence and trust in the organisation's reporting policy.						
Guidance	What to look for							
	<ul style="list-style-type: none"> - Review the reporting system for access and ease of use. - Check staff's trust of and familiarity with the reporting system, and whether they know what should be reported. - Review how data protection and confidentiality is achieved. - Evidence of feedback to reporter, the organisation, and third parties. - Assess volume and quality of reports, including whether personnel are reporting their own errors and mistakes. - Review report closure rates. - Check whether contracted organizations and customers are able to make reports. - Review how reports in the system are analysed. - Confirm that responsibilities with regards to occurrence analysis, storage, and follow-up are clearly defined. - Check that relevant staff are aware of which occurrences should be mandatory. - Assess how senior management engage with the outputs of the reporting system. 							
	Present		Suitable		Operating		Effective	
	There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. The process identifies how reports are actioned, and timescales are specified and addressed.		The reporting system is accessible and easy to use by all personnel. Responsibilities, timelines, and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.		The reporting system is being used by 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. Staff are aware of and fulfil their responsibilities in respect to 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 decisions and continuously improve. The reporting system is available for third parties to report (partners, suppliers, and contractors).	

Safety Risk Management Elements and Their Indicators

Evaluation	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	1.1.4	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).						
	1.1.5	The hazard identification process identifies human performance related hazards.						
	1.1.6	There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.						
	1.1.7	Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).						
Guidance	What to look for							
	<ul style="list-style-type: none"> - Review how hazards are identified, analysed, addressed, and recorded. - Review structure and layout of hazard log. - Consider hazards related to: <ul style="list-style-type: none"> o Possible accident scenarios; o Human and organisational factors; o Business decisions and processes; o Third party organisations; and o Regulatory factors. - Review what internal and external sources of hazards are considered such as safety reports, audits, safety surveys, investigations, inspections, brainstorming, management of change activities, commercial and other external influences, etc. - Review whether safety investigations identify human and organisational contributing factors. 							
	Present		Suitable		Operating		Effective	
	There is a process that defines how hazards are identified though reactive and proactive methods. The triggers for safety investigations are identified.		Multiple sources of hazards (internal and external) are considered and reviewed, as appropriate. The data analysis process enables gaining useable safety information. Hazards are documented in an easy-to-understand format. The level of sign-off for safety investigations is defined and adequate to the level of risk.		The hazards are identified and documented. Human and organisational factors related to hazards are being identified. Safety investigations are carried out and recorded.		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 the operational environment and involves all key personnel and appropriate stakeholders including external organisations. Hazards are continuously assessed in a systematic and timely manner. Safety investigations identify causal/contributing factors that are acted upon.	

Suggestions

- Remove E
- Reposition “What to look for”
- Measure Effectiveness for Sub-Component

1. SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1 HAZARD IDENTIFICATION (Annex 19 element 2.1)

Indicators of compliance and performance		P	S	O	What to look for	Comments
1.1.1	There is a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.				Review the reporting system for access and ease of use. Review how data protection and confidentiality is achieved. Assess volume and quality of reports, including whether personnel are reporting their own errors and mistakes.	
1.1.2	There is a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation.				Evidence of feedback to reporter, the organisation, and third parties.	
1.1.3	Personnel express confidence and trust in the organisation's reporting policy.				Check staff's trust of and familiarity with the reporting system, and whether they know what should be reported. Assess how senior management engage with the outputs of the reporting system.	
1.1.4	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).				Check whether contracted organizations and customers <u>are able to make reports</u> .	
1.1.5	The hazard identification process identifies human performance related hazards.				Check that relevant staff are aware of which occurrences should be mandatory.	
1.1.6	There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.				Review how reports in the system are analysed. Confirm that responsibilities with regards to occurrence analysis, storage, and follow-up are clearly defined.	
1.1.7	Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).				Review report closure rates.	
Effective	The organisation has a register of the hazards that is maintained and reviewed to ensure it remains <u>up-to-date</u> . It is continuously and proactively identifying hazards related to its activities and the operational environment and involves all key personnel and appropriate stakeholders including external organisations. Hazards are continuously assessed in a systematic and timely manner. Safety investigations identify causal/contributing factors that are acted upon.					Effective? No / Partial / Yes

Cross Reference to NAA Regulations

FAR Requirement	SMICG
5.2.3 (a) (1)	3.2.1; 3.2.2

Specifically require addressing personnel equipment		
Hazards must be identified during system analysis if they are present:		
5.53 (c)	Processes to identify hazards within the context of your system analysis must be developed and maintained.	SMICG 1.2.1 and 1.2.2
5.55	Safety Risk Assessment And Control	
Determine what risks are associated with identified hazards:		
5.55 (a)	Processes must be developed and maintained to analyze safety risk associated with identified hazards.	SMICG 1.2.1 and 1.2.2
Safety risk assessment must occur:		
5.55 (b)	A process must be defined for conducting risk assessments that allows for the determination of acceptable safety risk.	SMICG 1.2.1 and 1.2.2
Risk control development process is required:		
5.55 (c)	A process to develop and maintain safety risk controls is required.	SMICG 1.2.1, 1.2.2 and 1.2.3

Future Use

- WYVERN is a global aviation safety company
- We will continue to use the SMICG Tools
- Using international standards harmonizes the industry



FAA SMS Rule

Significant to Part 135 operators in the US

WYVERN will develop an FAA / SMICG differences protocol



Differences
Checklist



Happy to Help

- If you would like an industry liaison on the SMICG team, please let us know!

