Guide to the Safety Management System Inspector Competency Assessment Tool

September 2024

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- Collaborate on common SMS/SSP topics of interest
- Share lessons learned
- Encourage the progression of a harmonized SMS/SSP
- Share products with the aviation community
- Collaborate with international organisations such as ICAO and civil aviation authorities that have implemented or are implementing SMS and SSP

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Introduction

The International Civil Aviation Organisation (ICAO) Annex 19 promotes a common approach to Safety Management across aviation sectors and domains, both for States and for organisations.[1]

The Safety Management International Collaboration Group (SM ICG) developed the Safety Management System (SMS) Inspector Competency Assessment Tool in direct support of this common approach for the activities related to the SMS assessment. The following guidance explains the background, purpose, and methodology relevant to the use of the SMS Inspector Competency Assessment Tool.

Background and Purpose

Civil Aviation Safety Inspectors (CASIs) are individuals who are authorized by the State to ensure that national safety regulations and standards are followed in the aviation industry. One of the safety oversight activities performed by the CASIs is the SMS assessment. This document assumes that a CASI performing SMS assessments is referred to as an SMS Inspector[2]. It is crucial for the SMS Inspectors to be qualified and competent in their roles.

The SM ICG document "Safety Management System Inspector Competency Guidance and Training Programme Outline" considers that the competencies for the SMS Inspector are those defined for the CASI by ICAO in Document 10070, introducing specific adaptations for the SMS assessment tasks, notably for the Systems Thinking and Risk Management competencies. The Observable Behaviours (OBs) for these competencies are shown in Annex A.

In this context, the SMS Inspector Competency Assessment Tool is designed to help assess how well an SMS Inspector demonstrates the OBs associated with both Systems Thinking and Risk Management competencies. This tool can be used for both initial and recurrent assessments. By identifying areas for improvement, the Civil Aviation Authority can ensure that its inspectors have the necessary competencies to effectively assess an SMS.

The SMS Evaluation Tool is used to assess the trainee's ability to demonstrate the OBs linked to the Systems Thinking and Risk Management competencies during an On-The-Job session. Annex A provides a breakdown of which OBs for these competencies are associated with each component or element of the SM ICG SMS Evaluation Tool.

Design Considerations

The Competency Assessment Tool is designed with the following considerations:

- The Competency Assessment Tool assesses the competencies of SYSTEMS THINKING and RISK MANAGEMENT, recognizing them as the most important for inspectors working with SMS. The other CASI competencies are common to all inspectors and should be evaluated through other mechanisms.

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[1] States may delegate safety management related functions to Regional Safety Oversight Organisations (RSOO) or Regional Accident and Incident Investigation Organisations (RAIO). When delegated, States retain this responsibility.

[2] Note: The terms "inspector" and "evaluator" in this document refer to aviation authority personnel authorised to conduct the SMS assessment or evaluation.

- This assessment methodology should be practical and manageable for SMS trainers/ evaluators[3] to use during the onsite assessment, while concurrently engaging the service provider during the assessment (if needed). As such, the methodology adopts an approach that enables the competency assessor to identify OBs which were clearly lacking or not demonstrated for each Subject.
- The assessment should be fair and objective, and the results should be transparent in reflecting the trainee's performance across the OBs, and in showing how the sufficiency of the trainee's competency is determined.
- The form should be relatively straightforward and quick for the trainer/evaluator to fill in and tally the results, and to arrive at a conclusion whether the trainee is sufficiently competent.
- The rating scale used to measure the satisfactory demonstration of the OBs and Competency should be similar to that of typical assessments which use the competency-based training and assessment (CBTA) approach.
- The results are supported by visual aids which provide a quick overview of the trainee's performance profile, including a breakdown of the score for the various OBs, and whether the various criteria to determine sufficient competency of the trainee were fulfilled.
- The tool is flexible and can be used for both qualitative and quantitative assessments. For a qualitative assessment, the first sheet of the form may serve as a guide for evaluating inspector competency without using the scoring formula, allowing SMS trainers/evaluators to assess a trainee in a more qualitative manner.
- The grading criteria should be relatively strict and comprehensive in ensuring that the trainee has satisfactorily demonstrated all the OBs. However, in view of practical resource constraints, flexibility should be accorded to the trainer/evaluator to allow the trainee to pass and conduct SMS assessments when a required number of OBs/competencies are demonstrated to the required level, albeit on condition that remedial action will be taken to address OBs which were not fulfilled. For example, the remedial action could constitute undergoing further training/ understudy and be observed by the competency assessor during a future assessment(s).

When to Use the Tool

The Competency Assessment Tool acknowledges the systemic nature of safety, requiring that competencies such as Systems Thinking and Risk Management are demonstrably applied throughout the assessment of SMS processes. It facilitates a comprehensive, practical assessment of the competencies of an SMS Inspector. The link to download the tool is available in Annex B: SMS Inspector Competency Assessment Form.

Designed as an integral component of the Civil Aviation Authority's training program, the tool supports both initial and recurring training. The tool will be used during On-the-Job Training (OJT) sessions to assess trainees in a real-world scenario under the supervision of highly experienced SMS trainers/evaluators.

From the perspective of the competency assessment, the OJT session serves a dual purpose: it provides practical instruction and guidance to SMS Inspectors and gathers essential data for the competency assessment. Additionally, the assessment team delivers the SMS assessment for the service provider. Ultimately, this tool plays a pivotal role in developing and maintaining the competencies of SMS Inspectors at the required level.

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[3] The SMS trainers/evaluators are SMS inspectors deemed competent to conduct the SMS assessment, as well as SMS training of inspectors.

Objectives of the Competency Assessment

The competency assessment will be performed during an OJT session as part of an SMS maturity evaluation. Therefore, the global competency assessment objectives must be defined accordingly.

The competency assessment objectives will reflect the nature of the SMS evaluation conducted in the OJT session, whether for initial approval or continuous surveillance:

1. **Certification or Initial Approval:** The competency assessment objective can be defined as: "Evaluate whether all system characteristics and processes have reached the levels of Present and Suitable."
2. **Continuous Surveillance:** The competency assessment objective can be established as: "Evaluate whether all system characteristics and processes have reached the levels of Present, Suitable, Operational, and Effective (if applicable)."

States may decide to use the Competency Assessment Tool to assess the trainee over one or more SMS evaluations. In all cases, all Elements in the form should be completed before determining if the trainee is competent to conduct SMS evaluations independently.

How to Use the Tool

Description of the Tool

The Competency Assessment Tool is structured as an Excel spreadsheet consisting of six sheets—'0. User Guide', '1. Onsite Assessment Results', '2. Results Tally & Remedial Actions', '3. Results Profile Charts', '4. Reference - Observable Behaviour Descriptions' and 'Reference – Rating Scale'.

Sheet '0. User Guide' provides detailed instructions for using the tool by the trainer/evaluator during onsite and the post-assessment phases. It includes examples in italicized text and grey shaded cells at the top of the tables in Sheets 1 and 2 to guide the trainer/evaluator.

Sheet '4. Reference - Observable Behaviour Descriptions' lists the OBs for Systems Thinking and Risk Management competencies, and Sheet '5. Reference – Rating Scale' lists the definitions and descriptions for each of the ratings in the rating scale. Along with Sheet 0, these two sheets serve as reference and should not be edited by trainers/evaluators.

The competency assessment process using the tool involves the following recommended steps:

1. **Trainee Briefing:** Conducted by the trainer/evaluator, this includes providing the trainee with information about the upcoming SMS evaluation, the objectives of the competency assessment, and each participant's role.
2. **Formal Preparations:** Includes coordination with the service provider, such as scheduling the SMS evaluation or requesting information.
3. **SMS Evaluation and SMS Competency Assessment:** This stage is essentially an OJT session and requires the trainer/evaluator to deliver both the service provider's SMS assessment and the competency assessment of the trainer/evaluator. Two tools are employed here: The SMS Evaluation Tool[4] is used to evaluate the service provider; and the SMS Inspector Competency Assessment Tool is used to assess the trainee. Sheets 1, 2, and 3 of the latter tool summarize the process of SMS competency assessment.

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[4] Annex A of this document contains the SM ICG SMS Evaluation Tool with the SMS Inspector competencies (Risk Management and Systems Thinking) mapped to each of the OBs.

4. **Conclusion of the SMS Evaluation:** This includes the generation of the report and post-SMS assessment communications with the service provider.
5. **Conclusion of the SMS Inspector Competency Assessment:** The results of the assessment are reviewed, and Remedial Action(s) to address OB(s) for improvement, if needed, are determined.

The next sections explain Sheets 1, 2, and 3 of the SMS Inspector Competency Assessment Tool.

Onsite Assessment Results

Figure 1 shows an extract of the Sheet '1. Onsite Assessment Results' of the tool, with the columns described as follows:

- Column "A. Element": ICAO SMS component name, using the numbering system of the SMS Evaluation Tool.
- Column "B. Subject": A brief description of the subject being assessed by the indicators of the SMS Evaluation Tool.
- Column "C. Indicators": A set of indicators of compliance and performance from the SMS Evaluation Tool, applicable to the particular subject.
- Column "D. Observable Behaviours Associated with Subject": Lists the OBs expected to be demonstrated by the trainee for that particular subject. The OBs are listed by codes with the complete description in Sheet 4 of the tool.
- Column "E. OBs Not Satisfactory": The trainer/evaluator will register the OBs not considered satisfactory during the SMS assessment.
- Column "F. OBs Not Observed": The trainer/evaluator will register any OBs that were not observed during the assessment of a particular subject.
- Column "G. Remarks": The trainer/evaluator records more details about the OBs which were assessed as 'Not Satisfactory' and/or 'Not Observed' (columns E and F).

e.g. 1.1 Hazard Identification	e.g. Voluntary Reporting	1.1.1, 1.1.2, 1.1.3	ST1, ST4, ST5, ST10, RM3	ST4	ST5, ST10	ST4 - Trainee was not familiar with the interoperability between human factors/performance and accurate voluntary reporting ST5 - Situation did not allow for reflection of this OB; during pre-assessment briefing, trainee was not familiar with the service provider's operational context ST10 - Situation did not allow for reflection of this OB; however, trainee demonstrated adequate understanding during pre-assessment briefing
A. Element	B. Subject	C. Indicators	D. Observable Behaviours associated with Subject	E. OBs Not Satisfactory *(Indicate OB code and separate OBs using comm*	F. OBs Not Observed *(Indicate OB code and separate OBs using comm*	G. Remarks
1.1 Hazard Identification	Voluntary Reporting System	1.1.1, 1.1.2, 1.1.3	ST01, ST04, ST05, ST10, RM03			
1.1 Hazard Identification	Hazard Identification	1.1.4, 1.1.5, 1.1.6, 1.1.7	ST01, ST04, ST05, ST06, ST11, RM03, RM04, RM05			
1.2 Safety Risk Assessment and Mitigation	Risk Assessment	1.2.1, 1.2.2	ST01, ST02, ST05, RM03, RM04, RM06, RM07, RM08, RM09			
1.2 Safety Risk Assessment and Mitigation	Risk Mitigation	1.2.3, 1.2.4	ST01, ST02, ST03, ST05, RM03, RM04, RM06, RM07, RM08, RM09			
2.1 Safety Performance Monitoring and Measurement	Safety Performance Indicators	2.1.1	ST07, ST08, ST09, RM01, RM04			

Figure 1. Extract of Sheet 1. 'Onsite Assessment Results'

Results Tally and Remedial Action

During this competency assessment step, the trainer/evaluator collects information about the OBs demonstrated for each competency (Systems Thinking and Risk Management). Based on the collected information, Sheet '2. Results Tally Remedial Action' presents the following information for each OB:

- 'Number of subjects involving each OB': Indicates the total subjects involving the OB.
- For each OB, the 'Number of subjects where the result was Not Satisfactory': Indicates the number of subjects which had unsatisfactory performance.
- For each OB, the 'Number of subjects where OB was Not Observed': Indicates the number of subjects where the OB was not observed.

The tool calculates the percentage of subjects achieving satisfactory results for each OB and converts this into a rating of 1 to 5. It flags any OBs needing attention due to unsatisfactory results or non-observation, allowing the trainer/evaluator to suggest appropriate remedial actions for each flagged OB. Additionally, the tool computes the overall grade for each competency by averaging the percentages of all individual OBs and converts this into a rating of 1 to 5. It also identifies the total number of OBs which achieved a rating of 2 (borderline level) or below.

The overall results for both competencies and which determine whether the trainee is sufficiently competent are calculated based on two criteria: (i) each competency should achieve an overall

minimum rating of 2; and (ii) no more than 20% of the OBs of each competency (viz. 2 OBs for Systems Thinking and 1 OB for Risk Management) have achieved a rating of 2 or below.

Figures 2 and 3 illustrate the results tally for each competency, and Figure 4 illustrates the overall competency assessment captured by the tool.

				Competency: Systems Thinking			
e.g. ST1	8	1	2	83.33%	5	Yes	ST4 - Trainee should familiarise with ICAO Doc 10151 'Human Performance Manual', in particular the contribution of human performance to voluntary reporting. ST5 - Trainee should seek to understand more clearly the size and scope of the service provider's operational context. ST10 - Focus on observing this OB at the trainee's next SMS assessment.
A. OB	B. No. of Subjects which involve this OB	C. No. of Subjects where OB was Not Satisfactory	D. No. of Subjects where OB was Not Observed	E. % of time OB was Satisfactory (No. of Subjects where OB was Satisfactory / No. of Subjects where OB was Observed x 100%)	F. Rating Below 20%: 1 20%-39%: 2 40%-59%: 3 60%-79%: 4 Above 80%: 5	G. Remedial Action Required ('Yes' if one or more Subjects for an OB is 'Not Satisfactory' or 'Not Observed'; otherwise 'No')	H. Description of Remedial Action to address OB for improvement (If action is required)
ST01	14	0	0	100.00%	5	No	
ST02	14	0	0	100.00%	5	No	
ST03	10	0	0	100.00%	5	No	
ST04	12	0	0	100.00%	5	No	
ST05	14	0	0	100.00%	5	No	
ST06	15	0	0	100.00%	5	No	
ST07	4	0	0	100.00%	5	No	
ST08	2	0	0	100.00%	5	No	
ST09	5	0	0	100.00%	5	No	
ST10	5	0	0	100.00%	5	No	
ST11	3	0	0	100.00%	5	No	
ST12	2	0	0	100.00%	5	No	
Overall % of time ST OBs were satisfactory				100.00%	5		
No. of ST OBs with Rating of 2 or below						0	

Figure 2. Tally Results and Remedial Actions for Systems Thinking

				Competency: Risk Management			
A. OB	B. No. of Subjects which involve this OB	C. No. of Subjects where OB was Not Satisfactory	D. No. of Subjects where OB was Not Observed	E. % of time OB was Satisfactory (No. of Subjects where OB was Satisfactory / No. of Subjects where OB was Observed x	F. Rating Below 20%: 1 20%-39%: 2 40%-59%: 3 60%-79%: 4 Above 80%: 5	G. Remedial Action Required ('Yes' if one or more Subjects for an OB is 'Not Satisfactory' or 'No... Observed'; otherwise 'No')	H. Description of Remedial Action to address OB for improvement (If action is required)
RM01	8	0	0	100.00%	5	No	
RM02	5	0	0	100.00%	5	No	
RM03	15	0	0	100.00%	5	No	
RM04	6	0	0	100.00%	5	No	
RM05	6	0	0	100.00%	5	No	
RM06	5	0	0	100.00%	5	No	
RM07	6	0	0	100.00%	5	No	
RM08	9	0	0	100.00%	5	No	
Overall				100.00%	5		
No. of RM OBs with Rating of 2 or below						0	

Figure 3. Tally Results and Remedial Actions for Risk Management

Criteria to determine sufficient competency of trainee	Result ('Yes' if Criteria are met; otherwise 'No')
Achieved a minimal Rating of 2 for each Competency	Yes
Achieved a Rating of 2 and below for no more than 20% of the OBs for each Competency *i.e. no more than 2 ST OBs and 1 RM OB with a Rating of 2 and below*	Yes
Overall Result (If 'Yes' for both Criteria, indicate 'Sufficiently Competent'; otherwise if one or both Criteria are 'No,' indicate 'Insufficiently Competent')	Sufficiently Competent

Figure 4. Overall Results for the Competency Assessment

Result Profile Charts

This section of the tool displays the results of the competency assessment in graphical form, allowing a visual presentation of the performance profile of the trainee based on the rating of each OB. The charts also show the number of subjects involving each OB.

Interpretation of the Competency Assessment Results

The Competency Assessment Tool aims to evaluate a trainee's competency level based on their performance over one or more OJT session(s) overseen by a trainer/evaluator. However, it is essential to interpret the tool's assessment in the context of the training program. For instance, if a trainee is undergoing a recurring assessment of SMS competency, one OJT session may suffice. Conversely, for the initial assessment, the training program might necessitate several OJT sessions, each with increasing levels of responsibility and involvement. Therefore, the result of the assessment should consider the trainee's progress and incorporate the findings from the tool.

In any case, addressing deficiencies is important. Beyond noting the OBs which were assessed as Satisfactory or Not Satisfactory, it is also important to address the remedial actions recommended by the trainer/evaluator. Ultimately, the outcomes of the competency assessment should be viewed within the framework of the training program and its directives and guidance on how to address any identified deficiencies (refer to the SM ICG document "Safety Management System Inspector Competency Guidance and Training Programme Outline").

Annex A: SM ICG SMS Evaluation Tool with Highlighted Observable Behaviours for SMS Inspector Competencies ('Risk Management' and 'Systems Thinking')

This annex provides a breakdown of which Observable Behaviours (OBs) of the SMS Inspector Competencies of Systems Thinking and Risk Management are associated with each component/element of the SM ICG SMS Evaluation Tool. These are the OBs that an SMS Inspector should be able to sufficiently demonstrate to be considered as competent in accurately and effectively evaluating that respective component/element of a service provider's SMS.

Below are the tables that list the SMS Inspector Competencies of Systems Thinking and Risk Management. Following that are tables from the SM ICG SMS Evaluation Tool with SMS Inspector Competency OBs highlighted in the green boxes.

Observable Behaviours

Competency: SYSTEMS THINKING	
Description	Understands and determines how the various components of management systems interact and affect the overall system safety performance.
Observable Behaviours	**ST1**. Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP.
	ST2. Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.
	ST3. Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.
	ST4. Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).
	ST5. Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.
	ST6. Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.
	ST7. Uses the appropriate set of metrics to measure and monitor regulatory and organisational safety performance.
	ST8. Interprets findings from analysis of performance data within the organisational safety performance framework and indicators system.
	ST9. Assesses the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.
	ST10. Understands the impact of the regulatory framework on the safety issues and challenges of the stakeholder.
	ST11. Accurately determines whether the root cause(s) of deficiencies results from a single-point or systemic failure(s).

	ST12. Assesses the difference between compliance- and performance-based oversight.

Competency: RISK MANAGEMENT	
Description	Demonstrates an effective approach to the oversight of a stakeholder considering its business model, risk profile and its availability of resources.
Observable Behaviours	**RM1**. Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. **RM2**. Identifies whether strategic decisions consider risk assessment principles and results. **RM3**. Recognizes the role of human and organisational factors. **RM4**. Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes. **RM5**. Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. **RM6**. Applies appropriate certification requirements and surveillance techniques according to changing levels of risk, analysing critically the organisations safety performance. **RM7**. Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause. **RM8**. Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.

Competency Assessment

- Activity: SMS assessment using the SM ICG SMS Evaluation Tool, based on a trainer/evaluator evaluating a trainee during an OJT activity (initial or recurrent).
- The competency assessment can involve several activities to improve the results.
- The OBs are contributing factors to a successful assessment of an SMS component.
- The identified weaknesses should be addressed with the help of the learning objectives (training program outline).

Note: Although the evaluation tool follows the SMS Framework in Annex 19 Appendix 2, the order of the components has been changed to start with Safety Risk Management. This is considered the most important component of an organisation's SMS and should therefore be given the most attention during the evaluation. In addition, a section dedicated to interface management has been added to reflect Annex 19.

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	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	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.						ST1, ST4, ST5, ST10, RM3
	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.						
	What to look for							
Guidance	- 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 organisations 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	The reporting system is accessible and easy to use by all personnel.	The reporting system is being used by all personnel. There is feedback to the reporter of any actions taken (or not	There is a healthy reporting system based on the volume of reporting and the quality of reports received.

system and stored on a database. The process identifies how reports are actioned, and timescales are specified and addressed.	Responsibilities, timelines, and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.	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.	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).

		Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	1.1.4	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).						ST1, ST4, ST5, ST6, ST11, RM3, RM4, RM5
	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).						
	What to look for							
Guidance	- Review how hazards are identified, analysed, addressed, and recorded. - Review structure and layout of hazard log. - Consider hazards related to: ▪ Possible accident scenarios; ▪ Human and organisational factors; ▪ Business decisions and processes; ▪ Third party organisations; and ▪ 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.

1.2 SAFETY RISK ASSESSMENT AND MITIGATION (Annex 19 element 2.2)

<table>
<tr><td rowspan="3">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td>OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>1.2.1</td><td>There is a process for the management of risk that includes the analysis and assessment of risk associated with identified hazards expressed in terms of likelihood and severity (or alternative methodology).</td><td></td><td></td><td></td><td></td><td></td><td rowspan="2">ST1, ST2, ST5, RM3, RM4, RM6, RM1, RM7, RM8</td></tr>
<tr><td>1.2.2</td><td>There are criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.</td><td></td><td></td><td></td><td></td><td></td></tr>
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<table>
<tr><td rowspan="3">Guidance</td><td colspan="4" align="center">What to look for</td></tr>
<tr><td colspan="4">
- Review the risk classification scheme and procedures.
- Check that severity and likelihood criteria are defined (or that an alternative methodology is described).
- Review whether risk assessments are carried out consistently.
- Sample an identified hazard and review how it is processed and documented.
- Review what triggers a risk assessment.
- Check any assumptions made and whether they are reviewed.
- Review how issues are classified when there is insufficient quantitative data available.
- Check that the process defines who can accept what level of risk.
- Check that the risk register is being reviewed and monitored by the appropriate safety committee(s).
- Evidence of risk acceptability being routinely applied in decision making processes.
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Present	Suitable	Operating	Effective
There is a process for the analysis and assessment of safety risks. The level of risk the organisation is willing to accept is defined.	Severity and likelihood criteria are clearly defined and fit the service provider's actual circumstances. The risk matrix and acceptability criteria are clearly defined and usable. Responsibilities and timelines for accepting the risk are clearly defined.	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.

SM ICG material is free. If an organisation adapts material, it may not be made available for commercial resale.

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		Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	1.2.3	The organisation has a process in place to make decisions and apply appropriate and effective risk controls.						ST1, ST2, ST3, ST5, RM3, RM4, RM6, RM1, RM7, RM8
	1.2.4	Senior management have visibility of medium and high risk hazards and their mitigation and controls.						

Guidance	**What to look for**

<table>
<tr><td rowspan="3">Guidance</td><td colspan="4">
- Risk controls consider human and organisational factors.
- Evidence of risk controls being actioned and follow up.
- Aggregate risk is being considered.
- Check whether the risk controls have reduced the residual risk.
- Risk controls are clearly identified.
- Review the use of risk controls that rely solely on human intervention.
- Check that new risk controls do not create additional risks.
- Check whether the acceptability of the risks is made at the right management level.</td></tr>
<tr><td>Present</td><td>Suitable</td><td>Operating</td><td>Effective</td></tr>
<tr><td>The organisation has a process in place to decide and apply risk controls.</td><td>Responsibilities and timelines for determining and accepting the risk controls are defined.</td><td>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.</td><td>Risk controls are practical and sustainable, applied in a timely manner, and do not create additional risks.
Risk controls take Human Factors into consideration.</td></tr>
</table>

2. SAFETY ASSURANCE (Annex 19 component 3)

2.1   SAFETY PERFORMANCE MONITORING AND MEASUREMENT (Annex 19 element 3.1)

<table>
<tr><td rowspan="2" style="writing-mode:vertical">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td>OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>2.1.1</td><td>Safety performance indicators (SPIs) linked to the organisation's safety objectives have been defined, promulgated, and are being monitored and analysed for trends.</td><td></td><td></td><td></td><td></td><td></td><td>ST7, ST8, ST9, RM1, RM4</td></tr>
<tr><td rowspan="4" style="writing-mode:vertical">Guidance</td><td colspan="8" style="text-align:center">What to look for</td></tr>
<tr><td colspan="8">

- Evidence that SPIs are based on reliable sources of data.
- Evidence of when SPIs were last reviewed.
- 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 the senior management level.
- Evidence of feedback provided to the Accountable Executive.

</td></tr>
<tr><td colspan="2">Present</td><td colspan="2">Suitable</td><td colspan="2">Operating</td><td colspan="2">Effective</td></tr>
<tr><td colspan="2">There is a process in place to measure the safety performance of the organisation including SPIs and targets linked to the organisation's safety objectives and to measure the effectiveness of safety risk controls.</td><td colspan="2">SPIs are focused on what is important rather than what is easy to measure.
Reliability of data sources is considered in the design of SPIs.
SPIs are linked to the identified risks and safety objectives.
Frequency and responsibility for the trend monitoring of SPIs are appropriate.
Realistic targets have been set.
State SPIs are considered, as applicable.</td><td colspan="2">The safety performance of the organisation is being measured and meaningful SPIs are being continuously monitored and analysed for trends.</td><td colspan="2">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 that a risk control is ineffective, appropriate action is taken.</td></tr>
</table>

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	2.1.2	Risk mitigations and controls are being verified/audited to confirm they are working and effective.						ST2, ST3, ST6, RM3, RM4, RM6, RM1, RM7, RM8
	2.1.3	Safety assurance takes into account activities carried out by all directly contracted organisations.						

	What to look for
Guidance	- Evidence of risk controls being assessed for effectiveness (e.g., audits, surveys, reviews, SPIs and safety performance targets [SPTs], reporting systems). - Evidence of risk controls applied by contracted organisations being assessed and overseen (e.g., quality check, reviews, and regular meetings). - 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 the assessment.

Present	**Suitable**	**Operating**	**Effective**
There is a process in place to assess whether the risk controls are applied and effective.	Responsibilities, methods, and timelines for assessing risk controls are defined. Contracted organisations are included in the safety assurance process.	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.

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	2.1.4	Responsibilities and accountability for ensuring compliance with safety regulations are defined and applicable requirements are clearly identified in organisation manuals and procedures.						ST1, ST2, ST3, ST4, ST6, ST10, ST12, RM3, RM5, RM6, RM7, RM8
	2.1.5	There is an internal audit programme including details of the schedule of audits and procedures for audits, reporting, follow up, and records.						
	2.1.6	Responsibilities and accountabilities for the internal audit process are defined and there is a person or group of persons with responsibilities for internal						

	audits with direct access to the Accountable Manager.	

What to look for

- Review how senior management ensure the organisation remains in compliance.
- Review job descriptions for compliance responsibilities.
- Evidence that senior management take action on internal and external audit results.
- Review how independence of the internal audit function is achieved.
- Review how the internal audit function interacts with:
  - Senior management,
  - Line managers, and
  - The safety management staff.
- Assess the contents of the programme against any regulatory requirements.

Present	Suitable	Operating	Effective
Responsibilities and accountabilities for compliance are defined. The organisation has an internal audit programme and procedures for audits, reporting, and records. A person or group of persons with responsibilities for internal audits has been identified and they have direct access to the Accountable Executive.	The internal audit programme covers all applicable regulations and includes details of the schedule of audits. Independence of the internal audit function is achieved.	The compliance monitoring programme is being followed and regularly reviewed. All staff are aware of their responsibilities and accountabilities for compliance and to follow processes and procedures. Internal and external audit results are reported to the Accountable Executive and senior management.	Individuals are proactively identifying and reporting potential non-compliances. The Accountable Executive and senior management actively seek feedback on the status of internal and external audit activities.

The left margin of the upper table is labelled **Guidance** (rotated).

	Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	2.1.7 After an audit, there is appropriate analysis of causal factors and corrective/preventive actions are taken.						ST10, ST11, RM3, RM7, RM8

What to look for

- Review the methods used for causal analysis
- Check that the method is used consistently.
- Review any repeat findings and check for actions have not been implemented or are overdue.
- Check for timely implementation of actions.

The left margin of the lower "What to look for" section is labelled **Guidance** (rotated).

- Review senior management awareness of the status of significant findings and related corrective/preventive actions.
- Check that appropriate personnel participate in the determination of causes and contributing factors.
- Look for consistency between internal audit results and external audit results.
- Review whether causal factors are considered as potential hazards.

Present	Suitable	Operating	Effective
The process for the identification and follow-up of corrective/preventive actions are defined. The interface between internal audits and the safety risk management processes is described.	Responsibilities and timelines for determining, accepting, and following-up the corrective/preventive action are defined. Compliance monitoring includes contracted activities.	The identification and follow-up of corrective/preventive actions is carried out in accordance with the procedures including causal analysis to address root causes. The status of corrective/preventive actions is regularly communicated to relevant senior management and staff.	The organisation investigates the systemic causes and contributing factors of findings. The organisation proactively reviews the status of corrective/preventive actions. Effectiveness of the corrective/preventive actions is verified.

2.2   THE MANAGEMENT OF CHANGE (Annex 19 element 3.2)

		Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	2.2.1	The organisation has a process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.						ST1, ST2, ST3, ST5, ST6, RM1, RM2, RM3, RM4, RM5, RM1, RM7, RM8
	2.2.2	Human Factor (HF) issues have been considered as part of the change management process and, where appropriate, the organisation has applied the appropriate HF/human-centred design standards to the equipment and physical environment design.						
		What to look for						
Guidance		- Key stakeholders are involved in the process. - Review what triggers the process. - Review recent changes that have been through the risk assessment process. - Check that 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 multiple changes. - Review that business-related changes have considered safety risks (organisational restructuring, upsizing or downsizing, IT projects, etc.). - Evidence of HF issues being addressed during changes. - Review impact of change on training and competencies. - Review previous changes to confirm they remain under control. - Consider how the changes are communicated to those people impacted by the change.	

	Present	Suitable	Operating	Effective
	The organisation has established a change management process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.	Triggers for the change management process are defined. The process also considers business related changes and interfaces with other organisations/departments. The process is integrated with the risk management and safety assurance processes. Responsibilities and timelines are defined.	The change management process is being used and includes hazard identification and risk assessments with appropriate risk controls being put in place before a decision to make the change is taken. HF issues have been considered and been addressed as part of the change management process.	The change management process is used for all changes that may impact safety, including HF issues, and considers the accumulation of multiple changes. It is initiated in a planned, timely, and consistent manner and includes follow up action that ensures the change was implemented safely. The change is communicated to those affected. Risk control and mitigation strategies associated with changes are achieving the planned effect.

2.3   CONTINUOUS IMPROVEMENT OF THE SMS (Annex 19 element 3.3)

<table>
<tr><th rowspan="2">Evaluation</th><th colspan="2">Indicators of compliance and performance</th><th>P</th><th>S</th><th>O</th><th>E</th><th>How it is achieved</th><th>OBSERVABLE BEHAVIOURS</th></tr>
<tr><td>2.3.1</td><td>The organisation is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.</td><td></td><td></td><td></td><td></td><td></td><td>ST1, ST2, ST3, ST4, ST5, ST6, ST7, ST8, ST9, ST10, ST11, ST12, RM6, RM1</td></tr>
<tr><td rowspan="4">Guidance</td><td colspan="8" align="center">What to look for</td></tr>
<tr><td colspan="8">
- Review the information and safety data used for management decision making and continuous improvement.
- Evidence of:
  - Lessons learnt being incorporated into SMS and operational processes;
  - Best practices being sought and embraced;
  - Surveys and assessments of organisational culture being carried out and acted upon;
  - Data being analysed and results shared with Safety Committees; and
  - Follow-up actions.
- Information from external occurrences, investigation reports, safety meetings, hazard reports, audits, and safety data analysis all contribute towards continuous improvement of the SMS.
</td></tr>
<tr><td colspan="2">Present</td><td colspan="2">Suitable</td><td colspan="2">Operating</td><td colspan="2">Effective</td></tr>
<tr><td colspan="2">There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.</td><td colspan="2">The SMS is periodically reviewed, and the review is supported by safety information and safety assurance activities. Senior management and different departments are involved. The decision making is data informed. External information is considered in addition to internal information.</td><td colspan="2">There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken.</td><td colspan="2">The assessment of SMS effectiveness uses multiple sources of information including the safety data analysis that supports decisions for continuous improvements.</td></tr>
</table>

3. SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

3.1   MANAGEMENT COMMITMENT (Annex 19 element 1.1)

<table>
<tr><td rowspan="4">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td>OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>3.1.1</td><td>There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.</td><td></td><td></td><td></td><td></td><td></td><td rowspan="3">ST1, ST3, ST5, ST6, ST9</td></tr>
<tr><td>3.1.2</td><td>The safety policy includes a statement to provide appropriate resources and the organisation is managing resources by anticipating and addressing any shortfalls.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>3.1.3</td><td>There are policies in place for safety critical roles relating to all aspects of Fitness for Duty (for example, Alcohol and Drugs Policy or Fatigue).</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="4">Guidance</td><td colspan="8">What to look for</td></tr>
<tr><td colspan="8">
- Interview the Accountable Executive to assess their knowledge and understanding of the safety policy.
- Check that the safety policy is reviewed periodically for content and currency.
- Confirm that the safety policy meets the requirements.
- Interview staff to determine to what extent the safety policy is known, as well as how readable and understandable it is.
- Review available resources including personnel, equipment, and financial.
- There are sufficient and competent personnel.
- Review planned resources versus actual resources.
- Check how a positive safety culture is encouraged and impacts the overall effectiveness.
</td></tr>
<tr><td colspan="2">Present</td><td colspan="2">Suitable</td><td colspan="2">Operating</td><td colspan="2">Effective</td></tr>
<tr><td colspan="2">There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices. The</td><td colspan="2">The safety policy is easy to read. The content is customised to the organisation. There is a process for assessing resources and addressing any shortfalls.</td><td colspan="2">The safety policy is reviewed periodically to ensure it remains relevant to the organisation. The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.</td><td colspan="2">The Accountable Executive is familiar with the contents of the safety policy and endorses it. The organisation is reviewing and taking action to address any forecasted shortfalls in resources.</td></tr>
</table>

	safety policy includes a statement to provide appropriate resources.				

	Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.1.4	There is a means in place for the communication of the safety policy.						ST1, ST2, ST3, ST4, ST6, RM2, RM3
	3.1.5	The Accountable Executive and the senior management team promote a positive safety/just culture and demonstrate their commitment to the safety policy through active and visible participation in the safety management system.					

	What to look for
Guidance	- Review how the safety policy is communicated. - Safety policy is clearly visible to all staff including relevant contracted staff and third-party organisations. - Question managers and staff regarding knowledge of the safety policy. - All managers are familiar with the key elements of the safety policy. - Evidence of senior management participation in safety meetings, training, conferences, etc. - Feedback from safety surveys that include specific just culture aspects. - Relationship with regulator and other stakeholders. - Review how a positive safety and just culture are promoted.

Present	Suitable	Operating	Effective
There is a means in place for the communication of the safety policy. The management commitment to safety is documented within the safety policy.	The safety policy is clearly visible to all staff (consider multiple sites). The safety policy is understandable (consider multiple languages). The Accountable Executive and the senior management team have a well-defined role in the safety management system.	The safety policy is communicated to all personnel (including relevant contract staff and organisations). The Accountable Executive and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system.	People across the organisation are familiar with the policy and can describe their obligations in respect of the safety policy. Decision making, actions, and behaviours reflect a positive safety/just culture and there is good safety leadership that demonstrates commitment to the safety policy.

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.1.6	The safety policy actively encourages safety reporting.						ST3, ST4, ST6, ST7, RM2, RM3, RM5
	3.1.7	A just culture policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a just culture.						

	What to look for
Guidance	- Evidence of when the just culture principles have been applied following an event. - Evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual. - Review how the organisation is monitoring reporting rates. - Review the number of aviation safety reports appropriate to the activities. - Safety reports include the reporter's own errors and events they are involved in (events where no one was watching). - Feedback on just culture from staff safety culture surveys. - Interview staff representatives to confirm that they agree with just culture policy and principles. - Check that staff are aware of the just culture policy and principles.

Present	Suitable	Operating	Effective
A just culture policy and principles have been defined.	The just culture policy clearly identifies acceptable and unacceptable behaviours. The principles ensure that the policy can be applied consistently across the whole organisation. The just culture policy and principles are understandable and clearly visible.	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 staff trust the policy. There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff and staff representatives.

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.1.8	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organisation.						ST5, ST6, ST7, ST9, RM2, RM3
	3.1.9	The State Safety Programme (SSP) is being considered and addressed as appropriate.						

	What to look for
Guidance	- Assess whether the safety objectives are appropriate and relevant. - 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 the organisation. - Safety objectives are being measured to monitor achievement through SPIs and SPTs. - Assess if the safety objectives have considered the State safety objectives in the SSP.

Present	Suitable	Operating	Effective
Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organisation.	Safety objectives are relevant to the organisation and its activities. Safety objectives are understandable and clearly visible. Safety objectives are aligned with the SSP.	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.

3.2   SAFETY ACCOUNTABILITY AND RESPONSIBILITIES (Annex 19 element 1.2)

<table>
<tr><td rowspan="3">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td>OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>3.2.1</td><td>An Accountable Executive has been appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively.</td><td></td><td></td><td></td><td></td><td></td><td rowspan="2">ST2, ST4, ST5, ST6, ST10, RM2</td></tr>
<tr><td>3.2.2</td><td>The Accountable Executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="5">Guidance</td><td colspan="8" align="center">What to look for</td></tr>
<tr><td colspan="8">- Evidence that the Accountable Executive has the authority to provide sufficient resources for relevant safety improvements.
- Evidence of decision making on risk acceptability.
- 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.
- Look for evidence that Accountable Executive actions are consistent with the active promotion of a positive safety culture in the organisation.</td></tr>
<tr><td colspan="2">Present</td><td colspan="2">Suitable</td><td colspan="2">Operating</td><td colspan="2">Effective</td></tr>
<tr><td colspan="2">An Accountable Executive has been appointed with full responsibility and ultimate accountability for the SMS.</td><td colspan="2">The Accountable Executive has control of resources.</td><td colspan="2">The Accountable Executive 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 Executive is fully aware of their SMS roles and responsibilities. The Accountable Executive is accessible to the staff in the organisation.</td><td colspan="2">The Accountable Executive ensures that the performance of the SMS is being monitored, reviewed, and improved.</td></tr>
</table>

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.2.3	Safety accountabilities, authorities, and responsibilities are defined and documented throughout the organisation and staff understand their own responsibilities.						ST1, ST2, ST3, ST4, ST5, ST6

	What to look for
Guidance	- 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, and ownership. - The levels of management authorised to make decisions on risk acceptance are defined and applied. - Check for any conflicts of interest and that they have been identified and managed.

Present	Suitable	Operating	Effective
The safety accountability, authorities, and responsibilities are clearly defined and documented.	Individuals have access to their safety accountability, authorities, and responsibilities (for example, through job descriptions or organisational charts).	Everyone in the organisation is aware of and fulfil their safety responsibilities, authorities, and accountabilities and are encouraged to contribute to the SMS.	The Accountable Executive and the senior management team are aware of the risks faced by the organisation and SMS principles exist throughout the organisation so that safety is part of the everyday language.

3.3 APPOINTMENT OF KEY PERSONNEL (Annex 19 element 1.3)

		Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.3.1	A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the Accountable Executive.						ST5, ST6
	3.3.2	The organisation has allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion.						

	What to look for
Guidance	- Review safety manager role including credibility and status. - Review the training that the safety manager has received. - Evidence of maintained competency. - Review how the safety manager gets access to internal and external safety information. - Review how the safety manager communicates and engages with operational staff and senior management. - Review the safety manager's 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 closure timescales. - Interviews with Accountable Executive and safety manager. - Check for any conflicts of interest and that they have been identified and managed.

Present	Suitable	Operating	Effective
A safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the Accountable Executive.	The safety manager is competent. Sufficient time and resources are allocated to maintain the SMS.	The safety manager has implemented and is maintaining the SMS. The safety manager is in regular communication with the Accountable Executive and escalates safety issues when appropriate. The safety manager is accessible to staff in the organisation.	The safety manager is competent to manage the SMS and identifies improvements in a timely manner. There is a close working relationship with the Accountable Executive and the safety manager is considered a trusted advisor and given appropriate status in the organisation.

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.3.3	The organisation has established appropriate safety committee(s) that discuss and address safety risks and compliance issues and includes the Accountable Executive and the heads of functional areas.						ST2, ST4, ST6, RM1, RM5, RM8

	What to look for
Guidance	- Review safety committee and meeting structure and Terms of Reference for each committee/meeting. - Review meeting attendance levels. - Review meeting records and actions. - Check that outcomes are communicated to the rest of the organisation. - Evidence of safety objectives, safety performance, and compliance are being reviewed and discussed at meetings. - Participants challenge what is being presented when there is limited evidence. - Senior management are aware of the most significant risks faced by the organisation and the overall safety performance of the organisation.

Present	Suitable	Operating	Effective
The organisation has established safety committee(s).	Safety committee(s)' structure and frequency supports the SMS functions across the organisation. The scope of the safety committee(s) includes safety risks and compliance issues. The attendance of the highest-level safety committee includes at least the Accountable Executive and the heads of functional areas.	There is evidence of meetings taking place detailing the attendance, discussions, and actions. The safety committee(s) 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.

3.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING (Annex 19 element 1.4)

	Indicators of compliance and performance		P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.4.1	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.						ST4, ST5
	3.4.2	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.						

	What to look for
Guidance	- Review emergency response plan. - Review how coordination with other organisations is planned. - Review how ERP is distributed and where copies are held. - Interview key personnel and check they have access to the ERP. - Check that different types of foreseeable emergencies have been considered. - Review when the plan was last reviewed and tested and actions taken.

	Present	**Suitable**	**Operating**	**Effective**
	A coordinated ERP has been developed and defined.	Key personnel have easy access to the relevant parts of the ERP at all times. The ERP defines the procedures, roles, responsibilities, and actions of the various organisations and key personnel. The frequency and methods for testing the ERP are defined. The coordination with other organisations (including non-aviation organisations) is defined with appropriate means.	The ERP is reviewed and tested to make sure it remains up-to-date. 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.

3.5   SMS DOCUMENTATION (Annex 19 element 1.5)

		Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	3.5.1	The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes and is readily available to all relevant personnel.						ST1, ST2, ST4, ST5
	3.5.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.						

Guidance		**What to look for**		

Guidance				

What to look for

- Review the SMS documentation and amendment procedures.
- Check for cross references to other documents and procedures.
- Check availability of SMS documentation to all staff.
- Check that staff know where to find safety-related documentation including procedures appropriate to their role.
- Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments, etc.).
- Check how safety records are stored and version controlled.
- Check appropriate staff are aware of the records control processes and procedures.

Present	Suitable	Operating	Effective
The SMS documentation includes the policies and processes that describe the organisation's SMS and processes. The SMS documentation defines the SMS outputs and which records of SMS activities will be stored. Records to be stored, storage period, and location are identified.	SMS documentation is readily available to all relevant personnel. SMS documentation is comprehensible. SMS documentation is consistent with other internal management systems and is representative of the actual processes in place. Data protection and confidentiality rules have been defined.	Changes to the SMS documentation are managed. Everyone is familiar with and follows the relevant parts of the SMS documentation. SMS activities are appropriately stored and found to be complete and consistent with data protection and confidentiality control rules.	SMS documentation is proactively reviewed for improvement. SMS records are routinely used as inputs for safety management-related tasks and continuous improvement of the SMS.

4. SAFETY PROMOTION (Annex 19 component 4)

4.1   TRAINING AND EDUCATION (Annex 19 element 4.1)

<table>
<tr><td rowspan="4">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td style="background-color:#8CC63F">OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>4.1.1</td><td>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.</td><td></td><td></td><td></td><td></td><td></td><td rowspan="3" style="background-color:#8CC63F">ST1, ST2, ST5, RM3, RM5</td></tr>
<tr><td>4.1.2</td><td>There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>4.1.3</td><td>Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="4">Guidance</td><td colspan="8" align="center">What to look for</td></tr>
<tr><td colspan="8">
- Review the SMS training programme including course content and delivery method.
- Check training records against the training programme.
- Review how the competence of the trainers is being assessed and maintained.
- 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 in position.
- Review any training evaluation.
- Check that the training includes human and organisational factors.
- Ask staff about their own understanding of their role in the organisation's SMS and their safety duties.
- Check that all staff are briefed on compliance.
</td></tr>
<tr><td>Present</td><td>Suitable</td><td colspan="3">Operating</td><td colspan="3">Effective</td></tr>
<tr><td>There is an SMS training programme in place that includes initial and recurrent training.</td><td>The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the organisation's SMS operates. Training material and methodology are adapted to the</td><td colspan="3">The SMS training programme is delivering appropriate training to the different staff in the organisation and is being delivered by competent personnel.</td><td colspan="3">SMS training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests, etc.) and is linked to the competency assessment.</td></tr>
</table>

		audience and include human factors. All staff requiring training are identified.					Training is routinely reviewed to take feedback from different sources into consideration.

	Indicators of compliance and performance	P	S	O	E	How it is achieved	OBSERVABLE BEHAVIOURS
Evaluation	4.1.4 There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary.						ST1, ST2, ST3, RM3, RM8
	4.1.5 The competence of trainers is defined and assessed and appropriate remedial action taken when necessary.						

	What to look for			
Guidance	- Review how competence assessment is carried out on initial recruitment and recurrently. - Check it includes safety duties and responsibilities, as well as compliance management.			
	Present	**Suitable**	**Operating**	**Effective**
	A competency framework is defined for all personnel, including trainers.	There is a process in place to periodically assess the actual competency of personnel against the framework.	There is evidence of the process being used and being recorded.	The competence assessment programme and process is routinely reviewed and improved. The competence assessment takes appropriate remedial action when necessary and feeds into the training programme.

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4.2   SAFETY COMMUNICATION (Annex 19 element 4.2)

<table>
<tr><td rowspan="2">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td>OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>4.2.1</td><td>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.</td><td></td><td></td><td></td><td></td><td></td><td>ST4, ST6, ST9, RM3, RM8</td></tr>
<tr><td rowspan="12">Guidance</td><td colspan="8" align="center">What to look for</td></tr>
<tr><td colspan="8">

- Review the sources of information used for safety communication.
- 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 is appropriate.
- The means for safety communication is reviewed for effectiveness and material used to update relevant training.
- Significant events, changes, and investigation outcomes are being communicated.
- Check accessibility to safety information.
- Ask staff about any recent safety communication.
- Review whether information from occurrences are timely communicated to all relevant personnel (internal and external) and has been appropriately disidentified.

</td></tr>
<tr><td colspan="2">Present</td><td colspan="2">Suitable</td><td colspan="2">Operating</td><td colspan="2">Effective</td></tr>
<tr><td colspan="2">There is a process to communicate safety critical information.</td><td colspan="2">The process determined what, when, and how safety information needs to be communicated. The process includes contracted organisations and personnel where appropriate. The means of communication are adapted to the audience and the significance of what is being communicated.</td><td colspan="2">Safety critical information is being identified and communicated throughout the organisation to all personnel, as relevant, including contracted organisations and personnel where appropriate.</td><td colspan="2">The organisation 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.</td></tr>
</table>

5. INTERFACE MANAGEMENT (Annex 19 Appendix 2 note 2)

<table>
<tr><td rowspan="2">Evaluation</td><td colspan="2">Indicators of compliance and performance</td><td>P</td><td>S</td><td>O</td><td>E</td><td>How it is achieved</td><td>OBSERVABLE BEHAVIOURS</td></tr>
<tr><td>5.1.1</td><td>The organisation has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.</td><td></td><td></td><td></td><td></td><td></td><td>ST1, ST2, ST6, RM3, RM1</td></tr>
<tr><td rowspan="9">Guidance</td><td colspan="8" align="center">What to look for</td></tr>
<tr><td colspan="8">

- Review how interfaces have been documented. It may be included in a system description.
- Evidence that:
    - Safety critical issues, areas, and associated hazards are identified;
    - Safety occurrences are being reported and addressed;
    - Risk control actions are applied and regularly reviewed; and
    - Interfaces are reviewed periodically.
- Training and safety promotion sessions are organised with relevant external organisations.
- External organisations participate in SMS activities and share safety information.
- Check the identified interfaces (e.g., interfaces with aerodromes, airlines, Air Traffic Control [ATC], training organisations, contracted organisations, and the State).

</td></tr>
<tr><td colspan="2">Present</td><td colspan="2">Suitable</td><td colspan="2">Operating</td><td colspan="2">Effective</td></tr>
<tr><td colspan="2">The organisation has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.</td><td colspan="2">All relevant interfaces are addressed.
The way the interfaces are managed is appropriate to the criticality in terms of safety.
The means for communicating safety information is defined.</td><td colspan="2">The organisation is managing the interfaces through hazard identification and risk management.
There is an assurance activity to assess risk mitigations being delivered by external organisations.</td><td colspan="2">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.</td></tr>
</table>

Annex B: SMS Inspector Competency Assessment Tool

The *SMS Inspector Competency Assessment Tool* is structured as an Excel spreadsheet consisting of six sheets—'0. User Guide', '1. Onsite Assessment Results', '2. Results Tally & Remedial Actions', '3. Results Profile Charts', '4. Reference - Observable Behaviour Descriptions' and '5. Reference – Rating Scale'.

It can be downloaded from SKYbrary at the following link:
https://skybrary.aero/bookshelf/sms-inspector-competency-assessment-tool

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