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CAA SMS Evaluation Tool
and Resources

Assessment of a Safety Management System - CAA SMS Evaluation Tool (v6)



- Originates from the Safety Management International Collaboration Group (SM-ICG)
- Enables mutual recognition of an SMS
 - CASA (Australia)
 - Transport Canada
 - FAA
 - EASA – Management System Assessment Tool
- Used to assess a Safety Management System across all domains
- Can be used internally within an organisation by the compliance monitoring function.

Assessment of a Safety Management System - CAA SMS Evaluation Tool (v6)



- 3 different levels
 - Individual markers (indicators)
 - Effectiveness in each of the 12 ICAO SMS elements
 - Summary of SMS effectiveness based on the 4 ICAO SMS components
- Additional elements:
 - Compliance Monitoring System
 - Interface management

SMS Evaluation Tool – v6



1.1 HAZARD IDENTIFICATION OR*.GEN.200 (a) (3), ADR.OR.D.005, ATM/ANS.OR.B.005(a) (5), ATS.OR.200 (2) (i), ATCO.OR.C.001, CAMO.A.155, CAMO.A.160, CAMO.A.202, CAMO.A.200(a)(3), (EU) 376/2014 Articles 4.1, 4.2, 4.7, 4.8, 5.1, 5.6, 6.1, 6.5, 7.1, 13.1, 13.4, (EU) IR 2015/1018 Annex I to V

The organisation shall develop and maintain a formal process that ensures that aviation safety hazards are identified. This should include the investigation of incidents and accidents to identify potential hazards. Hazard identification shall be based on a combination of reactive and proactive methods of safety data collection.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	What to look for	CAA Remarks
1.1.1	There is a confidential reporting system that complies with EU 376/2014 Article 4.2 & 5.1 that captures errors, hazards and near misses that is simple to use and accessible to all staff and provides appropriate feedback to the reporter and where appropriate, to the rest of the organisation.						Reporting System (in addition to MORs) is available to all personnel and is in use; Staff familiar with it; Review how data quality, protection and confidentiality is achieved? Assess volume, content and quality of reports Evidence of feed back to reporter, the organisation and third parties. Safety reports are acted on in a timely manner. Check availability to contracted organisations and customers to make reports. Review reporting timescales (72 hours, 30 days, 3 months). ECCAIRS compatible format reporting. Review voluntary and mandatory reporting.	

The PSOE Approach

- **Present:** There is evidence that the ‘marker’ is clearly visible and is documented within the organisation’s SMS Documentation
- **Suitable:** The marker is suitable based on the size, nature, complexity and the inherent risk in the activity
- **Operating:** There is evidence that the marker is in use and an output is being produced
- **Effective:** There is evidence that the element or component is effectively achieving the desired outcome

Assessment of Element



- Looks for the overall outcomes from each element
 - **Initiating**
 - **Present and suitable**
 - **Operating (but not effective)**
 - **Effectiveness achieved**
 - **Excellence**

1.1 EFFECTIVENESS is achieved when aviation safety hazards are being identified and reported throughout the organization. Hazards are captured in a hazard register and assessed in a systematic and timely manner.	Initiating		CAA REMARKS
	Present and Suitable		
	Operating		
	Effectiveness Achieved		
	Excellence		

SMS Evaluation Summary

	Initiating	Present and suitable	Operating	Effective	Excellence
The SMS as a whole	The SMS is at the implementation stage	All the main elements of the SMS are in place	The systems and processes of the SMS are operating.	The SMS is working in an effective way and is striving for continuous improvement	The organisation is an industry leader and embraces and shares its best practice
Safety Risk Management	The safety risk management processes are not fully developed	A safety reporting system is in place and there is a process for how risks are assessed and managed	The hazard and risk registers are being built up and risks are starting to be managed in proactive manner.	The organisation is continuously identifying hazards and understands its biggest risks and is actively managing them and this can be seen in their safety performance. Safety Risk management is proactive.	Key Personnel throughout the organisation are aware and understand the risks relative to their responsibilities and are continuously searching out new hazards and risks and re-evaluating existing risks
Safety Assurance	Safety assurance activities including SPIs are not fully developed	Initial SPIs linked to the safety objectives have been identified and there is a management of change process in place	The Organisation has established SPIs that it is monitoring and is auditing and assessing its SMS and its outputs	The organisation assures itself that it has an effective SMS and is managing its risk through audit, assessment and monitoring of its safety performance.	The organisation is continuously assessing its approach to safety management and is continuously improving its safety performance and seeking out and embracing best practice
Safety Policy and Objectives	Policies, processes and procedures are not fully developed	There are policies, processes and procedures in place that detail how the SMS will operate.	There is a safety policy in place and Senior Management are committed to making the SMS work and is providing appropriate resources to safety management.	Senior Management are clearly involved in the SMS and the Safety Policy sets out the organisations intent to manage safety and is clearly evident in the day to day operations	The organisation is an industry leader and embraces best practice
Safety Promotion	Safety promotion activities are not fully developed	There is a training programme and the means to communicate safety information is in place.	The organisation has trained its people and has several mediums for safety promotion that it uses for passing on safety information	The organisation puts a considerable resource and effort into training its people and publicising its safety culture and other safety information and monitors the effectiveness of its safety promotion	In addition, the organisation provides training and safety promotion to its contracted service providers and assesses the effectiveness of its safety promotion
Human Factors Management	Human Factors is considered but not formally captured by the organisation.	Human Factors policies and processes have been defined and documented where required by regulation.	Human Factors is being managed across the organisation and is starting to be integrated into the organisation's SMS.	Human Factors is integrated into the SMS and the operations of the organisation. All staff including management are aware of human factors and apply it in the way they work.	Human Factors is embedded into the day to day activities of the organisation and fully integrated into the SMS. This is evident throughout the organisation from senior management to front line staff.

EASA SMS Framework



- EASA requirements are based on ICAO Annex 19 Framework

CAMO.A.200 (a) 3 The identification of aviation safety hazards entailed by the activities of the organisation, their evaluation and management of associated risks, including taking actions to mitigate the risk and verify the effectiveness

- *“The management system shall correspond to the size, nature and complexity of the activities, and the hazards and associated risks inherent in these activities”*

Compliance vs. Performance



- Compliance is an important part of the regulators tool kit and has brought safety a long way.
- SMS effectiveness and safety performance should take it further.
- SMS evaluation looks for compliance (present and suitable) and performance (operating and effective)

or

The SMS must be effective (CAMO.A.200 (a) (3)) and be continuously improving (xxxx) to be compliant!

Further Information and Guidance Material

- EASA Part CAMO + GM/AMC
- CAA SMS website www.caa.co.uk/sms
- CAA CAP 795 – Safety Management Systems - Guidance to Organisations
- CAA CAP 1059 - Safety Management Systems: Guidance for small organisations
- SM-ICG Skybrary Website
 - SMS for Small Organisations
 - 10 Things you should know about SMS
- ICAO Safety Management Implementation Website and ICAO Document 9859
- CAP 1760 – Effective Problem Solving and Root Cause Identification