CAA SMS Evaluation Tool V7

To be completed and signed for by the Safety manager or Accountable Manager:

Organisation:	
Approval reference (s):	
Name and Signature:	
Position:	
SMS or MS Manual Revision:	
Date of Signing:	

For CAA use only:

CAA Staff:	
Name and Department:	
Date of Assessment:	

SMS Evaluation Tool Instructions for use

This Tool evaluates the effectiveness of the SMS at 4 different levels based on the ICAO SMS Framework and UK CAA Management System requirements. It contains some additional Management System requirements, including the need to comply with UK Regulation No (EU) 376/2014 on "occurrence reporting" and some key enablers to foster "just culture". An introductory paragraph is given for each element along with a cross reference to the UK CAA Management System requirements. For each of the elements there are a series of markers that are assessed for their presence (P), suitability (S), operating (O) and being effective (E) using the definitions below. The organisation should use the 'how it is achieved box' to describe how they have achieved the PSO or E level for the marker detailing any documentation references, evidence, or examples to support their self-assessment. Once the individual markers are assessed by the organisation the UK CAA will then sample and verify each marker and assess the overall effectiveness assessment of each SMS element. The overall effectiveness for each element will be used by the UK CAA to determine the overall level of the SMS maturity and effectiveness using the Evaluation Summary matrix on the back page.

For the initial approval of an SMS, all markers must be **present and suitable** before the approval certificate is issued. For continued approval, all markers must be at least **operating** for all the elements. Findings can be issued during continued oversight if an element falls below operating (i.e., assessed at only present or suitable).

PSOE definitions for individual markers (assessed and completed initially by organisation and verified by the UK CAA):

- **Present:** There is evidence that the 'marker' is clearly visible and is documented within the organisation's SMS or MS Documentation.

Version 7. November 2023

- **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 marker is effectively achieving the desired outcome and has a positive safety impact.

Element summary definitions (assessed and completed by UK CAA):

- **Initiating:** Not all the markers in this element are present and suitable.
- **Present and suitable:** All markers in this element are at least present and suitable but not all are operating. This level is required for initial approval of an organisation (phase 1 evaluation).
- **Operating (but not effective):** All compliance + performance markers are at least operating but the overall effectiveness for that element, as described, is not achieved.
- **Effectiveness achieved:** All compliance + performance markers are at least operating and the overall effectiveness for that element, as described, is achieved.

Completing the self-assessment:

Organisations should assess each marker to determine whether it is present, suitable, operating, or effective by placing a tick in the appropriate PSOE column and then justifying that determination in the 'how it is achieved' column. The UK CAA will complete the rest of the document.

Some markers are annotated with a 'C' that reflects the organisation's safety culture and 'HF' that reflects a Human Factors related marker.

1. <u>SAFETY RISK MANAGEMENT</u>

1.1 HAZARD IDENTIFICATION OR*.GEN.200 (a) (3), OR*GEN.160, 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), UK Reg (EU) No 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, UK Reg (EU) IR No 2015/1018 Annex I to V, 21.A.3A, 21.A.129(e), 21.A.139(c)(6), 21.A.165(e), 21.A.239(c)(6), 145.A.47(b) and (d), 145.A.48(c), 145.A.61, 145.A.200(a)(3), 145.A.202

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.

1.1.1 - There is a confidential reporting system that complies with UK Reg (EU) No 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.

What to look for:
- 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 feedback 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.

P	S	O	E	How it is achieved	CAA Remarks

1.1.2C - Personnel express confidence and trust in the organisations reporting policy.

What to look for:
- Question all levels of personnel.
- Number and variety of safety reports.
- Evidence of self-reporting.
- Feedback from staff surveys.

P	S	O	E	How it is achieved	CAA Remarks

1.1.3 - There is a process that defines how reactive and proactive hazard identification is gathered from multiple sources (internal and external). Information gathered and stored complies with UK Reg (EU) No 376/2014 Articles 4.1, 6.5, 7.1

What to look for:
- Review how hazards are identified, analysed, and recorded.
- Review internal and external sources of hazards such as Safety reports, audits, safety surveys, brainstorming.
- Hazards related to third party organisations.
- Minimum information contained in reports.

P	S	O	E	How it is achieved	CAA Remarks

1.1.4HF - Human performance related hazards are being identified.

What to look for:
- HF issues being identified and categorised.
- Evidence of errors in procedures / processes being identified and actioned?
- Evidence of critical tasks being identified and related hazards identified.

P	S	O	E	How it is achieved	CAA Remarks

1.1.5 - There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.

What to look for:
- Data is being analysed and results shared with Safety Committees.
- Evidence of Management decisions based on data analysis and reporting system outputs which determines any appropriate, corrective, or preventive action required to improve aviation safety.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

1.1.6 - Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).

What to look for:
- Review methods for carrying out investigations.
- Evidence of root cause analysis Evidence of rectification action.
- Sample recent investigations.
- Individual factors (HF) and
- Organisational factors identified.
- One or more persons designated to independently handle the collection and management of occurrences reported.
- Investigators trained in HF and investigation techniques.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

1.1 Summary – EFFECTIVENESS is achieved when aviation safety hazards are being identified and reported throughout the organization. Hazards are capture in a hazard log/risk register and assessed in a systematic and timely manner.

		CAA Remarks
Initiating		
Present and Suitable		
Operating		
Effectiveness Achieved		

1.2   RISK ASSESSMENT AND MITIGATION OR*.GEN.200 (a) (3), ADR.OR.D.005 (b)(4), ATS.OR.200(2)(i), ATCO.OR.C.001 (c), CAMO.A.155, CAMO.A.200(a)(3), UK Reg (EU) No 376/2014 Articles 7.2, 13.1, 13.2, 21.A.139(c)(3), 21.A.143(a)(13)(iv), 21.A.239(c)(3), 21.A.243(a)(iv), 145.A.47(b) and (d), 145.A.48(c), 145.A.155, 145.A.200(a)(3)

The organisation shall develop and maintain a formal process that ensures analysis, assessment, and control of safety risks in operations are mitigated to an acceptable level.

Version 7. November 2023

1.2.1 - There is a process for the management of risk that includes the analysis, assessment of risk associated with identified hazards, expressed in terms of likelihood and severity.

What to look for:
- Sample identified hazards and assessed how they were processed.
- Procedures.
- Review layout of risk register
- Process defines who can accept what level of risk.
- Risk register being reviewed and updated.

P	S	O	E	How it is achieved	CAA Remarks

1.2.2 - There are criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.

What to look for:
- Risk tolerability criteria defined.
- Risk classifications are clearly defined and applied consistently.
- Management signs off is in line with defined authorities.

P	S	O	E	How it is achieved	CAA Remarks

1.2.3 - The organisation has a process in place to decide and apply appropriate and effective risk controls.

What to look for:
- Risk mitigations are practical and robust and consider human performance limitations.
- Mitigations are implemented in an appropriate time scale.
- Do not create additional risks; evidence of corrective actions and follow up.
- Review risk controls that rely solely on human action or intervention.
- Policies to prevent distractions during safety critical tasks.
- Evidence of mitigation including ownership and timeline.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

1.2.4 - Senior management have visibility of medium and high-risk hazards and their mitigation and controls.

What to look for:
- Significant risks being reviewed and monitored by safety committees.
- Senior Managers are aware of the biggest risks.
- Senior Managers are responsible for the acceptance of medium and high risks.

P	S	O	E	How it is achieved	CAA Remarks

1.2.5 - The UK National Aviation Safety Plan and UK National Aviation Safety Roadmap are being considered and addressed as appropriate.

What to look for:
- Evidence of the relevant Significant 7 (runway incursion, excursion, ground handling, Loss of Control, airborne conflict, fire) being considered as part of the safety risk management activities.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

1.2 Summary - EFFECTIVENESS is achieved when the organisation understands and is managing its most significant safety risks through a formal process that ensures analysis, assessment, and control of the safety risks in operations to an acceptable level.

		CAA Remarks
Initiating		
Present and Suitable		
Operating		
Effectiveness Achieved		

Version 7. November 2023

2. SAFETY ASSURANCE

2.1   SAFETY PERFORMANCE MONITORING AND MEASUREMENT OR*GEN.200 (a) (3), ADR.OR.D.005 (b)(5), ATS.OR.200 (3)(i), CAMO.A.200(a)(3), UK (EU) Reg No 376/2014 Article 13.2, 21.A.139(c)(1), 21.A.239(c)(1), 145.A.200(a)(2) and (3)

The organisation shall develop and maintain the means to verify the safety performance of the organisation and to validate the effectiveness of safety risks controls.   The safety performance of the organisation shall be verified in reference to the safety performance indicators and safety performance targets of the SMS.

2.1.1 - Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organisation.

What to look for:
- How safety objectives have been promulgated.
- Are they appropriate and relevant?
- Safety Objectives include how human performance should be addressed.

P	S	O	E	How it is achieved	CAA Remarks

2.1.2 - Safety performance indicators (SPIs) linked to the organisation's safety objectives have been defined, promulgated and are being monitored and analysed for trends.

What to look for:
- Evidence of SPIs based on different sources of data.
- Are they appropriate and relevant?
- Use of different types of indicators.
- There are HF related SPIs.
- SPIs being used to identify safety issues and management actions.
- Evidence that they are being periodically reviewed.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

2.1.3 - Risk mitigations and controls are being verified/audited to confirm they are working and effective.

What to look for:
- Evidence of risk controls being assessed for effectiveness (e.g., audits, surveys, reviews).
- Review the Interfaces between Compliance Monitoring and Safety personnel.
- Review where risk controls have failed and subsequently changed.
- Audits activities feed back into the SMS.

P	S	O	E	How it is achieved	CAA Remarks

2.1.4 - Safety assurance considers activities carried out in all directly contracted organisations.

What to look for:
- Evidence of safety assurance and compliance monitoring being applied to contracted organisations / third parties.
- Evidence of risk controls applied by contracted organisations / third parties being assessed.
- Human factors are considered as part of subcontractor selection and oversight.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

2.1 Summary - EFFECTIVENESS is achieved when the organisation has developed a series of safety performance indicators that are appropriate to the type of operation. There is a means to measure and monitor trends and take appropriate action when necessary.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

2.2 THE MANAGEMENT OF CHANGE OR*GEN.200 (a) (3) ADR.OR.D.005 (b)(5), ATM/ANS.OR.B.005(a)(3), CAMO.A.200(a)(3), 21.A.139(c)(4)(ii), 21.A.239(c)(4)(ii), 145.A.200(a)(3)

The organisation shall develop and maintain a formal process to identify changes within the organisation and its operation, which may affect established processes and services, to describe the arrangements to ensure safety performance before implementing changes, and to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

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.

What to look for:
- Review recent changes to see a formal process was used.
- Review what triggers the process?
- Safety accountabilities, authorities and responsibilities are reviewed as part of the change.
- Transitional risk considered. Key stakeholders are involved in the change management process.
- Evidence of existing risks being reviewed related to the change.

P	S	O	E	How it is achieved	CAA Remarks

2.2.2HF - Human Factors issues have been considered as part of the change management process. Where appropriate, the organisation has applied design standards which consider the needs of the human operator as a priority for equipment and the physical environment (human centred design).

What to look for:
- HF related hazards identified.
- Human performance limitations considered for any risk mitigation action.
- Considers multiple changes and the impact on staff.
- Considers changes to equipment and the working environment.
- Review impact of change on training and competencies.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

2.2 Summary - EFFECTIVENESS is achieved when the organisation uses the safety risk management system to proactively assess all major changes to the organisation and its operations.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

2.3   CONTINUOUS IMPROVEMENT OF THE SMS OR*.GEN.200 (a) (3), ADR.OR.D.005 (b)(7), ATS.OR.200(3)(iii), AMC1 ATCO.OR.C.001(e), CAMO.A.200(a)(3), UK Reg (EU) No 376/2014 Article 7.3 & 7.4, 21.A.139(c)(4)(iii), 21.A.239(c)(4)(iii), 145.A.200(a)(3)

The organisation shall develop and maintain a formal process to identify the causes of substandard performance of the SMS, determine the implications of substandard performance of the SMS, determine substandard performance in operations, and eliminate or mitigate such causes.

2.3.1. - The organisation is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.

What to look for:

- Evidence of continuous improvement from:
- Lessons learnt being incorporated into SMS and operational processes.
- Best practice 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.
- Evidence of follow up actions.
- Data quality checking is established where appropriate to improve the consistency of data collected.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

2.3 Summary - EFFECTIVENESS is achieved when the organisation routinely monitors the SMS performance to identify potential areas of improvement and the outcomes of this process lead to improvements to the safety management system.

Version 7. November 2023

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

3. SAFETY POLICY AND OBJECTIVES

3.1   MANAGEMENT COMMITMENT OR*.GEN.200 (a) (2), ADR.OR.D. 005 (b)(2), ATS.OR.200 (1), ATCO.OR.C.001 (b), CAMO.A.200(a)(2), UK Reg (EU) No 376/2014 Article 16.11, 21.A.139(c)(1), 21.A.143(a)(13)(iv), 21.A.239(c)(1), 21.A.243(a)(iv), 145.A.200(a)(2)

The organisation should define its safety policy which should be in accordance with international and national requirements, and which shall be signed by the Accountable Manager of the organisation. The safety policy should reflect organisational commitments regarding safety, including a clear statement about the provision of the necessary human and financial resources for its implementation and be communicated, with visible endorsement, throughout the organisation. The safety policy should include the safety reporting procedures and clearly indicate which types of behaviours are unacceptable and shall include the conditions under which disciplinary action would not apply. The safety policy should be periodically reviewed to ensure it remains relevant and appropriate to the organisation.

3.1.1 - There is a safety policy that includes a commitment to continuous improvement, observe all applicable legal requirements, standards and considers best practice signed by the Accountable Manager.

What to look for:
- Talk to accountable manager to assess their knowledge and understanding of the safety policy.
- Interview staff to determine how readable and understandable it is.

P	S	O	E	How it is achieved	CAA Remarks

3.1.2 - The safety policy includes a statement to provide appropriate resources and to monitor the workload for staff in key safety roles.

What to look for:
- Review available resources including personnel, equipment and financial.
- There are sufficient and competent personnel.
- Review planned manpower vs actual manpower.
- Resourcing levels are being monitored and managed.

Version 7. November 2023

P	S	O	E	How it is achieved	CAA Remarks

3.1.3 - There is a means in place for the communication of the safety policy.

What to look for:
- Review how safety policy is communicated.
- Safety policy is clearly visible.
- Question managers and staff regarding knowledge of the safety policy.

P	S	O	E	How it is achieved	CAA Remarks

3.1.4 - The Accountable Manager and the senior management team promote a positive safety culture and demonstrate their commitment to the Safety Policy through active and visible participation in the safety management system.

What to look for:
- 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 culture surveys.
- Relationship with regulator and other stakeholders.

P	S	O	E	How it is achieved	CAA Remarks

3.1.5C - The safety policy actively encourages safety reporting.

What to look for:
- Does review safety policy explicitly encourage safety reporting?
- Do people know what to report?
- Staff are reporting their own errors and events they participate in (events where no-one was watching).

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

3.1.6C - 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:
- Review policy
- Where can it be found?
- How has it been promoted? Evidence where 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.
- Feedback on just culture from staff safety culture surveys.
- Talk to staff to check they are aware and trust the just culture policy and principles.

P	S	O	E	How it is achieved	CAA Remarks

3.1.7HF - There are policies in place for safety critical roles relating to all aspects of Fitness for Duty (for example Alcohol and Drugs Policy).

What to look for:
- Review policies.
- Staff overtime, sickness levels and turnover are monitored to identify potential work issues.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

3.1 Summary - EFFECTIVENESS is achieved when the organisation has defined its safety policy that clearly states its intentions, safety objectives and philosophies and there is visible evidence of safety leadership and management 'walking the talk' and demonstrating by example.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

3.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES OR*.GEN.200 (a) (1), OR*.GEN.210 (a) and (b), ADR.OR.D.015 (a), ATS.OR.200 (1)(ii)(iii), ATCO.OR.C.001, CAMO.A.200(a)(1) and (b), CAMO.A.200(a)(5), 21.A.139(c)(2), 21.A.145(c)(1), 21.A.239(c)(2), 21.A.245(a), 145.A.30(a), (b) and (c), 145.A.200(a)(1) and (b), 145.A.200(a)(5)

The organisation shall identify the accountable manager who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS. The organisation shall also identify the safety accountabilities of all members of senior management, irrespective of other functions, as well as employees, with respect to the safety performance of the SMS. Safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organisation and shall include a definition of the levels of management with authority to make decisions regarding safety risk tolerability.

3.2.1 - An Accountable Manager has been appointed with full responsibility and ultimate accountability for the SMS to ensure it is properly implemented and performing effectively.

What to look for:
- Evidence that Accountable Manager has ability to access funding for relevant safety improvements and control of the financial and human resources.
- Evidence of decision making on unacceptable risks.
- Review SMS activities are being carried out in a timely manner and SMS is sufficiently resourced.

P	S	O	E	How it is achieved	CAA Remarks

3.2.2 - The Accountable Manager is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organisation.

What to look for:
- The Accountable Manager understands the impact of the organisation, its management actions, and the organisational culture on human performance.
- The Accountable Manager knows the organisation's biggest HF related risks.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

3.2.3 - Safety accountabilities, authorities and responsibilities are defined and documented throughout the organisation and staff understand their own.

What to look for:
- There are documented management organisational diagrams and, job descriptions for all personnel.
- Managers and supervisors understand the impact of their decisions and the local organisational culture on human performance.
- Active participation of senior managers in the SMS.
- Evidence of appropriate risk mitigation, action, and ownership.
- Check managers and staff are familiar with their roles and responsibilities.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

3.2 Summary - EFFECTIVENESS is achieved when there are clear lines of safety accountabilities throughout the organisation including an accountable person who has ultimate accountability for the SMS and the Accountable Manager and management team fully understand the risks faced by the organisation.

		CAA Remarks
Initiating		
Present and Suitable		
Operating		
Effectiveness Achieved		

3.3 APPOINTMENT OF KEY PERSONNEL OR*.GEN.210(b), OR*.GEN.200 (a)(1), ADR.OR.D.015 (c), ATS.OR.200 (1) (iii), ATCO.OR.C.010, CAMO.A.305(a)(5) and (6), CAMO.A.200(a)(4), UK Reg (EU) No 376/2014 Article 6.1, 21.A.139(c)(2), 21.A.145(c)(2), 21.A.239(c)(2), 21.A.245(b)(3), 145.A.30(b)(3),(c) and (d), 145.A.200(a)(4),

The organisation shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS. In addition, the safety committees that support the Accountable Manager and the Safety Manager in delivering an effective SMS should be defined and documented.

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 with the Accountable Manager.

What to look for:
- Review safety manager role;
- Appropriate training received.
- Evidence of maintained competency.

Version 7. November 2023

- The Safety Manager has an appropriate level of knowledge and understanding of Human Factors.
- Review how the safety manager communicates and engages with operational staff and senior management.

P	S	O	E	How it is achieved	CAA Remarks

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:
- Review safety manager workload / allocated time to fulfil role.
- Review staffing and competence levels for those involved in SMS activities.
- Evidence that organisation is not under resourced.
- Review of report action and closure timescales.

P	S	O	E	How it is achieved	CAA Remarks

3.3.3 - The organisation has established appropriate safety committees(s) that discuss and address safety risks and compliance issues and issues and includes the Accountable Manager and the heads of functional areas.

What to look for:
- Review safety meeting structure.
- Review Terms of Reference for each group / committee.
- Review meeting attendance levels.
- Review meeting minutes and actions.
- Safety committees consider Human Factors related issues including fatigue risk management.
- People have come to the meeting prepared, participate and willing to challenge.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

3.3 Summary - EFFECTIVENESS is achieved when the SMS is facilitated by the responsible individual and there is a safety structure of key personnel from the various operational

Version 7. November 2023

areas of the organisation. Business area heads are actively engaged in the safety management system.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

3.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING OR*.GEN.200(a)(3), ADR.OR.D.005 (b) (10), ATS.OR.200 (1)(iv), AMC1 CAMO.A.200(a)(3)(g)(2), AMC1 145.A.200(a)(3)(g)(2)

The organisation shall ensure that an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations and the return to normal operations, is properly coordinated with the emergency response plans of those organisations it must interface with during the provision of its service.

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.

What to look for:
- Review emergency response plan.
- Does it reflect foreseeable accident scenarios.
- Review co-ordination with other organisations.
- Review how ERP and changes are communicated.
- Check ease of access to ERP.

P	S	O	E	How it is achieved	CAA Remarks

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:
- Review when plan was last reviewed and tested, and any actions taken as a result.
- Review how ERP was tested.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

3.4 Summary - EFFECTIVENESS is achieved when the organisation has an emergency response plan that is appropriate to the organisation and is regularly tested and updated including coordination with other organisations as appropriate.

		CAA Remarks
Initiating		
Present and Suitable		
Operating		
Effectiveness Achieved		

3.5   SMS DOCUMENTATION OR*GEN.200(a) (5), OR*GEN.220, ADR.OR.D.005(c), ADR.OR.D.035, ATM/ATS.OR.B.005(b), AMC1 ATCO.OR.C.001(e), CAMO.A.200(a)(5), CAMO.A.220(b), UK Reg (EU) No 376/2014 Articles 6.1, 6.5, 7.1, 15.1, 15.2, 16.2, 16.11, 21.A.139(c), 21.A.139(d)(2)(i), 21.A.239(c), 145.A.200(a)(5)

The organisation shall develop and maintain SMS documentation describing the safety policy and objectives, the SMS requirements, the SMS processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs.   The organisation shall incorporate the SMS documentation into its existing organisation documentation or shall develop and maintain a safety management system manual (SMSM) to communicate its approach to the management of safety throughout the organisation.

3.5.1 - The SMS documentation includes the policies, processes and procedures that describe the organisation's safety management system and is readily available to all relevant personnel.

What to look for:
- Review how safety policies, processes and procedures are documented and amended.
- SMS manual includes a System description including SMS interfaces.
- All policies, processes and procedures are written and designed with consideration of human factors principles.
- Check for easy access to the documentation.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

3.5.2 - SMS documentation, including SMS related records, are regularly reviewed, and updated with appropriate version control in place.

What to look for:
- Check how safety records are stored and version controlled.
- Storage periods defined.
- Data protection and confidentiality rules have been defined and consistently applied, including controls on how the information derived from reports can be used.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

3.5 Summary - EFFECTIVENESS is achieved when the organisation has SMS documentation that describes their approach to the management of safety that is used throughout the organisation and is regularly reviewed and updated. The documentation meets the safety objectives of the organisation.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

Version 7. November 2023

4. **SAFETY PROMOTION**

4.1 TRAINING AND EDUCATION OR*GEN.200 (a) (4), ADR.OR.D.005 (b) (8), ATM/ANS.OR.B.005(a)(6), ATS.OR.200(4)(i), ATCO.OR.C.001(d), CAMO.A.200(a)(4), 21.A.139(c)(5)(i), 21.A.239(c)(5)(i), 145.A.30(e), 145.A.35(a) and (d), 145.A.200(a)(4)

All personnel are trained and competent to perform their SMS related duties and the training programme is monitored for its effectiveness and updated.

4.1.1 - 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 SMS operates.

What to look for:
- Review the SMS initial and recurrent training programme including course content and delivery method.
- Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations etc.
- Ask staff when they last received SMS training and what they remember from it.

P	S	O	E	How it is achieved	CAA Remarks

4.1.2 - There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.

What to look for:
- Review any training evaluation.
- Ask staff about their own understanding of their role in the organisation's SMS and their safety duties.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

4.1.3 - There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary.

What to look for:
- Review how competence assessment is carried out on initial recruitment and recurrently.
- Skill levels including experience and language proficiency criteria are set for job roles and assessed.

P	S	O	E	How it is achieved	CAA Remarks

4.1.4HF - The competence of trainers is defined and assessed, and appropriate remedial action taken when necessary.

What to look for:
- Review trainer competencies and how the competence of the instructors is being assessed.

P	S	O	E	How it is achieved	CAA Remarks

4.1.5HF - Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error.

What to look for:
- Evidence of training for all staff including managers.
- Review course contents, duration, and delivery.
- Training includes Fatigue Risk Management.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

4.1 Summary - EFFECTIVENESS is achieved when all personnel are trained and competent to perform their SMS related duties and the training programme is monitored for its effectiveness and updated.

Version 7. November 2023

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

4.2   SAFETY COMMUNICATION OR*.GEN.200 (a) (4) OR*GEN.200 (a) 4,ADR .OR.D.005 (b) (9), ATM/ANS.OR.B.005 (a) (7), ATS.OR.200 4(ii), CAMO.A.200(a)(4), UK Reg (EU) No 376/2014 Article 13.3, 21.A.139(c)(5)(ii), 21.A.239(c)(5) (ii), 145.A.200(a)(4)

The organization shall develop and maintain formal means for safety communication that ensures that all personnel are fully aware of the SMS, conveys safety critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

4.2.1 - There is a process to determine what and how safety critical information needs to be communicated throughout the organisation to all personnel as relevant. This includes contracted organisations and personnel where appropriate.

What to look for:
- Review the sources of information used (internal and external).
- Review the methods to communicate.
- The effectiveness of safety communication is being reviewed.
- Safety communication is easy to read and understand. It contains appropriate details concerning the analysis and follow up actions of occurrences for which preventive and corrective actions are taken.
- Ask staff about any recent communications.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

4.2 Summary - EFFECTIVENESS is achieved when personnel are aware of the SMS, safety critical information and their role in respect of aviation safety.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

Version 7. November 2023

5. Additional Management Systems Items

5.1 INTERFACE MANAGEMENT OR*.GEN.205, ADR.OR.D.010, ATM/ANS.OR.B.005 (f), CAMO.A.205(a)(2), 21.A.139(b)(1), 21.A.139(d)(2)(ii), 21.A.239(b)(1), 21.A.239(d)(3), 145.A.205(a)(2)

Annex 19 Appendix 2 Note 2- The Service provider's interfaces with other organisations can have a significant contribution to the safety of its products and services.

5.1.1 - The organisation has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.

What to look for:
- Review how interfaces have been documented.
- Evidence that:
  - Safety critical issues and associated hazards are identified.
  - Safety occurrences are being reported and addressed.
  - Risk controls actions are applied and regularly reviewed.
  - Interfaces are reviewed periodically.
- The organisation's SMS covers hazard identification for the external services and activities and internal interfaces.
- External organisations participate in SMS activities and share safety information.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

5.1 Summary - EFFECTIVENESS is achieved when the organisation has identified and is effectively managing the various internal and external SMS interfaces.

Initiating		CAA Remarks
Present and Suitable		
Operating		
Effectiveness Achieved		

5.2 RESPONSIBILITIES FOR COMPLIANCE AND COMPLIANCE MONITORING FUNCTION OR*.GEN.205 and OR*.GEN.200 (a) (6), ADR.OR.D.005 (b) (11), ATM/ANS.OR.B.020 and ATM/ANS OR.B.007 (c), ATCO.OR.C.010 (b) and ATCO.OR.C.001 (f), CAMO.A.150, CAMO.A.200(a)(6), CAMO.A.305(a)(4), 21.A.139(e), 21.A.239(e), 145.A.30(b)(2), 145.A.95, 145.A.200(a)(6),

The establishment of a function to monitor compliance of the organisation with the relevant requirements and the adequacy of procedures. Compliance monitoring shall include a feedback system of findings to the accountable manager to ensure effective implementation of corrective actions as necessary.

5.2.1 - Responsibilities and accountability for ensuring compliance are defined for all staff and applicable requirements are clearly identified in organisation manuals and procedures.

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

P	S	O	E	How it is achieved	CAA Remarks

5.2.2 - Responsibilities and accountabilities for compliance monitoring are defined and there is a person or group of persons with responsibilities for compliance monitoring including the person acting as compliance monitoring manager with direct access to the Accountable Manager.

What to look for:
- Review how the compliance monitoring manager interacts with:
  - senior management.
  - line managers.
  - the safety management staff.
- Evidence that senior management act on compliance monitoring results.
- Check that the number of staff involved in compliance monitoring is appropriate.
- Check for evidence of direct reporting lines to the Accountable Manager.
- Review how independence of the audit function is achieved.

P	S	O	E	How it is achieved	CAA Remarks

Version 7. November 2023

5.2.3 - There is a compliance monitoring programme including details of the schedule of monitoring activities and procedures for audits and inspections, reporting, follow up and records.

What to look for:
- Review the programme and whether it is being achieved.
- Review how risk and performance is used to determine the depth and frequency of monitoring activities.
- Review how independence is achieved.
- Assess what triggers a change in the programme.
- Review whether there are any potential conflicts of interest.

P	S	O	E	How it is achieved	CAA Remarks

5.2.4 - Compliance Monitoring ensures that there is appropriate analysis of causal factors, and that corrective actions and preventive actions are taken.

What to look for:
- Review how causal analysis is carried out.
- Review any repeat findings or where actions have not been implemented or overdue.
- Check for timely implementation of actions.
- Awareness of senior management of the status of significant findings and related CA/PAs.
- Appropriate personnel participate in the determination of causes and contributing factors.
- Look for consistency between internal audit results and external audit results.
- Evidence that the outputs from compliance monitoring are fed into the SMS.

P	S	O	E	How it is achieved	CAA Remarks

For CAA use only (please check whether outlook is initiating, present and suitable, operating or effectiveness has been achieved)

5.2 Summary - EFFECTIVENESS is achieved when there is an effective compliance monitoring programme ensuring ongoing compliance with regulations and supporting continuous improvement of the management system.

		CAA Remarks
Initiating		
Present and Suitable		
Operating		
Effectiveness Achieved		

Version 7. November 2023

SMS Evaluation Risk Picture
Risk and Mitigation (Top 5 Safety Risks or Issues):

Risk Description	Mitigation Actions

SMS Evaluation Summary (for CAA use only)

1. Safety Risk Management

Initiating: The safety risk management processes are not fully developed.

Present and suitable: A safety reporting system is in place and there is a process for how risks are assessed and managed.

Operating: The hazard and risk registers are being built up and risks are starting to be managed in proactive manner.

Effective: The organisation is continuously identifying hazards and understands it biggest risks and is actively managing them and this can be seen in their safety performance. Safety Risk management is proactive.

2. Safety Assurance

Initiating: Safety assurance activities including SPIs are not fully developed.

Version 7. November 2023

Present and suitable: Initial SPIs linked to the safety objectives have been identified and there is a management of change process in place.

Operating: The Organisation has established SPIs that it is monitoring and is auditing and assessing its SMS and its outputs.

Effective: The organisation assures itself that is has an effective SMS and is managing its risk through audit, assessment and monitoring of its safety performance.

3. Safety Policy and Objectives

Initiating: Policies, processes, and procedures are not fully developed.

Present and suitable: There are policies, processes, and procedures in place that detail how the SMS will operate.

Operating: 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.

Effective: Senior Management are clearly involved in the SMS and the Safety Policy sets out the organisations intent to manage safety and is clear in the day-to-day operations.

4. Safety Promotion

Initiating: Safety promotion activities are not fully developed.

Present and suitable: There is a training programme and the means to communicate safety information is in place.

Operating: The organisation has trained its people and has several mediums for safety promotion that it uses for passing on safety information.

Effective: 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.

5. Human Factors Management

Initiating: Human Factors is considered but not formally captured by the organisation.

Present and suitable: Human Factors policies and processes have been defined and documented where required by regulation.

Operating: Human Factors is being managed across the organisation and is starting to be integrated into the organisation's SMS.

Effective: 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.

Version 7. November 2023

6. The SMS as a whole

Initiating: The SMS is at the implementation stage.

Present and suitable: All the main elements of the SMS are in place.

Operating: The systems and processes of the SMS are operating.

Effective: The SMS is working in an effective way and is striving for continuous improvement.