RASG-MID SAFETY ADVISORY – 19 (RSA-19)

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MID-Region

Guidance Material for SMS Assessment

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These guidelines are developed by the Safety Enhancement Implementation Group (SEIG), as part of MID Region Aviation Safety Plan (MID-RASP) 2020-2022 Edition Safety Enhancement Initiatives (Ref: G5-SEI-01: A6) based on the work of the UAE General Civil Aviation Authority in coordination with ICAO MID Regional Office and the Regional Aviation Safety Group - Middle East (RASG-MID).

Disclaimer

This document is intended to provide guidance for civil aviation authorities in order to support States' on developing and conducting an SMS oversight on their Service providers.
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REFERENCE :		
TITLE :	**GUIDANCE - SMS ASSESSMENT**	

INFORMATION					
Assessment Title :		Compliance ☐	Effectiveness ☐	**Assessment Date :**	
Organization :				**Certificate No.**	
Post Holder Name :		**Title:**			Present ☐ Absent ☐
Delegated / Representative:		**Title:**			
Assessment Team:	Lead:		SME:		Member 1:
	Member 2:		Member 3:		Member 4:
Assessment Criteria					
Applicable Regulations (LOCAL):		**Additional Applicable References**			
Applicable Manual/s:					

ASSESSMENT SUMMARY

1. SAFETY POLICY AND OBJECTIVES 1.1

MANAGEMENT COMMITMENT

ICAO References	Local Requirements - *(Local Regulation Reference)*.				
1. Annex 19 Appendix 2 Page APP 2-2 2. DOC 9859 4th edition Ch. 9 / 9.3	**(Adopted from UAE GCAA References).** The service provider shall define its safety policy in accordance with *(Local Regulation Reference)*. The safety policy shall: 1) include a clear statement about the provision of the necessary resources for the implementation of the safety policy; 2) be signed by the accountable executive of the organization; 3) be periodically reviewed to ensure it remains relevant and appropriate to the service provider.				

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
1.1.1	There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observe all applicable legal requirements and standards; and considers best practices.				
1.1.2	The safety policy includes a statement to provide appropriate resources and the organization is managing resources by anticipating and addressing any shortfalls.				
1.1.3	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).				

	Present	Suitable	Operating	Effective
Guidance	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 safety policy includes a statement to provide appropriate resources	The safety policy is easy to read. The content is customized to the organization. There is a process for assessing resources and addressing any shortfalls.	The safety policy is reviewed periodically to ensure it remains relevant to the organization. The organization is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.	The Accountable Executive is familiar with the contents of the safety policy and endorses it. The organization is reviewing and taking action to address any forecasted shortfalls in resources.

ICAO References	Local Requirements - *(Local Regulation Reference)*.				
1. Annex 19 Appendix 2 Page APP 2-2 2. DOC 9859 4th edition Ch. 9 / 9.3	**(Adopted from UAE GCAA References).** The safety policy shall : 4) reflect organizational commitment regarding safety; 5) be communicated, with visible endorsement, throughout the organization;				

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.		**P**	**S**	**O**	**E**	**Remarks**
1.1.4	There is a means in place for the communication of the safety policy.					
1.1.5	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.					

Guidance	**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 organizations). 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.	Staff across the organization are familiar with the policy and can describe their obligations in respect of the safety policy. Decision making, actions, and behaviors reflect a positive safety/just culture and there is good safety leadership that demonstrates commitment to the safety policy.

ICAO References	Local Requirements - *(Local Regulation Reference)*.					
1. Annex 19 Appendix 2 Page APP 2-2 2. DOC 9859 4th edition Ch. 9 / 9.3	**(Adopted from UAE GCAA References).** The safety policy shall: 6) establish a non-punitive approach which supports safety reporting and encourages an open reporting culture for the purpose of safety improvement, not to apportion blame; 7) Clearly indicate which types of behaviors are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply.					

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.		P	S	O	E	Remarks
1.1.6	The safety policy actively encourages safety reporting.					
1.1.7	A just culture policy and principles have been defined that clearly identifies acceptable and unacceptable behaviors to promote a just culture.					

	Present	Suitable	Operating	Effective
Guidance	A Just Culture Policy and principles have been defined.	The just culture policy clearly identifies acceptable and unacceptable behaviors. The principles ensure that the policy can be applied consistently across the whole organization. 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 behavior has been determined based in best practice.

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-2 2. DOC 9859 4th edition Ch. 9 / 9.3	**(Adopted from UAE GCAA References).** 8) Safety objectives identify what the organization intends to achieve in terms of safety management and they are expressed as a top-level statement describing the organization's commitment to achieving safety. 9) The safety objectives are linked with the Safety Performance Indicators, targets and mitigation plans.

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
1.1.8	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organization.					
1.1.9	The State Safety Program (SSP) is being considered and addressed as appropriate.					

Guidance	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 organization.	Safety objectives are relevant to the organization 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 organization.	Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met.

1.2   SAFETY ACCOUNTABILITY AND RESPONSIBILITIES

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-2 2. DOC 9859 4th edition Ch. 9 / 9.3.5	**(Adopted from UAE GCAA References).** The organization shall : 1) identify the Accountable Manager who has full control of the resources, final authority over operations under the certificate approval of the organization. 2) S/He shall have ultimate responsibility and accountability for the establishment, implementation and maintenance of the SMS; safety policies and the resolution of all safety issues.

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.		**P**	**S**	**O**	**E**	**Remarks**
1.2.1	An Accountable Executive has been appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively.					
1.2.2	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 organization.					

	Present	**Suitable**	**Operating**	**Effective**
Guidance	An accountable Manager has been appointed with full responsibility and ultimate accountability for the SMS.	The Accountable Executive has control of resources.	The accountable manager 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 organization.	The accountable manager ensures that the performance of the SMS is being monitored, reviewed and improved.

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-2 2. DOC 9859 4th edition Ch. 9 / 9.3.5	**(Adopted from UAE GCAA References).** The organization shall: b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management; c) identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS; d) document and communicate safety responsibilities, accountabilities and , and authorities throughout the organization; and e) define the levels of management with authority to make decisions regarding safety risk tolerability.

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
1.2.3 Safety accountabilities, authorities, and responsibilities are defined and documented throughout the organization and staff understand their own responsibilities.					

Guidance	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 organizational charts).	Everyone in the organization is aware of and fulfil their safety responsibilities, authorities and accountabilities and encouraged to contribute to the SMS.	The Accountable Manager and the senior management team are aware of the risks faced by the organization and SMS principles exist throughout the organization so that safety is part of the everyday language.

1.3 APPOINTMENT OF KEY PERSONNEL

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 / 9.3.6	**(Adopted from UAE GCAA References).** The organization shall appoint a properly educated, trained and experienced person who fulfils the role of Post Holder SMS for the development and maintenance of an effective Safety Management System.

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
1.3.1	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.					
1.3.2	The organization has allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion.					

	Present	**Suitable**	**Operating**	**Effective**
Guidance	A 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.	The Safety Managers 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 Manager and escalates safety issues when appropriate. The Safety Manager is accessible to staff in the organization.	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 Manager and the Safety Manager is considered a trusted advisor and given appropriate status in the organization.

ICAO References	Local Requirements - *(Local Regulation Reference)*.				
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 / 9.3.6	**(Adopted from UAE GCAA References)** - Depending on size, complexity and nature the organization may need to establish a Safety Review Board (SRB) which is a high level committee that considers matters of strategic safety importance in support of the Accountable Manager's safety accountability. - Organizations may establish a Safety Action Group to achieve the established performance, which reports to and takes strategic direction from the SRB.				

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
1.3.3	The organization 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.				

Guidance	Present	Suitable	Operating	Effective
	The organization has established safety committee(s).	Safety committee(s)' structure and frequency supports the SMS functions across the organization. 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.

1.4   CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 / 9.3.7	**(Adopted from UAE GCAA References)** The organization shall ensure that the Emergency Response Plan (ERP) is properly coordinated with the Emergency Response Plans of those organizations it must interface with during the provision of its services.

Compliance and Performance Indicators (Adopted from CASA)		P	S	O	E	Remarks
Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.						
1.4.1	An appropriate emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities, and actions of the various organizations and key personnel.					
1.4.2	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.					

Guidance	Present	Suitable	Operating	Effective
	An coordinated emergency response plan (ERP) has been developed and distributed.	The ERP defines the procedures, roles, responsibilities, and actions of the various organizations and key personnel. The frequency and methods for testing the ERP are defined. The coordination with other organizations (including no aviation organizations) is defined with appropriate means.	The ERP is reviewed and tested to make sure it remains up to date. Key personnel have easy access to the relevant parts of the ERP at all times. There is evidence of coordination with other organizations as appropriate.	The results of the ERP review and testing are assessed and actioned to improve its effectiveness.

1.5 SMS DOCUMENTATION

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 / 9.3.8	**(Adopted from UAE GCAA References)** (a) The organization shall develop an SMS Manual endorsed by the Accountable Manager and acceptable to the Authority. (b) The organization shall establish a system of record keeping that allows adequate storage and reliable traceability of all records related to SMS processes.

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks		
1.5.1	The SMS documentation includes the policies and processes that describe the organization's safety management system and processes and is readily available to all relevant personnel.						
1.5.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.						

	Present	**Suitable**	**Operating**	**Effective**
Guidance	The SMS documentation includes the policies and processes that describe the organization'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.	The ERP defines the procedures, roles, responsibilities, and actions of the various organizations and key personnel. The frequency and methods for testing the ERP are defined. The coordination with other organizations (including no aviation organizations) is defined with appropriate means.	The ERP is reviewed and tested to make sure it remains up to date. Key personnel have easy access to the relevant parts of the ERP at all times. There is evidence of coordination with other organizations as appropriate.	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.

2. SAFETY RISK MANAGEMENT

2.1 HAZARD IDENTIFICATION

ICAO References	Local Requirements - *(Local Regulation Reference)*.				
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 / 9.4.4 & 9.4.5	**(Adopted from UAE GCAA References) – Hazard Identification & Service provider safety investigation** In order to ensure continuity of data flow through internal safety reporting systems, the organization shall ensure that it effectively implements the non-punitive approach. Organizations should establish internal confidential reporting channels to maximize data capturing.				

Compliance and Performance Indicators (Adopted from CASA) **Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.**	**P**	**S**	**O**	**E**	**Remarks**
2.1.1	There is a confidential safety reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.				
2.1.2	The safety reporting system provides feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organization.				
2.1.3	Safety investigations are carried out to identify underlying causes and potential hazards for existing and future operations.				
2.1.4	Safety reports are acted on in a timely manner.				

2.1.5	Personnel responsible for investigating reports are trained in investigation techniques.				
2.1.6	Investigations establish causal/contributing factors (why it happened, not just what happened)				
2.1.7	Personnel express confidence and trust in the organization's reporting policy.				

Guidance	**Present**	**Suitable**	**Operating**	**Effective**
	There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. The process identifies how reports are actioned, and timescales are specified and addressed.	The reporting system is accessible and easy to use by all personnel. Responsibilities, timelines, and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.	The reporting system is being used by all staff. There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organization. Reports are evaluated, processed, analyzed, and stored. Reports are processed within the defined timescales.	There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner. Staff express confidence and trust in the organizations' 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).

ICAO References	Local Requirements - *(Local Regulation Reference)*.					
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 / 9.4.4 & 9.4.5	**(Adopted from UAE GCAA References)** The organization shall develop, implement and maintain a process that ensures that hazards associated with its aviation products or services are identified. In addition to the proactive and reactive methods of safety data collection the organization should employ where practical predictive methodologies which could arrest risks from potential hazards.					

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.		P	S	O	E	Remarks
2.1.8	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).					
2.1.9	The hazard identification process identifies human performance related hazards.					
2.1.10	There is a process in place to analyze safety data and safety information to look for trends and gain useable management information.					

	Present	Suitable	Operating	Effective
Guidance	There is a process that defines how hazards are identified though reactive and proactive methods. The triggers for safety investigations are defined.	Multiple sources of hazards (internal and external) are considered and reviewed, as appropriate. Hazards are documented in an easy-to understand format. The level of sign-off for safety investigations is defined and commensurate with the level of risk. The data analysis process enables gaining useable safety information.	The hazards are identified and documented. Human and organizational factors related to hazards are being identified. Safety investigations are carried out and recorded.	The organization is continuously and proactively identifying hazards related to its activities and the operational environment and involves all key personnel and appropriate stakeholders including external organizations. Hazards are continuously assessed in a systematic and timely manner. A register of the hazards that is maintained and reviewed to ensure it remains up-to-date. Safety investigations identify causal/contributing factors that are acted upon.

2.2 SAFETY RISK ASSESSMENT AND MITIGATION

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 /9.4.6	**(Adopted from UAE GCAA References)** The organization shall develop, implement and maintain a process that ensures analysis, assessment and acceptable control of the safety risks associated with identified hazards.

Compliance and Performance Indicators (Adopted from CASA) Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
2.2.1 There is a structured process for the management of risk that includes the assessment of risk associated with identified hazards expressed in terms of likelihood and severity.					
2.2.2 There are criteria for evaluating the level of risk the organization is willing to accept and risk assessments and ratings are appropriately justified.					

	Present	Suitable	Operating	Effective
Guidance	There is a process for the analysis and assessment of safety risks. The level of risk the organization is willing to accept is defined.	Organization has tailored and defined it´s severity and likelihood criteria to fit it´s actual circumstances. Risk assessment and mitigation responsibilities, rights and time-lines are clearly defined in the risk assessment and mitigation process and practical based on the size and complexity of the organization.	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.

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-3 **2**. DOC 9859 4th edition Ch. 9 /9.4.6	**(Adopted from UAE GCAA References)** The organization shall develop, implement and maintain a process that ensures analysis, assessment and acceptable control of the safety risks associated with identified hazards.

Compliance and Performance Indicators Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.		**P**	**S**	**O**	**E**	**Remarks**
2.2.3	The organization has a process in place to make decisions and apply appropriate and effective risk controls.					
2.2.4	Senior management have visibility of medium and high risk hazards and their mitigation and controls.					

	Present	**Suitable**	**Operating**	**Effective**
Guidance	The organization has a process in place to decide and apply risk controls.	Responsibilities and timelines for determining and accepting the risk controls are defined.	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.	Risk controls are practical and sustainable, applied in a timely manner, and do not create additional risks. Risk controls take Human Factors into consideration.

3. SAFETY ASSURANCE

3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.5	**(Adopted from UAE GCAA References)** The organization shall establish safety performance monitoring and measurement processes by the establishment of Safety Performance Indicators (SPI) and Safety Performance Targets (SPT) to verify its safety performance and validate the effectiveness of the safety risk controls.

Compliance and Performance Indicators Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.		**P**	**S**	**O**	**E**	**Remarks**
3.1.1	Safety performance indicators (SPIs) linked to the organization's safety objectives have been defined, promulgated, and are being monitored and analyzed for trends.					
3.1.2	The organization uses a combination of leading and lagging indicators to measure the safety performance of the organization					

Guidance	Present	Suitable	Operating	Effective
	There is a process in place to measure the safety performance of the organization including SPIs and targets linked to the organization's safety objectives and to measure the effectiveness of safety risk controls.	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.	The safety performance of the organization is being measured and meaningful SPIs are being continuously monitored and analyzed for trends.	SPIs are demonstrating the safety performance of the organization 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.

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.5	**(Adopted from UAE GCAA References)** - The organization shall develop, document and maintain safety assurance processes to ensure that the safety risks controls established as a consequence of the hazard identification and risk management activities achieve their intended objectives. - Safety assurance consists of processes and activities undertaken by the organization to determine whether the SMS is operating according to expectations and requirements.

Compliance and Performance Indicators Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
3.1.3	Risk mitigations and controls are being verified/audited to confirm they are working and effective.					
3.1.4	Safety audits and surveys are carried out that focus on the safety performance of the organization and its services and assess normal operations.					
3.1.5	Safety Assurance and Compliance Monitoring activities feed back into the hazard identification and risk management process.					
3.1.6	Safety assurance takes into account activities carried out by all directly contracted organizations.					

	Present	Suitable	Operating	Effective
Guidance	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 organizations 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.

3.2 MANAGEMENT OF CHANGE

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.5.5	**(Adopted from UAE GCAA References)** The organization shall develop, document and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks or hazards that may arise from those changes.

	Compliance and Performance Indicators Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
3.2.1	The organization 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.					
3.2.2	Human Factor (HF) issues have been considered as part of the change management process and, where appropriate, the organization has applied the appropriate HF/human-centered design standards to the equipment and physical environment design.					

	Present	**Suitable**	**Operating**	**Effective**
Guidance	The organization 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 organizations/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.

3.3   CONTINUOUS IMPROVEMENT OF THE SMS

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.5.6	**(Adopted from UAE GCAA References)** The organization shall monitor and assess the effectiveness of its SMS processes to enable continuous improvement of the SMS.

Compliance and Performance Indicators Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
3.3.1	The organization is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.					

Guidance	Present	Suitable	Operating	Effective
	There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.	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.	There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken.	The assessment of SMS effectiveness uses multiple sources of information including the safety data analysis that supports decisions for continuous improvements.

4. SAFETY PROMOTION

4.1 TRAINING AND EDUCATION

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.6.4	**(Adopted from UAE GCAA References)** (a) The organization shall develop and maintain a safety training program that ensures that personnel are trained and competent to perform their duties relevant to the organization's SMS. (b) The scope of the safety training program shall be appropriate to each individual's involvement in the SMS.

Compliance and Performance Indicators Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.	P	S	O	E	Remarks
4.1.1	There is a training program for SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the organization's SMS operates.					
4.1.2	There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.					
4.1.3	Training includes human and organizational factors including just culture and non-technical skills with the intent of reducing human error.					

	Present	Suitable	Operating	Effective
Guidance	There is an SMS training program in place that includes initial and recurrent training.	The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the organization's SMS operates. Training material and methodology are adapted to the audience and include human factors. All staff requiring training are identified.	The SMS training program is delivering appropriate training to the different staff in the organization and is being delivered by competent personnel.	SMS training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests, etc.) and is linked to the competency assessment. Training is routinely reviewed to take feedback from different sources into consideration.

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.6.4	**(Adopted from UAE GCAA References)** Requirements for maintaining personnel trained and competent to perform their safety and compliance tasks

Compliance and Performance Indicators		P	S	O	E	Remarks
Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.						
4.1.4	There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary.					
4.1.5	The competence of trainers is defined and assessed and appropriate remedial action taken when necessary.					

	Present	Suitable	Operating	Effective
Guidance	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 program and process is routinely reviewed and improved. The competence assessment takes appropriate remedial action when necessary and feeds into the training program.

4.2   SAFETY COMMUNICATION

ICAO References	Local Requirements - *(Local Regulation Reference)*.
1. Annex 19 Appendix 2 Page APP 2-4 **2**. DOC 9859 4th edition Ch. 9 /9.6.5	**(Adopted from UAE GCAA References)** The organization shall develop, document and maintain a formal means for safety communication that: (a) ensures personnel are aware of the SMS to a degree commensurate with their positions in a timely manner; (b) conveys safety-critical information; (c) explains why particular safety actions are taken; and (d) explains why safety procedures are introduced or changed.

Compliance and Performance Indicators		P	S	O	E	Remarks
Attribution: Material obtained is attributed to CASA as SMS Evaluation Tool and Guidance © Civil Aviation Safety Authority 2021.						
4.2.1	There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organization to all personnel, as relevant. This includes contracted organizations and personnel where appropriate.					

	Present	Suitable	Operating	Effective
Guidance	There is a process to communicate safety critical information.	The process determined *what*, *when*, and *how* safety information needs to be communicated. The process includes contracted organizations and personnel where appropriate. The means of communication are adapted to the audience and the significance of what is being communicated.	Safety critical information is being identified and communicated throughout the organization to all personnel, as relevant, including contracted organizations and personnel where appropriate.	The organization analyses and communicates safety critical information effectively through a variety of methods as appropriate to maximize it being understood. Safety communication is assessed to determine how it is being used and understood and to improve it where appropriate.