



PROGRAMME
PSOE-ANAC
SAFETY IS OUR MISSION

ANNEX I SMS ASSESSMENT TOOL



ANAC

NATIONAL CIVIL AVIATION
AGENCY - BRAZIL

1. Safety policy and objectives

1.1 Responsibility and commitment of Top Management					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.1.1 The service provider shall define its safety policy.	There is a safety policy which includes a commitment to continuous improvement, compliance with all applicable legal requirements and it is signed by the accountable executive.	Policy content is adequate to the service provider organizational context.	The person in charge of the service provider is familiar with the content of the safety policy. Safety policy is transmitted to all personnel (including hired employees and relevant organizations) and corresponds to the version presented in the SMS manual. The policy is periodically revised to ensure that it remains relevant to the organization.	Personnel including employees and managers from different levels understand the safety policy.	
What and how to assess? Check how the safety policy is transmitted. Check if the safety policy is clearly visible. Talk to the manager in charge of the service provider and other managers to assess their knowledge and understanding of the safety policy. Interview staff and operational personnel to determine if the policy is readable and comprehensible. Verification tools (questionnaires, informal conversations, etc.) can be used to assess people's level of understanding of the policy content. For policy revision assessment, consider: 1) if periodicity of revisions is compatible with what is informed in the SMS manual; 2) if any management change or operational change has resulted in the need for a policy revision; 3) if the subject was discussed in safety committees or forums.					
Observations: 					

1.1 Responsibility and commitment of Top Management					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.1.2 The safety policy shall include an explicit statement about the provision of necessary resources for its implementation.	The safety policy includes a statement to provide appropriate resources.	There is a relationship between resource allocation plans and safety priorities defined by the operator.	The organization evaluates if the resources provided keep operations safe and takes measures to deal with any shortcomings.	The organization manages resources according to the policy, in order to guarantee safety performance.	
<p>What and how to assess?</p> <p>Observe the available resources, including personnel, equipment, and financial resources.</p> <p>Even if you have to consider a subjective evaluation, check if there are enough and competent personnel.</p>					
<p>Observations:</p>					

1.1 Responsibility and commitment of Top Management

Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.1.3 The safety policy shall reflect the organizational commitment to safety, including the promotion of a safety culture.	Management's commitment to safety is documented in the safety policy.	The involvement of the accountable executive and the SMS manager is in accordance with the context of the organization and the level of responsibility attributed to each manager.	The accountable executive demonstrates commitment to the safety policy, visibly and actively participating in the safety management system.	Decision making, actions and behaviors reflect a safety culture and top management demonstrates commitment to safety policy.	

What and how to assess?

Check if all managers are familiar with key elements of the safety policy.

Assess feedback from safety culture surveys.

Assess if the accountable executive and the SMS manager are involved in SMS activities (communication campaigns, events, forums, safety committees, etc.).

Interview the accountable executive and assess the level of commitment to SMS activities.

Observe the organization's relationship with other service providers involved in the operation, if any.

Observations:

1.1 Responsibility and commitment of Top Management

Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.1.4 The safety policy shall formally establish what behaviors related to the service provider activities are unacceptable and include the circumstances under which disciplinary action would not apply.	The safety policy clearly defines acceptable and unacceptable behaviors to promote safety culture.	The defined principles allow the safety policy to be applied consistently and appropriately to the context of the organization.	There is evidence that the safety policy and supporting principles are applied and promoted among operational personnel.	The safety policy is applied in a fair and consistent way and people trust the policy. There is evidence that the line between acceptable and unacceptable behavior was drawn in consultation with operational and management personnel.	

What and how to assess?

Check if there is evidence of when the principles of just culture were applied after a safety event.

Check for evidence of interventions based on safety investigations, addressing organizational issues rather than focusing on the individual.

Review how the organization monitors reporting rates, assessing if the number of reports reflects the confidence operational personnel have in the reporting system.

Check if safety reports include errors of the rapporteur and events with which they are involved (events that no one witnessed).

If a safety survey has been conducted, assess employees' responses about the safety culture.

Interview managers to assess understanding and involvement with the principles of just culture.

Talk to the team to check if they are aware of the principles of just culture.

Observations:

1.1 Responsibility and commitment of Top Management					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.1.5 The service provider shall define safety objectives. Safety objectives shall: a) constitute the basis for monitoring and measuring safety performance, as required by item 3.1.2. b) reflect the service provider's commitment to maintain or continuously improve the SMS overall effectiveness. c) be periodically revised to ensure that they remain relevant and appropriate to the service provider.	Safety objectives have been established.	Objectives are compatible with the safety policy and the complexity of operations.	Safety objectives are relevant to the organization and are regularly revised.	The achievement of safety objectives is monitored by top management and actions are taken to ensure they are achieved.	
<p>What and how to assess?</p> <p>Assess if safety objectives are appropriate and relevant.</p> <p>Assess if the defined objectives will lead to an improvement in processes, results and in the development of a positive safety culture.</p> <p>If relevant, assess if the objectives are in line with the objectives established or monitored by ANAC.</p> <p>Assess how safety objectives are communicated throughout the organization.</p> <p>Safety objectives are measured using safety indicators.</p>					
<p>Observations:</p>					

1.2 - Primary responsibility for safety					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.2.1 The service provider shall identify the accountable executive who regardless of other functions is responsible for the implementation and maintenance of an effective SMS on behalf of the organization.	An accountable executive has been designated with full accountability and responsibility for the SMS.	The accountable executive occupies a position in the organization that ensures control of the necessary resources.	The accountable executive ensures that the SMS has resources and is properly implemented and maintained and has the authority to stop the operation if there is an unacceptable level of safety risk.	The accountable executive ensures that SMS performance is monitored, revised, and improved.	
<p>What and how to assess?</p> <p>Observe if there is evidence that the accountable executive has the authority to provide enough resources for relevant safety improvements.</p> <p>Check if there is evidence of decision making about risk acceptability.</p> <p>Observe if an interruption of activities has occurred due to the unacceptable level of safety risk.</p> <p>Interview the accountable executive to assess if he/she supports the SMS.</p> <p>Suggestions for questions: a. how do you see the functioning of the organization's SMS? (check if the response is compatible with what was observed during the audit); b. what is the most critical indicator?; c. which operation presents more risks?; d. point out actions to improve performance; e. check if the accountable executive presides safety committees/ forums meetings and is in line with what is discussed in these meetings.</p>					
<p>Observations:</p>					

1.2 - Primary responsibility for safety					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.2.2 The service provider shall clearly define lines of responsibility across the organization and shall identify and document safety performance responsibilities assigned to all managers and employees.	Safety accountability, responsibilities and authorities are clearly defined and documented.	Responsibilities are suitable to the organization's management structure.	Everyone in the organization is aware of their safety responsibilities and accomplishes them.	The accountable executive and other managers are aware of the risks faced by the organization and actively participate in the risk management processes.	
<p>What and how to assess?</p> <p>Talk to managers about their safety management responsibilities and actions.</p> <p>Check with operational personnel if they are aware of their safety responsibilities (questionnaires, interviews, informal conversations can be used).</p> <p>Check if responsibilities are compatible with those described in the SMS manual.</p> <p>Check in minutes of committees/forums meetings (concerning risk analysis, for example) if there is evidence to prove the participation of other managers in the risk management process.</p> <p>Look for evidence of safety-related performance targets attributed to managers (if applicable).</p> <p>Check for evidence of the participation of managers in risk management processes, according to responsibilities defined in the SMS manual.</p>					
<p>Observations:</p>					

1.3 Designation of key safety personnel					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.3.1 The service provider shall appoint a safety manager responsible for implementing and maintaining the SMS.	There is formal appointment of the SMS manager.	Are the competences required for a safety manager described?	The manager has the required competences and access to the resources needed to manage the SMS. The SMS manager implements and maintains the SMS. The SMS manager communicates with the accountable executive and addresses safety issues where appropriate.	The SMS manager is competent to manage the SMS and identifies improvements in a timely manner. There is a close working relationship with the accountable executive. The SMS manager advises the accountable executive about safety matters, providing contributions for the decision-making.	
<p>What and how to assess?</p> <p>Check in the SMS manual the criteria for the selection of the SMS manager defined by the operator and check if the manager is properly qualified.</p> <p>Assess the role of the safety manager within the organizational context, including credibility and status.</p> <p>Assess evidence that the SMS manager maintains the required competences for the position.</p> <p>Check if the SMS manager has access to the organization's safety information.</p> <p>Observe how the safety manager communicates and relates to operational personnel and board of managers.</p> <p>Check if there are enough resources for SMS activities, such as safety investigation, analysis, audit, participation in meetings and safety promotion.</p> <p>Talk to the accountable executive and the SMS manager to assess their performance in the system.</p>					
<p>Observations:</p>					

1.3 Designation of key safety personnel					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.3.2 The service provider shall establish safety committees, forums or commissions, composed of managers from areas related to civil aviation safety.	The organization has established appropriate committees, which include the accountable executive and managers from areas related to safety, and address safety matters.	Structure and frequency of meetings are appropriate to the context of the organization.	There is evidence that the meetings are documented, and frequency, composition and agenda are in accordance with internal regulations. Safety committees monitor SMS performance, analyzing if there are enough resources and if actions are taken to achieve safety objectives and targets.	In addition to internal members, safety committees include key stakeholders. The results of the meetings are documented and communicated; actions are agreed upon and followed up in a timely manner. Safety performance and objectives are revised as appropriate.	
<p>What and how to assess?</p> <p>Analyze internal regulations or other reference documents related to the committee/forum/commission.</p> <p>Check documentary evidence proving that meetings take place as described in internal regulations.</p> <p>Assess the record of all meetings, including the report on issues addressed, actions and safety recommendations defined.</p> <p>Assess the participation of managers in the meetings. Check the minutes of the meetings and talk to managers to assess their involvement in the topics discussed.</p> <p>Check if the results of the meetings are communicated to the organization, as appropriate.</p> <p>Check if safety objectives, risks and performance are revised and discussed in meetings.</p>					
<p>Observations:</p>					

1.4 Coordination of the Emergency Response Plan					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.4.1 The service provider shall establish and maintain an emergency response plan for accidents and incidents and other aeronautical emergencies.	An appropriate emergency response plan (ERP) has been developed and distributed, and defines procedures, roles, responsibilities and actions of the various organizations and key personnel.	The organization's emergency response plan is adequately coordinated with emergency response plans of organizations with which it interacts during the provision of services and products.	The emergency response plan is revised and tested to ensure that it is up to date. Key personnel always have easy access to the relevant parts of the plan. There is evidence of coordination with other organizations, as appropriate.	The results of the analysis and testing of the emergency plan are evaluated and contribute to improve its effectiveness.	
<p>What and how to assess?</p> <p>Check if there is an emergency response plan.</p> <p>Assess how coordination with other organizations is planned.</p> <p>Check how the emergency response plan is distributed and where copies are kept.</p> <p>Talk to key personnel and check if they have access to the emergency response plan.</p> <p>Check when the plan was last revised and tested and any actions taken as a result.</p>					
<p>Observations:</p>					

1.5 SMS Documentation					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.5.1 The service provider shall develop and maintain an SMS manual describing: a) safety policy and objectives; b) SMS requirements; c) SMS processes and procedures; d) accountability, responsibilities and authorities concerning SMS processes and procedures.	The organization has developed an SMS manual and has established a procedure for distribution and revision.	The procedures described in the SMS manual are compatible with the complexity of the operations.	Safety management processes observed in the organization are compatible with those described in the SMS manual. Changes in the SMS documentation are managed. Operational personnel and managers have easy access to, are familiar with and follow the procedures described in the SMS manual.	SMS documentation is revised for improvement in a proactive way.	
What and how to assess? Check SMS documentation and amendment procedures. Check cross-references to other documents and procedures. Check if SMS documentation is available for all employees. Assess if personnel know where to find safety documentation, including procedures appropriate to their roles. Ask about SMS manual revisions and the reasons why the Manual has been revised.					
Observations:					

1.5 SMS Documentation					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
1.5.2 The service provider shall develop and maintain SMS operational records as part of the SMS documentation.	Procedures for storage and control of SMS operational records have been prepared.	Procedures for storage and control of documentation are appropriate to the size and complexity of the organization.	SMS activities are appropriately recorded and stored, ensuring data protection and control.	SMS records are regularly used as inputs to safety management and SMS continuous improvement.	
<p>What and how to assess?</p> <p>Check SMS support documentation (SMS manual, hazards records, minutes of meetings, safety performance reports, risk assessments, reporting records, training records) and assess number of records; data quality; form of storage; version control; timing; traceability; easy access for operational personnel, when applicable. Rules for data protection and confidentiality have been defined and applied in accordance with the provisions of the SMS manual.</p> <p>Check if the appropriate team is aware of the processes and procedures for the control of records.</p> <p>Observe if operational personnel take part in the preparation of the documentation, when applicable.</p> <p>Check compatibility between the forms of recording and storing documentation and the size and complexity of the organization (for example, the use of a computerized system in the case of complex organizations).</p>					
<p>Observations:</p>					

2. Risk Management

2.1 – Process for Hazards Identification					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
The service provider shall have a Reporting System.	The service provider has a confidential reporting system for capturing voluntary and mandatory reports that includes a feedback and information storage system. The way reports are received and processed is defined in the process.	The ways of sending and receiving reports are appropriate to the size of the organization.	The reporting system is simple to use, accessible to everybody. There is feedback for the rapporteur about any actions taken (or not taken) and, when necessary, for the entire organization. Reports are evaluated, processed, analyzed and stored. People are aware of their responsibilities regarding the reporting system and fulfill them. Reports are processed in a timely manner.	Safety reports are processed in a timely manner. Operational personnel trust the reporting system's process and policy. The reporting system is used for the decision-making process and safety continuous improvement. The reporting system is available for third parties (partners, suppliers, hired employees).	
What and how to assess? Assess the number and quality of reports received (relevance of issues for safety). Check the reporting system concerning access and ease of use. To assess the “suitable” item, check: number of boxes for receiving reports in comparison to the facilities of the operator and accessibility of other forms of reporting (e-mail; apps; telephone; etc.). Using interviews, questionnaires or having informal conversations, assess if operational personnel trust the reporting system, if they are familiar with it and if they know what it shall be reported. Check how data protection and confidentiality are achieved. Look for evidence of feedback to the rapporteur, the organization and third parties. Assess the traceability of report handling (receipt, transcription, protection of rapporteur's identity, referrals, response to the rapporteur, decision-making, actions taken). Observe if there is self-report. Assess reporting system indicators (handling rates/most involved areas/response rates/report status). Check if contracted organizations and interested parties can report. Check if reports received have been analyzed and monitored in order to provide support for the risk management process. Confirm if the responsibilities regarding analysis of events, data storage and monitoring of actions are clearly defined. Check if managers are aware of which events are mandatory for reporting. Assess how managers get involved with the results of the reporting system. Review how hazards arising from reports are identified, analyzed and recorded. Check if investigations of events resulting from the reports establish causal/ contributing factors (why the event happened, not just what happened) and identify human and organizational contributing factors. Check if hazards identified from reported events are processed in compliance with the SMS manual.					
Observations: 					

2.1 – Process for Hazards Identification					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
2.1.2 The service provider shall develop and maintain a process to identify hazards associated with the operation. Hazard identification shall be based on a combination of reactive and proactive methods.	There is a defined process for identifying hazards, using multiple sources (internal and external) and considering reactive and proactive methods.	The sources of hazard identification and hazards identified are compatible with the type of operation and complexity of the service provider.	Hazards are identified and documented. Human factors and organizational factors related to hazards are identified.	The organization maintains an updated hazard record (hazard library or an equivalent instrument). The service provider is continuously and proactively identifying hazards related to activities and the operational environment. Hazard identification involves all operational personnel and appropriate interested parties. Hazards are assessed in a systematic and timely manner.	
What and how to assess? Check how hazards are identified, analyzed and recorded. Consider hazards related to possible scenarios for accidents; human factors and organizational factors; decisions and business processes; other organizations that interface with the service provider's operations. Check which internal and external sources of risk are considered, such as: Safety reports/audits/safety surveys/internal and external investigations/inspections/brainstorming/management of activities for changes/commercial management and other external influences, etc. Assess if internal investigations provide input for the hazard identification process. Identified hazards are processed in accordance with the SMS manual. To assess hazards records, check CENIPA and ANAC reports available at SIPAER Panel (painelsipaer.cenipa.aer.mil.br) and compare the data with the organization's hazards records. Assess if the organization's main hazards are recorded. Assess if the accountable executive is aware of hazards contained in the hazards record and assess actions taken by the manager based on the identified hazards. Assess if the hazards record complies with the SMS manual and with regulatory requirements, if applicable.					
Observations: 					

2.2 - Process for the assessment and control of risks

Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
2.2.1 The service provider shall develop and maintain a process that ensures the analysis and assessment of the risks associated with identified hazards.	There is a process for analyzing and assessing safety risks. Criteria for risk probability, severity and tolerability are defined.	Risk matrix and tolerability criteria are adequate to the operational context. The prerogatives for risk acceptability are adequate to the responsibilities of the function.	Risk analysis and assessments are carried out in a consistent manner based on the defined process. Risk acceptance is applied according to the process and responsibilities defined in the SMS manual.	Risk analysis and assessments are revised to identify improvements in the processes. Risk acceptability criteria are constantly used, applied to management decision-making processes and regularly revised. The risk record is revised and monitored by the appropriate safety committees.	

What and how to assess?

Assess risk classification processes and procedures (criteria for defining risk probability, severity and tolerability). Check if there is a record of the risks analyzed (data bank, for example).
 Conduct sample analysis of identified risks and of the processes of analyzing these risks (compare them with what is described in the SMS manual).
 Observe what triggers a risk assessment.
 Assess if responsibilities and decision-making power within the risk management process are defined and carried out in accordance with the SMS manual.
 Check if risk records are revised and monitored by the appropriate safety committees/forums/commissions.
 Look for evidence that decision making is based on the risk management process.

Observations:

2.2 - Process for the assessment and control of risks					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
2.2.2 The service provider shall develop and maintain a process that ensures the control of safety risks associated with identified hazards.	The organization's risk management process provides for the application of mitigating measures for the appropriate control of risks.	The process considers the definition of responsible parties and deadlines for applying mitigating measures.	Appropriate risk controls are applied to reduce risk to an acceptable level, including schedules and attribution of responsibilities.	The service provider monitors the implementation of mitigating actions. The service provider monitors possible additional risks arising from implemented measures.	
<p>What and how to assess?</p> <p>Check if there is evidence of control for monitoring each risk mitigation action proposed.</p> <p>Check if the monitoring of mitigating measures includes the assessment of additional risks that may arise from proposed measures.</p> <p>Observe if human factors are considered part of the development of risk control.</p>					
<p>Observations:</p>					

3. Safety Assurance

3.1 - Process for monitoring and measuring safety performance					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
3.1.1 The service provider shall develop and maintain the means to verify the organization's safety performance and the effectiveness of risk management actions.	There is a process for assessing risk control.	Methods, responsible parties and risk control assessment process frequency are defined.	Risk control is verified and assessed.	Risk control is assessed, and actions are taken to ensure the safety of operations. Reasons for risk control ineffectiveness are investigated. Internal audits are carried out to monitor and assess safety risk control effectiveness; SMS effectiveness; and the level of compliance with internal and external regulations.	
What and how to assess? Look for evidence that the service provider assesses risk control effectiveness (for example: audits, surveys, revisions). Check if there is evidence of risk control assessment applied by contracted organizations/third parties. Check if information provided by safety assurance and compliance monitoring activities respond to the safety risk management process. Look for evidence of cases where risk control has been changed as a result of the assessment.					
Observations: 					

3.1 - Process for monitoring and measuring safety performance

Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
3.1.2 Service provider safety performance shall be verified against the indicators and targets of the SMS safety performance which are linked to the organization's safety objectives.	There is a process for monitoring and measuring the organization's safety performance, including performance indicators and targets linked to the organization's safety objectives.	Defined indicators and targets are adequate to the organization's activities, risks and safety objectives.	The organization's safety performance is measured, and safety indicators are continuously monitored and analyzed.	Safety indicators demonstrate the organization's safety performance and the effectiveness of risk control based on reliable data. Safety indicators are regularly revised and updated to ensure that they remain relevant. In cases where safety indicators point out performance level below the expected, appropriate action is taken. Results of safety monitoring are supervised and assessed by the accountable executive.	

What and how to assess?

Assess if safety indicators are based on reliable data sources.

Look for evidence of when safety performance indicators were revised.

Assess if indicators and targets are adequate to the organization's activities, risks and safety objectives.

Assess if indicators are focused on what is important and not on what is easy to measure.

If relevant, assess if indicators are consistent with the indicators established or monitored by ANAC.

Check if any action is taken when an indicator points to a result below the expected (reflecting a risk control or an inadequate indicator).

Look for evidence that results of safety performance monitoring are discussed by the accountable executive and other operational managers.

Check if there is evidence of feedback provided to the accountable executive on safety performance.

Observations:

3.1 - Process for monitoring and measuring safety performance					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
3.1.3 The service provider shall consider results of internal audits, including monitoring of corrective and preventive actions, as part of the continuous improvement.	The organization documents procedures for identification and monitoring of corrective and preventive actions pointed out in audits.	Procedures for identifying and monitoring corrective actions include the definition of responsibilities and deadlines.	Identification and monitoring of corrective and preventive actions are carried out according to the procedures, including causal analysis to address the main causes. Status of corrective and preventive actions is regularly communicated to managers and employees who perform activities related to safety. There is an interface between compliance monitoring and safety risk management processes. Results of internal audits are sources for the continuous improvement.	The organization regularly revises the status of corrective and preventive actions and investigates systemic causes and contributing factors resulting from audit findings. Significant findings are used for internal safety trainings and to promote safety. Audit findings and the main causes, causal and contributing factors are analyzed and considered in the revision of internal policies and procedures. There is regular communication between the compliance monitoring team and the team involved in other SMS activities. Managers of activities related to safety are involved in the assessment of audit findings and in the monitoring of corrective and preventive actions in the areas under their responsibility.	
What and how to assess? Check if there is an established internal audit programme, as indicated in the SMS manual. Assess audit findings and if there are any actions implemented based on them. Check if audit reports include details of the audit process. The following items can be observed: 1) audit period; 2) list of auditors; 3) activities, areas or functions audited; 4) methods used; 5) most important findings; 6) nonconformities identified; 7) proposal for corrective and preventive actions. Observe if there is a timely implementation of actions and if the same findings occur repeatedly in different audits. Observe the involvement of managers and employees who develop safety-related activities in the evaluation of audit findings. Assess if internal audit results are consistent with external audit results.					
Observations: 					

3.2 - Process for the management of changes

Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
3.2.1 The service provider shall develop and maintain a process for the management of changes that may affect the safety of operations.	The organization has established a process for the management of changes that identifies changes that impact the safety of operations.	The process for the management of changes is in accordance with existing risk management processes.	The process for the management of changes is carried out when necessary and includes identification of hazards and risk assessment before decisions related to changes are taken.	The process for the management of changes is applied to all safety-related changes, considering the operational and organizational context (including human factors). The process for the management of changes is started in a planned, timely and consistent manner, including monitoring actions that assess if the change has been safely implemented.	

What and how to assess?

Check if the process for the management of changes is applied to all safety-related changes, considering the operational and organizational context, including human factors issues and the cumulative effect of multiple changes.

Check if business-related changes have considered safety risks (organizational restructuring, downsizing, IT projects, etc.).

Observe if key interested parties are involved in the process for the management of changes.

Check what triggers the process for the management of changes.

Look for evidence that recent changes have considered the risk assessment process.

Check which managers have responsibilities and prerogatives to authorize changes and if they consider risk assessments that have been carried out.

Check if provisional risks are identified and managed.

Assess if the actions for monitoring changes have been validated and are carried out.

Check if impacts on previous risk assessments and existing hazards have been considered.

Check if an analysis of the impact of changes on training and competences required for operational personnel has been carried out.

Check if an analysis of the need to eliminate or modify safety risks controls no longer necessary or effective due to the changes identified has been carried out.

Observations:

3.3 - Process for SMS continuous improvement					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
3.3.1 The service provider shall monitor and assess SMS processes to maintain or continuously improve the overall effectiveness of the SMS.	There is a process to monitor and revise SMS effectiveness using available data and information.	The process for monitoring and revising the SMS considers all information from risk management and safety assurance processes.	There is evidence that the SMS is periodically revised, supporting the assessment of its effectiveness and appropriate actions to be taken.	The assessment of SMS effectiveness uses several sources of information, including the analysis of safety data which assists decisions for continuous improvement.	
<p>What and how to assess?</p> <p>Check what information and safety data are used to take management decisions for continuous improvement.</p> <p>Check if responses to external events, investigation reports, safety meetings, hazard reports, audits, safety data analysis contribute to SMS continuous improvement.</p> <p>Look for evidence of:</p> <ul style="list-style-type: none"> • Lessons learned incorporated into the SMS and operational processes. • Best practices adopted. • Surveys and evaluations about organizational culture carried out and put into practice. • Data analyzed and results shared with Safety committees/forums/ commissions. • Actions to monitor SMS performance. 					
<p>Observations:</p>					

4. Safety promotion

4.1 – Training and qualification					
Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
4.1.1 The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS tasks. The scope of the safety training programme shall be appropriate for the involvement of each individual in the SMS.	There is an SMS training programme that includes initial and recurrent training/update. The training includes the operation of the organization's SMS and the role/responsibilities of each employee.	The SMS training programme offers adequate training to the different employees and competence requirements for instructors are described.	Trainings provided for in the programme are carried out as planned and ensure that the organization counts on trained and competent personnel to carry out SMS functions.	SMS training is assessed in all aspects (learning objectives, content, teaching methods and styles, tests), including effectiveness. The planning of SMS training considers results of the gathering of the organization's training needs. Training is routinely revised and considers the assessments performed.	
What and how to assess? Assess SMS training programme, including course content. Check training records comparing them to the training programme. 1) Randomly select a sample of employees who access the operational area and check if they have the course certificate and if course duration is adequate to what is established in the training programme. 2) Check if signatures of these randomly selected employees appear in the course attendance lists. Assess if the training needs evaluation considers responses to external events, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations, etc. Check the training evaluation records. Ask employees if they understand their roles in the organization's SMS and their safety obligations (interviews, questionnaires or informal conversations can be used).					
Observations: 					

4.2 – Dissemination of the SMS and communication on safety

Question	Present ()	Suitable ()	Operational ()	Effective ()	Evidence
4.2.1 The service provider shall develop and maintain formal safety communication means that communicate safety-critical information.	There is a process to determine how safety-critical information is communicated across the organization. Communication includes contracted organizations and personnel, where appropriate.	The means of communication are adequate to the complexity of the organization and the language used is suitable for target audiences.	Safety-critical information are identified and communicated across the organization (to all relevant personnel), including other interested parties, as appropriate.	The organization analyzes and communicates safety-critical information using different means of communication adequate to target audiences. The safety communication process is evaluated and improved continuously, in order to guarantee its effectiveness.	

What and how to assess?

Assess the sources of information used for safety communication.

Check the methods used to communicate safety information, for example, meetings, presentations, e-mails, access to the website, newsletters, bulletins, posters, etc.

Assess if the means of communication are appropriate.

Check if safety dissemination items are intended to:

- (1) communicate safety-critical information;
- (2) explain about the adoption of specific safety actions;
- (3) explain about inclusion or changes of safety procedures; and
- (4) transmit other safety information considered relevant.

Check if means of safety communication are analyzed regarding their effectiveness.

Observe if significant events, changes and investigation results are communicated.

Check accessibility to safety information.

Ask employees about any recent safety communications.

Observations:

Annex to the assessment tool - Normative references

NORMATIVE REFERENCES				
Question	Air Operators	Instruction and Training Centers	Maintenance Organizations	Airport Operators
1.1.1	135.705 (a)(1) 121.1225 (a) 137.401 (b)(1)(i) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(i)(A) 142.111(b)(1)(i) 142.113 (a)	145.214-I (a)	153.53 (a) 153.53 (b) 153.53 (c) 153.53 (e)
1.1.2	135.705 (a)(1) 121.1225 (a) 137.401 (b)(1)(i) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(i)(A) 142.111(b)(1)(i) 142.113 (a)	145.214-I (a)	153.53 (b)
1.1.3	135.705 (a)(1) 121.1225 (a) 137.401 (b)(1)(i) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(i)(A) 142.111(b)(1)(i) 142.113 (a)	145.214-I (a)	153.53 (b)
1.1.4	135.705 (a)(1) 121.1225 (a) 137.401 (b)(1)(i) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(i)(A) 142.111(b)(1)(i) 142.113 (a)	145.214-I (a)	153.53 (b)
1.1.5	135.705 (a)(2) 121.1225 (a) 137.401 (b)(1)(i) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(i)(B) 142.111(b)(1)(i) 142.113 (a)	145.214-I (a)	153.53 (d)

NORMATIVE REFERENCES				
Question	Air Operators	Instruction and Training Centers	Maintenance Organizations	Airport Operators
1.2.1	135.705 (b)(1) 121.1225 (b) 137.401 (b)(1)(ii) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(ii) 142.111(b)(1)(ii) 142.113 (a)	145.214-I (b)	153.23
1.2.2	135.705 (b)(1) 121.1225 (b) 137.401 (b)(1)(ii) 137.403 (a) Resolution n. 106, 4	141.27 (b)(1)(ii) 142.111(b)(1)(ii) 142.113 (a)	145.214-I (b)	153.23
1.3.1	135.705 (c)(1) 121.1225 (c) 137.401 (b)(1)(iii) 137.403 (a) Resolution n. 106, 4.2	141.27 (b)(1)(iii) 142.111(b)(1)(iii) 142.113 (a)	145.214-I (b)	153.15 (a)
1.3.2	121.1225 (c) 137.401 (b)(1)(iii) 137.403 (a) Resolution n. 106, 4.2	142.111(b)(1)(iii) 142.113 (a)	145.214-I (b)	153.53 (f)
1.4.1	135.705 (d) 121.1225 (d) 137.401 (b)(1)(iv) 137.403 (a) Resolution n. 106, 4.3	141.27 (b)(1)(iv) 142.111(b)(1)(iv) 142.113 (a)	145.214-I (b)(4)	153.51 (a)(7)

NORMATIVE REFERENCES				
Question	Air Operators	Instruction and Training Centers	Maintenance Organizations	Airport Operators
1.5.1	135.705 (e) 121.1225 (e) 137.401 (b)(1)(v) 137.403 (a); 137.505 Resolution n. 106, 8	141.27 (b)(1)(v) 142.111(b)(1)(v) 142.113 (a) 142.115	145.214-I (b)(5)	153.53 (g)
1.5.2	135.705 (e) 121.1225 (e) 137.401 (b)(1)(v) 137.403 (a); 137.505 137.517 Resolution n. 106, 8	141.27 (b)(1)(v) 142.111(b)(1)(v) 142.113 (a) 142.115	145.214-I (b)(5)	153.53 (g)
2.1.1	135.707 (a) 121.1227 (a) 137.401 (b)(2)(i) 137.403 Resolution n. 106, 5.2	141.27 (b)(2)(i) 142.111(b)(2)(i) 142.113	145.214-I(c)	153.55 (a)
2.1.2	135.707 (a) 121.1227 (a) 137.401 (b)(2)(i) 137.403 Resolution n. 106, 5.2	141.27 (b)(2)(i) 142.111(b)(2)(i) 142.113	145.214-I(c)	153.55 (a)

NORMATIVE REFERENCES				
Question	Air Operators	Instruction and Training Centers	Maintenance Organizations	Airport Operators
2.2.1	135.707 (b) 121.1227 (b) 137.401 (b)(2)(ii) 137.403 Resolution n. 106, 5.4	141.27 (b)(2)(ii) 142.111(b)(2)(ii) 142.113	145.214-I(c)	153.55 (c) 153.55 (d)
2.2.2	135.707 (b) 121.1227 (b) 137.401 (b)(2)(ii) 137.403 Resolution n. 106, 5.4	141.27 (b)(2)(ii) 142.111(b)(2)(ii) 142.113	145.214-I(c)	153.55 (c) 153.55 (d)
3.1.1	135.709 (a) 121.1229 (a) 137.401 (b)(3)(i) 137.403 Resolution n. 106, 6	141.27 (b)(3)(i) 142.111(b)(3)(i) 142.113	145.214-I(c) (3) 145.214-I(c) (4)	153.57 (b) 153.57 (c) 153.57 (e) 153.57 (f) 153.57 (g)
3.1.2	135.709 (a) 121.1229 (a) 137.401 (b)(3)(i) 137.403 Resolution n. 106, 6	141.27 (b)(3)(i) 142.111(b)(3)(i) 142.113	145.214-I(c) (3) 145.214-I(c) (4)	153.57 (b) 153.57 (c) 153.57 (e) 153.57 (f) 153.57 (g)
3.1.3	135.709 (a) 135.709 (c) 121.1229 (a) 121.1229 (c) 137.401 (b)(3)(i) 137.401 (b)(3)(iii) 137.403 Resolution n. 106, 6	141.27 (b)(3)(i) 141.27 (b)(3)(iii) 142.111(b)(3)(i) 142.111(b)(3)(iii) 142.113	145.214-I(c) (3) 145.214-I(c) (4)	153.57 (b) 153.57 (c) 153.57 (e) 153.57 (f) 153.57 (g)

NORMATIVE REFERENCES				
Question	Air Operators	Instruction and Training Centers	Maintenance Organizations	Airport Operators
3.2.1	135.709 (b) 121.1229 (b) 137.401 (b)(3)(ii) 137.403 Resolution n. 106, 6.3	141.27 (b)(3)(ii) 142.111(b)(3)(ii) 142.113	145.214-I(c) (5)	153.57 (k)
3.3.1	135.709 (c) 121.1229 (c) 137.401 (b)(3)(iii) 137.403 Resolution n. 106, 6.1	141.27 (b)(3)(iii) 142.111(b)(3)(iii) 142.113	145.214-I(c) (6)	153.57 (l)
4.1.1	135.711 (a) 121.1231 (a) 137.401 (b)(4)(i) 137.403 Resolution n. 106, 7.1	141.27 (b)(4)(i) 142.111(b)(4)(i) 142.113	145.214-I(c) (7)	153.59 (a)(1) 153.37
4.2.1	135.711 (b) 121.1231 (b) 137.401 (b)(4)(ii) 137.403 Resolution n. 106, 7	141.27 (b)(4)(ii) 142.111(b)(4)(ii) 142.113	145.214-I(c) (8)	153.59 (b)



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