



Richtlinie

SMS-001

Information Leaflet

Implementation of Safety-Management-Systems (SMS)

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1 SMS Introduction

The concept of "safety management" is becoming more and more prominent in the aviation sector. More specifically, the formal introduction of Safety Management Systems (SMS) is clearly found in the ICAO requirements which are the top level aviation regulatory statutes. The Swiss government has declared SMS to be a cornerstone of the aviation safety policy (LUPO §4.1) which has been further reinforced in the FOCA "Safety Policy". Once implemented and mature, the stakeholder SMS can be expected to have a significant influence on the surveillance activity of the regulator. In part, the requirements for SMS have been already applied, specifically by the Air Navigation Service Providers (ICAO Annex 11) and certain aerodromes (ICAO Annex 14). With effect from 01.01.2009, amendments to ICAO Annex 6 will come into effect which requires the implementation of safety management systems by Operators (of airplanes and helicopters) engaged in commercial air transport – CAT (ICAO definition: An aircraft operation involving the transport of passengers, cargo or mail for remuneration or hire.), as well as maintenance organizations certificated under EASA Part 145 or holding an EASA Part-M, Subpart F approval.

Future harmonization between all of the ICAO Annexes can be expected.

The FOCA is carefully following these developments and is preparing the way forward, both for the stakeholders and the FOCA itself. Not only is FOCA in direct contact with the ICAO , we are also actively engaged in various European working groups developing the future EASA requirements and guidance for SMS integration in the EU. As a result, the FOCA Board has agreed on a concept for SMS implementation in Switzerland and has initiated the process to, together with the industry, facilitate a pragmatic and effective transition.

This information leaflet is intended to provide all affected parties with an initial background and understanding of the SMS implementation plan adopted by FOCA. It is not intended to provide all details for SMS implementation, but rather a general overview of the requirements and the approach to be taken. Further, domain specific, information and guidance will be provided as the need arises or as it becomes available. This information also does not supersede already existing requirements. The goal of FOCA (and ICAO) is the harmonization of the SMS requirements in the entire aviation industry.

2 General Considerations

A *safety management system (SMS)* is an organized approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.

The introduction of SMS regulations is a shift from prescriptive to "performance based" regulation. The implementation of SMS requires processes which allows the control of safety risks and introduces the concept of acceptable level of safety.

The stakeholders (providers) are responsible for establishing an SMS.

The FOCA is responsible for the acceptance and oversight of the stakeholder's SMS.

The FOCA Board has decided to pursue a generic, performance based approach towards SMS implementation and not a prescriptive, compliance based approach. This in recognition that, for the purpose of safety management, "one size does not fit all".

3 Applicability

Existing Requirements:

- ICAO Annex 11 / Verordnung über den Flugsicherungsdienst 748.132.1 (VFSD) > pertaining to ANSP
- ICAO Annex 14 / Verordnung über die Infrastruktur der Luftfahrt 748.131.1 (VIL) Art. 3 1bis > pertaining to aerodromes

Amended Requirements:

- ICAO Annex 6, Amdt. 30 to Part I > pertaining to Operators involved in international air transport.
- ICAO Annex 6, Amdt. 11 to Part III > pertaining to helicopter operators involved in international air transport
- ICAO Annex 6, Amdt 30 to Part I > pertaining to Maintenance Organisations (maintaining the aforementioned aircraft and helicopters)
- A revision to Article 122 of the Luftfahrtverordnung (LFV) is anticipated in November 2008 which will provide the formal link to the ICAO requirements.

4 SMS Design (Framework)

There is no globally harmonized standard for SMS, however the ICAO Safety Management Manual Doc 9859 provides generic guidance which has been unilaterally accepted by the aviation community.

Accordingly the FOCA has determined that the **framework of stakeholder SMS** should include the following 4 components (13 elements):

Safety policy and objectives

- 1.1 – Management commitment and responsibility**
- 1.2 – Safety accountabilities of managers**
- 1.3 – Appointment of key safety personnel**
- 1.4 – SMS implementation plan**
- 1.5 – Coordination of emergency response planning**
- 1.6 – Documentation**

Safety risk management

- 2.1 – Hazard identification processes**
- 2.2 – Risk assessment and mitigation processes**

Safety assurance

- 3.1 – Safety performance monitoring and measurement**
- 3.2 – The management of change**
- 3.3 – Continuous improvement of the SMS**

Safety promotion

- 4.1 – Training and education**
- 4.2 – Safety communication**

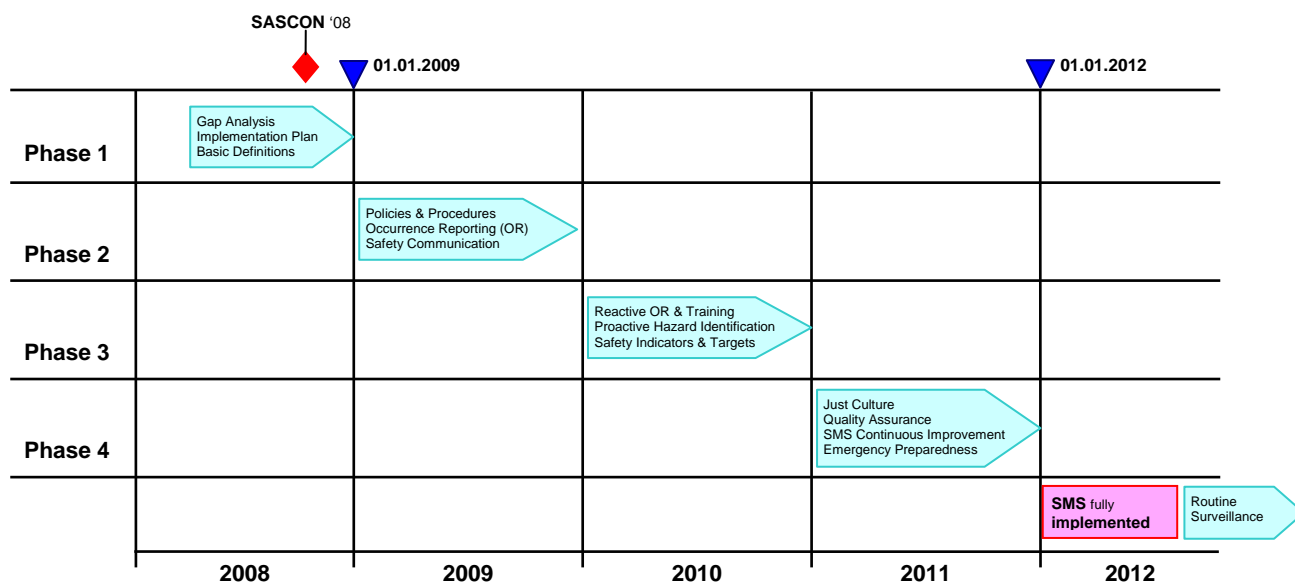
An expanded explanation of what is to be understood under each of the above mentioned elements is found in Annex 1 to this leaflet.

Stakeholders will be free to adapt the scope of the SMS to be suitable to the complexity of their operations. They are encouraged to identify the best method of compliance to meet their individual circumstances. The objective is to have an effective and proactive SMS and it will therefore need to develop and grow based on the organization’s needs and nature.

5 Implementation

The implementation by stakeholders covered by Annex 11 and Annex 14 is already ongoing. Where specific SMS requirements are already applicable (i.e. – ESARR 3) no changes need to be introduced. If the existing requirements provide less detail for SMS implementation (i.e. – Annex 14) the information provided in this leaflet may be used as guidance for further development.

For stakeholders affected by the latest amendments to Annex 6, the FOCA is determined to pursue a phased, “stepwise approach”. This process shall be initiated by 01.01.2009 in order to be compliant with the ICAO requirements; however the development of a truly effective safety management system will take considerably more time. For this reason, the following “implementation phases” are foreseen:



(Details in regard to required elements for Phases 1 to 4 are given in Annex 2 to this leaflet)

6 Process

The SMS is a management system which needs to be fully incorporated (or „integrated“) in the daily business of the organization. Therefore, it follows that the SMS is not “approved” by the regulator as a stand-alone process, but rather “assessed” as an essential part of the approval / surveillance process for an organizational approval (such as an AOC, EASA Part 145 certification, aerodrome certification, etc).

For organizations affected by the Annex 6 amendments, the information required under Phase 1, stated above, shall be submitted to the FOCA Division responsible for the stakeholder’s certificate.

The stakeholder will be considered to be initially compliant when FOCA receives evidence that:

- The management responsibilities / accountabilities are clearly defined
- A safety policy has been documented and signed by the accountable executive
- An SMS gap analysis has been conducted and the results documented
- A documented implementation plan, providing specific actions with an appropriate timeline, is in effect

During the Phase 1 period (2009), the FOCA will review the documentation submitted and include the contents in the regularly scheduled surveillance activities of the organization. Dedicated meetings/discussion may be arranged if the stakeholder, or FOCA, finds it necessary to review specific aspects of the SMS implementation.

Generally, the stakeholders are expected to initiate the implantation of SMS by 01.01.2009 as indicated.

Failure to provide the required information or documentation to the FOCA will be considered to be a non-compliance with the requirements and may result in sanctions or certificate actions.

7 Guidance Material

Unless found to be absolutely necessary, FOCA will not create separate guidance material for SMS implementation. Instead, existing material which is found to be appropriate will be identified and will be referred to. The following are examples of such, generically acceptable, guidance material:

- ICAO Doc 9859 – Safety Management Manual
- ICAO SMS Gap Analysis Checklist
- TCCA TP 14135 - Safety Management Systems for Small Aviation Operations
- TCCA TP 13739 - Safety Management Systems
- Helicopter Safety Management System Toolkit (JHSIT/IHST)
- CASA Advisory Circular AC 119-270(0) Safety Management Systems
- CAA UK “SAFETY MANAGEMENT SYSTEMS – GUIDANCE TO ORGANISATIONS”
- EASA guidance material is being developed by the ECAST SMS Working Group

This list is non-exclusive and will be updated as time goes on.

8 EASA Developments

The inclusion of SMS requirements in the European aviation system is undisputed. EASA is pursuing a course that is intended to be compliant and consistent with the ICAO requirements as well as existing JAR requirements. Towards this objective, EASA is planning on issuing an Implementation Rule (applicable to GEN-OPS-FCL) which will address the integration of “Management Systems”. The NPA for this requirement is expected to be published in August 2008. The FOCA continues to follow (and participate in) this process and will take steps to facilitate an appropriate introduction in Switzerland.

9 Next Steps

In anticipation of the upcoming implementation date of January 2009, the FOCA advises the stakeholders to take the following actions as appropriate:

1. Top Management should include the issue of SMS implementation in the management level planning with immediate effect. (Note: the safety seminar "SASCON 08", 24.Oct.08, will specifically address the issue of SMS implementation from the top management perspective)
2. Training is essential to the effective implementation of a safety management system in any organization. The industry, in particular the Trade Groups, are encouraged to organize SMS training sessions for all stakeholders. (*NB - FOCA is in the process of providing SMS training for all it's safety staff*)
3. Initiate the process of conducting an internal gap analysis as soon as possible (reference may be made to the guidance provided in Annex 4)

10 Further Information

The FOCA will use its website (www.aviation.admin.ch) to provide further general information for SMS implementation. In addition, the responsible FOCA Safety Divisions will provide stakeholders with domain specific information when appropriate.

11 Annexes

- | | |
|---------|--------------------------------------------------------------|
| Annex 1 | Explanation of SMS framework elements |
| Annex 2 | Required Elements for Implementation Phases 1 to 4 |
| Annex 3 | Guidance on Safety Policy development |
| Annex 4 | ICAO SMS Gap Analysis guidance (draft Appendix to Doc. 9859) |

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Leiter Safety Risk Management

Annex 1

1 Safety policy and objectives

1.1 Management commitment and responsibility

The operator/approved maintenance organization shall define the organization's safety policy which shall be in accordance with international and national requirements, and which shall be signed by the accountable executive of the organization. The safety policy shall reflect organizational commitments regarding safety; include a clear statement about the provision of the necessary human and financial resources for its implementation; and be communicated, with visible endorsement, throughout the organization. The safety policy shall be periodically reviewed to ensure it remains relevant and appropriate to the organization.

1.2 Safety accountabilities of managers

The operator/approved maintenance organization shall identify the accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the operator/approved maintenance organization, for the implementation and maintenance of the SMS. The operator/approved maintenance organization shall also identify the safety accountabilities of all members of senior management, irrespective of other functions. Safety accountabilities and authorities shall be documented and communicated throughout the organization.

1.3 Appointment of key safety personnel

The operator/approved maintenance organization shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS.

1.4 SMS implementation plan

The operator/approved maintenance organization shall develop and maintain an SMS implementation plan that defines the organization's approach to manage safety in a manner that meets the organization's safety needs. The SMS implementation plan of the operator/approved maintenance organization shall explicitly address the coordination between the SMS of the operator/approved maintenance organization and the SMS of other organizations the operator/approved maintenance organization must interface with during the provision of services. The SMS implementation plan shall be endorsed by senior management of the organization.

1.5 Coordination of emergency response planning

The operator/approved maintenance organization shall develop, coordinate and maintain an emergency response plan that ensures orderly and efficient transition from normal to emergency operations, and return to normal operations.

1.6 Documentation

The operator/approved maintenance organization shall develop and maintain SMS documentation to describe the safety policy and objectives, the SMS requirements, the SMS procedures and processes, the accountabilities, responsibilities and authorities for procedures and processes, and the SMS outputs. As part of the SMS documentation, the operator/approved maintenance organization shall develop and maintain a safety management manual (SMM), to communicate its approach to safety throughout the organization.

2 Safety risk management

2.1 Hazard identification process

The operator/approved maintenance organization shall develop and maintain a formal process for effectively collecting, recording, acting on and generating feedback about hazards in operations, based on a combination of reactive, proactive and predictive methods of safety data collection.

2.2 Risk assessment and mitigation process

The operator/approved maintenance organization shall develop and maintain a formal risk management process that ensures analysis (in terms of probability and severity of occurrence), assessment (in terms of tolerability) and control (in terms of mitigation) of risks to an acceptable level. The operator/approved maintenance shall also define those levels of management with authority to make decisions regarding safety risks tolerability.

3 Safety assurance

3.1 Safety performance monitoring and measurement

The operator/approved maintenance organization shall develop and maintain the means to verify the safety performance of the organization compared to the safety policy and objectives, and to validate the effectiveness of safety risks controls. The safety reporting procedures related to safety performance and monitoring shall clearly indicate which types of operational behaviors are acceptable or unacceptable, and include the conditions under which immunity from disciplinary action would be considered.

3.2 The management of change

The operator/approved maintenance organization shall develop and maintain a formal process to identify changes within the organization 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.

3.3 Continuous improvement of the SMS

The operator/approved maintenance organization shall develop and maintain a formal process to identify the causes of sub-standard performance of the SMS, determine the implications of sub-standard performance in operations, and eliminate such causes.

4 Safety promotion

4.1 Training and education

The operator/approved maintenance organization shall develop and maintain a safety training program that ensures that personnel are trained and competent to perform the SMS duties. The scope of the safety training shall be appropriate to each individual's involvement in the SMS.

4.2 Safety communication

The operator/approved maintenance 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.

* * * * *

Annex 2

1 SMS-Implementation Phases

Phase 1: Initial Assessment

Initial assessment requires that, by 01.01.2009, applicants provide FOCA:

- The name of the accountable executive;
- The name of the person responsible for implementing the SMS;
- A written Safety Policy, including a statement of commitment to the implementation of SMS (signed by the accountable executive); (*guidance for the development of an appropriate safety policy is provided in Annex 3 to this leaflet. The policy should be appropriate to the organization, and not simply a completed "template"*);
- Documentation of a gap analysis between the organization's existing system and the required SMS framework; (*a template for conducting such a gap analysis is provided in Annex 4 to this leaflet*);
- The organization's implementation project plan, based on the SMS framework and stakeholders' internal gap analysis. (No specific format is required; however the plan should be made using modern project management practices).

Phase 2: One-Year Follow-up

After one-year, certificate holders will demonstrate that their system includes the following components:

- Documented policies and procedures relating to the required SMS components;
- A process for occurrence reporting with the associated supportive elements such as training, a method of collecting, storing and distributing data, and a **(reactive)** risk management process;
- Safety communication within the organization, as well as with associated organizations.

Phase 3: Two-Year Follow-up

Two years after initial assessment, the certificate holder will demonstrate that, in addition to the components already demonstrated during Phase No.2, they also have a process for the **proactive** identification of hazards and associated methods of collecting, storing and distributing data and a risk management process. Required components:

- Documented policies and procedures relating to all required SMS components;
- Process for reactive occurrence reporting and training;
- Process for proactive identification of hazards.
- Selection of safety indicators and targets; acceptable level(s) of safety

Phase 4: Three-Year Follow-up

- One year following Phase No.3, certificate holders will demonstrate that, in addition to the components already demonstrated during Phases No.2 and No.3, they have also addressed:
- Training;
- Just culture;
- Quality Assurance;
- SMS continuous improvement;
- Emergency preparedness.

* * * * *

Annex 3

1 Safety Policy

A SMS will only be effective when a Safety Policy is developed and communicated throughout the organization. The policy statement should clearly reflect the top managements' commitment to safety. The policy must also indicate how safety management principles will be integrated in the organization's structure.

There is no prescribed format for the safety policy. It needs to be a written document from senior management that is communicated to all company employees.

A Safety Policy should typically include the following elements:

- The overall safety objectives of the organization
- Senior management commitment and intentions with regards to safety
- Commitment to provide the necessary resources
- The organization's safety management principles
- The organization's policy concerning responsibility and accountability for safety at all levels of the organization
- Non-punitive reporting policy (just culture)

In preparing a Safety Policy, senior management should consult widely with key staff members in charge of safety-critical areas. Consultation assures that the document is relevant to the staff and gives them a sense of ownership in it.

Further guidance in the development of a corporate safety policy can be found – among others – in:

- ICAO Doc. 9859 Safety Management Manual
- CAAS Advisory Circular AC 1-3(0)
- ACRP Report 1, Safety Management Systems for Airports, Volume 1
- Transport Canada Advisory Circular AC 107-001 (SMS Guidance for Large Operators)



ICAO guidance material on the development of a Safety Policy Statement

Safety is one of our core business functions. We are committed to developing, implementing, maintaining and constantly improving strategies and processes to ensure that all our aviation activities take place under balanced allocation resources, aimed at achieving the highest level of safety performance and meeting national and international standards.

All levels of management are accountable for the delivery of this highest level of safety performance, starting with the [Chief Executive Officer (CEO)/Managing Director/ or as appropriate to the organization].

Our commitment is to:

- a) Support the management of safety through the provision of appropriate human and financial resources that will result in an organizational culture that fosters safe practices, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as financial management.
- b) Enforce the management of safety among the primary responsibility of all managers;
- c) Clearly define for all staff their accountabilities and responsibilities for the delivery of safety performance;
- d) Establish and implement hazard identification and risk management processes in order to eliminate or mitigate the risks associated with (aircraft/ ATC/ maintenance/ aerodrome) operations to a point which is As Low As Reasonably Practicable;
- e) Comply with and wherever possible exceed legislative and regulatory requirements and standards;
- f) Ensure sufficient skilled and trained resources are available to implement safety strategies and processes;
- g) Ensure that all staff are provided with adequate and appropriate aviation safety information and training, are competent in safety matters and are only allocated tasks commensurate with their skills;
- h) Establish and measure our safety performance against realistic objectives and/or targets;
- i) Continually improve our safety performance and conduct safety management reviews to ensure relevant safety action is taken and is effective; and
- j) Ensure externally supplied systems and services to support our operations are delivered meeting our safety performance standards;

(Signed)

CEO/Managing Director/or as appropriate

* * * * *

Annex 4



APPENDIX xx to Doc 9859

GUIDANCE ON THE DEVELOPMENT OF AN SMS GAP ANALYSIS FOR SERVICE PROVIDERS

1. Background

In accordance with the Standards and Recommended Practices (SARPs) contained in ICAO Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, and Part III — International Operations — Helicopters, ICAO Annex 11 — Air Traffic Services, and ICAO Annex 14 — Aerodromes, Volume I — Aerodrome Design and Operations, service providers are responsible for the implementation of a Safety Management System (SMS). An SMS is a systematic approach to managing safety, including the necessary organisational structures, accountabilities, policies and procedures.

2. Gap analysis

The implementation of an SMS requires a service provider to conduct an analysis of its system to determine which components and elements of an SMS are currently in place and which components and elements must be added or modified to meet the implementation requirements. This analysis is known as gap analyses, and it involves comparing the SMS requirements against the existing resources in the service provider.

This guidance provides, in checklist format, information to assist in the evaluation of the components and elements that comprise the ICAO SMS framework and to identify the components and elements that will need to be developed. Once the gap analysis is complete and documented, it will form one basis of the SMS implementation plan.

The gap analysis form included in this guide can be used as a template to conduct a gap analysis. Each question is designed for a “yes” or “no” response. A “yes” answer indicates that the service provider already has component or element of the ICAO SMS framework in question incorporated into its organizational processes, whether it matches or exceeds the requirement. A “no” answer indicates that a gap exists between the component/element of the ICAO SMS framework and the organizational processes of the service provider.

Note. – Within the context of this guidance the term “service provider” refers to any organization providing aviation services. The term includes approved training organizations, aircraft operators, maintenance organizations, organizations responsible for type design and/or assembly of aircraft, air traffic services providers and certified aerodrome operators, as applicable.

3 ICAO SMS framework

The ICAO SMS framework consists of four components and thirteen elements, and its implementation shall be commensurate with the size of the organization and the complexity of the services provided.

1. Safety policy and objectives

- 1.1 – Management commitment and responsibility
- 1.2 – Safety accountabilities of managers
- 1.3 – Appointment of key safety personnel
- 1.4 – SMS implementation plan
- 1.5 – Coordination of emergency response planning
- 1.6 – Documentation

2. Safety risk management

- 2.1 – Hazard identification process
- 2.2 – Risk assessment and mitigation process

3. Safety assurance

- 3.1 – Safety performance monitoring and measurement
- 3.2 – The management of change
- 3.3 – Continuous improvement of the SMS

4. Safety promotion

- 4.1 – Training and education
- 4.2 – Safety communication

SMS gap analysis for service providers

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
Component 1 – SAFETY POLICIES AND OBJECTIVES			
Element 1.1 – Management commitment and responsibility			
	Is a safety management system with defined components established, maintained and adhered to?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the safety management system appropriate to the size and complexity of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a safety policy in place?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider based its safety management system on the safety policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the safety policy approved and promoted by the accountable executive?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the safety policy reviewed periodically?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a formal process to develop a coherent set of safety objectives?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are the safety objectives linked to the safety performance indicators, safety performance targets and safety requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are the safety objectives publicized and distributed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a policy in place that ensures effective safety reporting of safety deficiencies, hazards or occurrences including the conditions under which protection from disciplinary and /or administrative action applies?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 1.2 – Safety accountabilities of managers			
	Has the service provider identified an accountable executive who shall have ultimate responsibility and accountability, on behalf of the service provider, for the implementation and maintenance of the SMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Does the accountable executive have responsibility for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the accountable executive have full control of the financial resources required for the operations authorized to be conducted under the operations certificate?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the accountable executive have full control of the human resources required for the operations authorized to be conducted under the operations certificate?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the accountable executive have final authority over operations authorized to be conducted under the operations certificate?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 1.3 – Appointment of key safety personnel			
	Has a qualified person been appointed to manage and oversee the day-to-day operation of the SMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the person overseeing the operation of the SMS fulfil the required job functions and responsibilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are the safety authorities, responsibilities and accountabilities of personnel at all levels of the organization defined and documented?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 1.4 – SMS implementation plan			
	Has the service provider developed an SMS implementation plan that ensures that the SMS will meet the organization's safety needs?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the SMS implementation plan been developed by a person or a planning group which comprises an appropriate experience base?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the person or planning group received enough resources (including time for meetings) for the development of the SMS implementation plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Has the SMS implementation plan been endorsed by the senior management of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the SMS implementation plan regularly reviewed by the senior management of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the SMS implementation plan propose an implementation in phases?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the SMS implementation plan explicitly address the coordination between the service provider SMS and the SMS of other organizations the service provider must interface with during the provision of services?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 1.5 – Coordination of emergency response planning			
	Does the service provider have an emergency response/contingency plan appropriate to the size, nature and complexity of the organization?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Have the emergency response/contingency procedures been documented, implemented and assigned to a responsible manager?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are the emergency response/contingency procedures periodically reviewed as part of the management review of the SMS, and after key personnel and organizational change?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have a process to distribute and communicate the content the emergency response/contingency procedures to all personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider conduct drills and exercises with all key personnel at specified intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider coordinate its emergency response/contingency procedures with the emergency/response contingency procedures of other organizations it must interface with during the provision of services?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
Element 1.6 – Documentation			
	Has the service provider developed and does it maintain SMS documentation, in paper or electronic form?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the SMS documentation developed in a manner that describes the SMS and the consolidated interrelationships between all the SMS components?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider developed a safety management system manual (SMSM) as a key instrument for communicating the organization's approach to safety to the whole organization?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the SMSM document all aspects of the SMS, including the safety policy, objectives, procedures and individual safety accountabilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the SMSM clearly articulate the role of safety risk management as initial design activity and the role of safety assurance as continuous activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are relevant portions of SMS related documentation incorporated into approved documentation, such as Company Operations Manual, Maintenance Control/Policy Manual, Airport Operations Manual, as applicable?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have a records system that ensures the generation and retention of all records necessary to document and support operational requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the service provider records system in accordance with applicable regulatory requirements and industry best practices?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the records system provide the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
Component 2 –SAFETY RISK MANAGEMENT			
Element 2.1 – Hazard identification process			
	Does the service provider have a formal safety data collection and processing system (SDCPS) of effectively collecting information about hazards in operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider SDCPS include a combination of reactive, proactive and predictive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have reactive processes that provides for the capture of information relevant to safety and risk management?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider developed training relevant to reactive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider developed communication relevant to reactive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is reactive reporting simple, accessible and commensurate with the size of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are reactive reports reviewed at the appropriate level of management?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a feedback process to notify contributors that their reports have been received and to share the results of the analysis?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have proactive processes that actively look for the identification of safety risks through the analysis of the organization's activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there training relevant to proactive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider developed communication relevant to proactive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Is proactive reporting simple, accessible and commensurate with the size of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have predictive processes that provide the capture of system performance as it happens in real-time normal operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there training relevant to predictive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider developed communication relevant to predictive methods of safety data collection?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the predictive safety data capture process simple, accessible and commensurate with the size of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 2.2 – Risk assessment and mitigation process			
	Does the service provider SMS documentation clearly articulate the relationship between hazards, consequences and risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a structured process for the analysis of the risk associated to the consequences of identified hazards, expressed in terms of probability and severity of occurrences?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are there criteria for assessing risks and establishing risk tolerability (i.e., the acceptable level of risk the organization is willing to accept)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have risk mitigation strategies that include corrective/ preventive action plans to prevent recurrence of reported occurrences and deficiencies?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Are corrective and preventive actions generated in response to event analysis?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Component N° 3 –SAFETY ASSURANCE			
Element 3.1 – Safety performance monitoring and measurement			
	<p>Are regular and periodic planned reviews conducted regarding:</p> <p>Company safety performance? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Internal audit reviews? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Hazard identification and occurrence investigations? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Hazard and occurrence analysis results? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Internal feedback analysis/results? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>External feedback analysis/results? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Status of corrective actions? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Follow-up actions from previous management reviews? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Changes that could affect safety? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Recommendations for improvement? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Sharing of best practices across the organization? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
	Is there a process to evaluate the effectiveness of corrective actions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are safety reports reviewed at the appropriate level of management?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Is there a feedback process to notify contributors that their reports have been received and to share the results of the analysis?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a process in place to monitor and analyze trends?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider implemented self-evaluation processes, such as regularly scheduled reviews, evaluations, surveys and audits?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are corrective and preventive actions generated in response to hazard identification?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are there procedures in place for the conduct of internal investigations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Do measures exist that ensure all reported occurrences and deficiencies are investigated?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a process to ensure that occurrences and deficiencies reported are analyzed to identify all associated hazards	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are corrective and preventative actions generated in response to event investigation and risk analysis?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have a process for evaluating the effectiveness of the corrective/preventive measures that have been developed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider have a system to monitor the internal reporting process and the associated corrective actions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there an audit function with the independence and authority required to carry out effective internal evaluations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the audit system cover all functions, activities and organizations within the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are there defined audit scope, criteria, frequency and methods?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Are there selection/training processes to ensure the objectivity and competence of auditors as well as the impartiality of the audit process?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a procedure for reporting audit results and maintaining records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a procedure outlining requirements for timely corrective and preventive action in response to audit results?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a procedure to record verification of action(s) taken and the reporting of verification results?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider perform periodic Management reviews of safety critical functions and relevant safety issues that arise from the internal evaluations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 3.2 – The management of change			
	Has the service provider developed and does it maintain a formal process for the management of change?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the formal process for the management of change analyze changes to operations or key personnel for risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the service provider identify changes within the organization which may affect established processes and services?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider arrangement to ensure maintenance of safety performance prior to implementing changes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Has the service provider established a process to eliminate or modify safety risk controls that are no longer needed due to changes in the operational environment?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 3.3 – Continuous improvement of the SMS			
	Does the organization have a process for the proactive evaluation of facilities, equipment, documentation and procedures through audits and surveys?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

ICAO reference	Aspects to be analyzed or question to be answered	Answer	Status of implementation
	Does the organization have a process for the proactive evaluation of the individuals' performance, to verify the fulfilment of their safety responsibilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Does the organization have a reactive process to verify the effectiveness of the system for control and mitigation of risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Component N° 4 – SAFETY PROMOTION			
Element 4.1 – Training and education			
	Is there a documented process to identify training requirements so that personnel are trained and competent to perform the SMS duties?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the safety training appropriate to the individual's involvement in the SMS	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is the safety training incorporated into indoctrination training upon employment?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there emergency response/contingency training for affected personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a process that measures the effectiveness of training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Element 4.2 – Safety communication			
	Are there communication processes in place within the organization that permit the safety management system to function effectively?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is information established and maintained in a suitable medium that provides direction regarding relevant SMS documents?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Is there a process for the dissemination of safety information throughout the organization and a means of monitoring the effectiveness of this process?	<input type="checkbox"/> Yes <input type="checkbox"/> No	