

# Safety Management System (SMS) Evaluation Tool and Guidance

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[ GS902 ]

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## SMS Evaluation Tool and Guidance

To be completed by the Accountable or Safety Manager of the:

<b>Aerodrome / Air Navigation Service Provider:</b>	<b>Approval/Certificate Reference(s):</b>
<b>SMS Manual Revision:</b>	<b>Evaluator(s):</b> Name:  Department:  Position:
<b>Date of completion of the assessment by aerodrome operator:</b>	

To be completed by CAA staff:

<b>Name:</b>	<b>Position:</b>	<b>Department:</b>
		<b>Date of completion of the assessment by CAA:</b>

**SMS Evaluation Tool Instructions for use**

This tool assesses the overall effectiveness of aerodrome SMS by considering compliance and performance indicators derived from ICAO Annex 19 and the Safety Management Manual (Doc 9859). These indicators are structured according to the ICAO SMS Framework, with assessments made on whether each indicator is *Present (P)*, *Suitable (S)*, *Operating (O)*, or *Effective (E)*, as outlined in the accompanying definitions and guidance.

**PSOE definitions for individual indicator** (assessed and completed initially by the aerodrome operator and verified by CAA):

<b>Present (P):</b>	There is evidence that the indicator is clearly visible and is documented within the aerodrome's SMS documentation.
<b>Suitable (S):</b>	The indicator is suitable based on the size, nature, complexity and the inherent risk in the activity.
<b>Operating (O):</b>	There is evidence that the indicator is in use and an output is being produced.
<b>Effective (E):</b>	There is evidence that the indicator is effectively achieving the desired outcome and has a positive safety impact.

**Element summary definitions** (as used by CAA in the element summary assessment):

<b>Initiating:</b>	Not all of the indicators in this element are present and suitable.
<b>Present and suitable:</b>	All indicators in this element are at least present and suitable but not all are operating. This level is required for initial certification of an aerodrome.
<b>Operating (but not effective):</b>	All compliance and performance indicators are at least operating but the overall effectiveness for that element is not achieved.
<b>Effectiveness achieved:</b>	All compliance and performance indicators are at least operating and the overall effectiveness for that element is achieved.
<b>Excellence:</b>	Effectiveness is achieved as above and there are signs of best practice and excellence in how the aerodrome has implemented this element.

H\]g`Vt`bWdh`cZ`Yj U'i Uh]b[ `GA G`YZYV]j YbYgg`gi ddcfng`h`Y`a`cj`Y`Zfca`h`fUX]h]cbUz`Vt`a`d`]UbW!VUgYX`cj`Yfgj[ \h`h`c`dYfZcfa`UbW!VUgYX`cj`Yfgj[ \h`h`Uh`ZcWgYg`cb`\ck`h`Y`GA G`]g`dYfZcfa`]b[ " `h`YghUV`]g`Yg`U`g`UfYX`g`UbXUfX`Zcf`UggYgg]b[ `GA G`YZYV]j YbYggz`ZcghYf]b[ `a`i`h`U`UWVdhUbW`cZ`GA G`dfUM]Wg`"

H`Y`UYfcXfca`Y`cdYfUrcfg`g`lci`X`i`gY`h`Y`Í`<ck`]h`]g`UW`]Y`YXÍ`Vcl`h`c`XYgV]VY`\ck`h`Ym`Uj`Y`UW`]Y`YX`h`Y`DGC`cf`9`Yj`Y`Zcf`h`Y`]bX]W]hcfz`XYHU]`]b[ `Ubmi`XcW`a`Yb]Uh]cb`fYZfYbWg`UbX`5BGDz`Yj`]XYbW`cf`Yi`Ua`d`Yg`h`c`gi`ddcfh`h`Y]f`gY`Z`UggYgga`Ybh`CbW`h`YgY`]bX]W]hcfg`UfY`Yj`U'i`UhYX`Vmi`h`Y`UYfcXfca`Y`cdYfUrcfz`755`k`]`j`Yf]ZmYUW`]bX]W]hcf`UbX`UggYgg`h`Y`cj`YfU`YZYV]j YbYgg`UggYgga`Ybh`cZ`YUW`GA G`Y`Ya`Ybh`"

: cf`h`Y`initial`Uddfcj`U`cZ`Ub`GA G`U`]bX]W]hcf`g`a`i`gh`VY`Present`UbX`Suitable`VYZcfY`h`Y`UYfcXfca`Y`Wfh]Z]W]h`]g`]gg`YX`": cf`continued`Uddfcj`Uz`U`]bX]W]hcf`g`a`i`gh`VY`Uh`Y`Ugh`Operating`Zcf`U`cZ`h`Y`Y`Ya`Ybhg`"

8i`Y`h`c`h`Y`Vt`b]bi`ci`g`m`V`Ub[ ]b[ `UbX`XmbUa`]WbUhi`fY`cZ`Uj`]Uh]cbz`Xi`f]b[ `cb[ c]b[ `cf`gi`VgYei`Ybh`Yj`U'i`Uh]cbg`h`Y`Suitable`XYg] bUh]cb`g`lci`X`VY`fY!`Yj`U'i`UhYX`Vt`bg]XYf]b[ `Ubm]V`Ub[ Yg`h`c`h`Y`UYfcXfca`Y`UbX`]rg`UM]j`]h`Yg`"

5b`]bX]W]hcf`W]bbch`VY`Vt`bg]XYfYX`Operating`cf`Effective`]Z`]h`]g`not`Presentz`UbX`]h`W]bbch`VY`Vt`bg]XYfYX`Ug`Present`]Z`]h`]g`bch`XcW`a`YbhYX`E`XcW`a`YbhUh]cb`Ybgi`fYg`Vt`bg]gh`Ybh`fYdYUHV`Y`UbX`gng`Ya`Uh]Wci`h`Vt`a`Yg`"

### What to look for

H\]g`gYV]cb`[ i ]Xyg`h`Y`UYfcXfca`Y`g`Yj`U'i`Urcfg`cf`755`]bgdYV]hcf`k`Yb`cc\_]b[ `Uh`YUW`]bX]j`]Xi`U`]bX]W]hcf`UbX`]g`bch`a`YUbh`h`c`VY`U`VWYV`]gh`h`Y`]h`Ya`g`]ghYX`UfY`bch`gdYV]W]h`Ub`]bX]j`]Xi`U`DfYgYbhz`Gi`]hUV`Yz`CdYfUh]b[ z`cf`9ZZYV]j`Y`Yj`Yz`Vi`h`fYa`]bX`h`Y`Yj`U'i`Urcfg`cf`755`]bgdYV]hcf`cZ`UfYUg`h`Ymi`a`Umk`Ubh`h`c`Vt`bg]XYf`"Gca`Y`]h`Ya`g`]b`h`]g`Vt`i`a`b`a`Umbch`VY`fY`Yj`Ubh`XYdYbX]b[ `cb`h`Y`g]hYz`m`dYz`cf`bUh`fY`cZ`h`Y`UYfcXfca`Y`"

### Addressing findings and observations

For the initial evaluation, all processes should be **Present** and **Suitable**. If not, then the aerodrome certificate should not be granted. Once an SMS is functioning, a finding should be issued if a process is found not to be **Operating** during the evaluation. Where an indicator is found not to be **Effective**, CAA inspector may consider issuing an observation to give rise to suggested improvements. However, findings should not be issued if the process is **Operating but not Effective**.

- 1 Safety Policy and Objectives (Annex 19 Appendix 2 1.)
- 1.1 Management Commitment (Annex 19 Appendix 2 1.1)
- 1.1.1 Safety policy, sign off and periodical review (Annex 19 Appendix 2 1.1.1 e) and g), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.1.1 There is a safety policy, signed by the accountable executive, which observes all applicable legal requirements and standards; and considers best practices and it is reviewed periodically to ensure it remains relevant to the aerodrome.				
	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Interview the accountable executive to assess his/her knowledge and understanding of the safety policy.
- Check evidence that the accountable executive takes informed decisions in accordance with the safety policy.
- Confirm the safety policy is relevant and meets applicable national regulations.
- Check that 'safety' is key to the policy and remains a highest priority.
- Interview staff to determine to what extent the safety values and objectives from the safety policy are known, as well as how readable and understandable they are.
- Check evidences that all employees and key stakeholders contribute to the safe operations of the system in accordance with the safety policy.
- Check that the safety policy is reviewed periodically for content and currency.
- Check that the safety policy includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
There is a safety policy, signed by the accountable executive, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.	The safety policy is easy to read. The content is customised to the aerodrome.	The safety policy is reviewed periodically to ensure it remains relevant to the aerodrome.	The accountable executive has a clear understanding of the safety policy and is fully engaged in implementing it.

1.1.2 Safety policy and resources (Annex 19 Appendix 2 1.1.1 b), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.1.2 The safety policy includes a clear statement about the provision of the necessary resources for the implementation of the safety policy.				
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Review available, appropriate resources including staff, equipment, and finance.
- Review how the aerodrome manages resources by anticipating and addressing any shortfalls.
- Check there are sufficient and competent personnel and review how the aerodrome assesses it.
- Review targeted resources vs actual resources.
- Guarantee that strategy is not only defined according to the current resources but is also based on the needed resources and ways of working to appropriately mitigate the key safety risks.
- Check whether the resources are discussed with the accountable executive or during the safety committee meeting (or equivalent), as appropriate.
- Check whether any fatigue issues, lack of resources, human performance weaknesses are reported, notably through the internal safety reporting scheme.
- Check whether the principles of 'management of changes' are applied to anticipate the resources in case of changes.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
The safety policy includes a statement to provide appropriate resources.	There is a process for assessing resources and addressing any shortfalls; needs are discussed at the right level of management. Volume and significance of the contracted activities (to and from) are properly factored for the determination of the resources to deliver safe operations.	The aerodrome is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.	The aerodrome is reviewing and taking action to address any forecasted shortfalls in resources. Needs are anticipated and forecasted, notably using the principles of the 'management of changes'.

1.1.3 Communication of the safety policy (Annex 19 Appendix 2 1.1.1 f), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.1.3 The safety policy is communicated, with visible endorsement, to all staff including relevant contracted staff and third-party organisations.				
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

Guidance

- Review how the safety policy is communicated.
- Safety policy is clearly visible (or reachable, depending on the structure and size of the aerodrome) to all staff including relevant contracted staff and third-party organisations.
- Question managers and staff regarding knowledge of the safety policy and its associated objectives.
- All managers are familiar with the key elements of the safety policy and its associated objectives.
- Evidence that senior management involved in safety activities participate to safety meetings, training, conferences, etc.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>There is a means in place for the communication of the safety policy and its associated objectives.</p> <p>The management commitment to safety is documented within the safety policy.</p>	<p>The safety policy and its associated objectives are clearly visible (or reachable) to all staff including relevant contracted staff and third-party organisations.</p> <p>The safety policy is understandable (consider multiple languages).</p>	<p>The safety policy and its associated objectives are communicated to all personnel (including relevant contracted staff and organisations).</p> <p>The accountable executive and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system.</p>	<p>People across the aerodrome are familiar with the safety policy and its associated objectives and can describe their obligations in respect of the safety policy.</p>

1.1.4 Safety policy, commitment, and positive safety culture (Annex 19 Appendix 2 1.1.1 a) and c), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.1.4 The safety policy reflects aerodrome's commitment regarding safety, including the promotion of a positive safety culture and the encouragement of safety reporting.				
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- The managers involved in safety activities are familiar with the key elements of the safety policy and its associated objectives, including the positive safety culture.
- Senior management involved in safety activities are efficiently participating in the safety management system and proactively managing safety policy, fostering a safety culture, and implementing objective processes set forth by the aerodrome to proactively manage risks.
- Evidence of senior management participation in safety meetings, training, conferences etc. where positive safety culture is promoted.
- Check how a positive safety culture is encouraged and impacts the overall effectiveness, notably for the safety reporting system and the actions thereof.
- Evidence of proactive behaviours by the managers involved in safety activities, demonstrating continuous leadership and continuous improvement.
- Relationship building with CAA and other key stakeholders (e.g. feedback, trust, exchange of information).
- Feedback from safety surveys that include specific just culture aspects. Confirmation that the internal safety reporting scheme is known and used without fears of reprisal.
- Review how a positive safety and just culture are promoted.
- Evidence that people do not fear to report in respect of the internal safety reporting scheme.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>The safety policy is documented including the promotion of a positive safety culture and the encouragement of safety reporting.</p> <p>The safety policy highlights the primary responsibility for safety of all employees to proactively manage risks.</p> <p>The safety policy contains the main attributes of a positive safety culture,</p>	<p>The safety policy describes the commitment of all relevant staff involved in safety activities.</p>	<p>The safety policy and associated positive safety culture are operationally implemented and promoted at working level by the accountable executive and the key managers involved in safety activities.</p>	<p>The safety policy, its implementation and commitment are reviewed with the accountable executive and senior management on a regular basis.</p> <p>The aerodrome's commitment to safety addresses interactions with key external stakeholders.</p>

including a commitment to safety leadership and to a just culture across the aerodrome.			The internal safety reporting scheme is known and used without fears of reprisal.
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1.1.5 Safety policy and Just culture (Annex 19 Appendix 2 1.1.1 d), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
		1.1.5	The safety policy clearly indicate which types of behaviours are unacceptable related to the aerodrome's aviation activities and include the circumstances under which disciplinary action would not apply.		
Evaluation (for aerodrome operator use)	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Check that guidance and governance are developed on how to apply the just culture policy
- Evidence of when the just culture principles have been applied following an event.
- Evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual.
- Review how the aerodrome is monitoring voluntary reporting rates and review the number of aviation safety reports appropriate to the activities.
- Safety reports include the reporter’s own errors and events they are involved in (events where no one was watching).
- Check that staff are aware of the just culture policy and principles.
- Interview staff representatives to confirm that they agree with just culture policy and principles.
- Consider feedback on how the “just culture” policy is applied and perceived from staff.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>A just culture policy and principles have been defined.</p>	<p>The just culture policy (or in any other related document) clearly identifies acceptable and unacceptable behaviours.</p> <p>The principles ensure that the policy can be applied consistently across the aerodrome.</p> <p>The just culture policy and principles are understandable and clearly visible (or reachable).</p> <p>Decision-making process related to the implementation of the just culture is</p>	<p>There is evidence of the just culture policy and supporting principles being applied and promoted to staff.</p>	<p>The just culture policy is applied in a fair and consistent manner and people trust the policy.</p> <p>There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff representatives.</p>

		designed according to the size of the aerodrome (e.g. involvement of staff representatives, staff committee, Unions, etc.)		
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1.1.6 Safety objectives (Annex 19 Appendix 2 1.1.2, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
		1.1.6	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the aerodrome.		
Evaluation (for aerodrome operator use)	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Assess whether the safety objectives are appropriate, relevant and in line with safety policy.
- Through the safety performance measurement and monitoring, check whether the safety objectives are being measured to monitor achievement through qualitative and quantitative means, such as SMART SPIs and SPTs. Check whether the safety objectives, as a minimum, target 'continuous improvement'.
- Check the minutes of the Safety Review Board (or equivalent) how the safety objectives are monitored.
- Safety objectives are defined that will lead to an improvement in processes, outcomes, and the development of a positive safety culture.
- Assess how safety objectives are communicated throughout the aerodrome. Check how these safety objectives as well as their associated metrics are visible (or reachable) to all staff involved in safety activities.
- Assess if the safety objectives have considered relevant documentation such as Industry sector risk profiles, State risk profiles, State safety objectives in the SSP and/or the NASP.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>Safety objectives that have been established are consistent with the safety policy and are communicated throughout the aerodrome. Associated qualitative and quantitative measures are in place.</p>	<p>Safety objectives are relevant to the aerodrome and its activities. Safety objectives are understandable and clearly visible. Safety objectives are aligned with the SSP and/or the NASP, when appropriate.</p>	<p>Safety objectives are being measured and regularly reviewed, are relevant and are communicated throughout the aerodrome. They are monitored through the Safety Review Board (or equivalent) and adjusted, when needed.</p>	<p>Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met. Safety objectives are not only aligned with the SSP and/or the NASP, but they are also compared with those of the risk profile sector. They are updated based on the latest relevant safety information available.</p>

				<p>The aerodrome is sometimes involved in the elaboration of the SSP and/or the NASP.</p> <p>Continuous improvement of safety is effectively measured.</p>
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**For CAA use only**

Summary Assessment on 1.1 'Management Commitment'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
<p>Remarks:</p>				

1.2 Safety Accountability and Responsibilities (Annex 19 Appendix 2 1.2)

1.2.1 Identification of the Accountable Executive (Annex 19 Appendix 2 1.2 a), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
		1.2.1	An accountable executive has been appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively.		
Evaluation (for aerodrome operator use)	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Evidence that the accountable executive has the authority to provide sufficient resources for relevant safety improvements.
- Evidence that the accountable executive is fully aware of his/her SMS roles and responsibilities.
- Evidence of decision making on risk acceptability.
- Review SMS activities are being carried out in a timely manner and the SMS is sufficiently resourced.
- Evidence of activities being stopped due to unacceptable level of safety risk.
- Look for evidence that accountable executive actions are consistent with the active promotion of a positive safety culture within the aerodrome.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>An accountable executive has been appointed with full responsibility and ultimate accountability for the SMS.</p>	<p>The accountable executive has control of resources.</p>	<p>The accountable executive ensures that the SMS is properly resourced, implemented and maintained and has the authority to stop the operation if there is an unacceptable level of safety risk.</p> <p>The accountable executive is fully aware of his/her SMS roles and responsibilities.</p> <p>The accountable executive is accessible to the staff in the aerodrome.</p>	<p>The accountable executive ensures that the performance of the SMS is being monitored, reviewed and improved. Beyond his/her SMS roles and responsibilities, the accountable executive continuously promotes the safety policy, safety standards, and safety culture of the aerodrome.</p>

1.2.2 Safety accountabilities, responsibilities, and authorities (Annex 19 Appendix 2 1.2 b) to e), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.2.2 Safety accountabilities, responsibilities, and authorities are defined and documented throughout the aerodrome and staff understand their own responsibilities.				
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Question managers and staff regarding their roles and responsibilities.
- Confirm senior managers are aware of the aerodrome’s safety performance, its most significant risks, and its safety objectives.
- Evidence of managers having safety related performance targets.
- Look for active participation of the management team in the SMS.
- Evidence of appropriate risk mitigation, action, and ownership.
- The levels of management authorised to make decisions on risk acceptance are defined and applied.
- Acceptance of risk is aligned with authorisations.
- Check for any conflicts of interest and that they have been identified and managed.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
The safety accountability, responsibilities, and authorities are clearly defined and documented.	Key safety roles have been identified for safety accountability, responsibilities, and authorities (for example, through job descriptions, job family descriptions, or organisational charts).	Individuals have been identified to fill key safety roles, and they are aware of and fulfil their safety accountabilities, responsibilities, and authorities, and are encouraged to contribute to the SMS.	The accountable executive and the senior management team are aware of the substantive/significant risks faced by the aerodrome, and safety management system principles exist throughout the aerodrome so that safety is given the highest priority.

For CAA use only

Summary Assessment on 1.2 'Safety Accountability and Responsibilities'

Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
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Remarks:

1.3 Appointment of key safety personnel (Annex 19 Appendix 2 1.3)

1.3.1 Identification of the Safety Manager (Annex 19 Appendix 2 1.3, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.3.1 A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the accountable executive.				
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

## What to look for

- Check the availability of the safety manager (and supporting staff, if appropriate) to allocate sufficient time to the implementation and maintenance of the SMS
- Check for any conflicts of interest and that they have been identified and managed.
- Consider whether the responsibilities for the implementation and maintenance of the SMS should be given to a full-time person or to a safety manager supported by a team, enough empowered to advocate safety in case of conflict of interest (e.g. avoiding a person having functional activities both in production and surveillance);
- Review safety manager role including credibility, competence, and status.
- Review the training that the safety manager has received.
- Evidence of maintained competency.
- The safety manager has an appropriate level of knowledge and understanding of human factors.
- Review how the safety manager gets access to internal and external safety information.
- Review how the safety manager communicates and engages with operational staff and senior management.
- Review the safety manager's workload/allocated time to fulfil role.
- Check there are sufficient resources for SMS activities in a timely manner such as safety investigation and surveys, analysis, assessing, safety meeting attendance, SMS implementation's coherence (notably for the assessment of risks and the mitigation measures), periodic reports on safety performance, communication processes including identification and dissemination of safety related information (internally and externally), and safety promotion.
- Check the need for Safety Action Group(s) to assist or act on behalf of the safety manager or the safety committee.
- Review of safety report action and closure timescales.
- Review staffing and competence levels for those involved in SMS activities;
- Interviews with the accountable executive and the safety manager.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>A safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line with the accountable executive.</p>	<p>The safety manager is competent. Sufficient time and resources are allocated to maintain the SMS, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion.</p> <p><i>See Annex 19 Appendix 2 1.3 Note: Depending on the size of the service provider and the complexity of its aviation products or services, the responsibilities for the implementation and maintenance of the SMS may be assigned to one or more persons, fulfilling the role of safety manager, as their sole function or combined with other duties, provided these do not result in any conflicts of interest.</i></p>	<p>The safety manager has implemented and is maintaining the SMS. The safety manager is in regular communication with the accountable executive and escalates safety issues when appropriate. The safety manager is accessible to staff in the aerodrome.</p>	<p>The safety manager is competent in managing the SMS and identifying improvements in a timely manner. There is an established reporting scheme between the accountable executive and the safety manager to timely and regularly report on the safety issues.</p>

1.3.2 Establishment of the safety committee (Annex 19 Appendix 2 1.3, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.3.2 The aerodrome has established appropriate safety committee(s), which includes the accountable executive and the heads of functional areas, to discuss and address safety risks and compliance issues.				
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Review safety committee and meeting structure and Terms of Reference for each committee/meeting.
- Review meeting attendance levels.
- Review meeting records and actions.
- Check that outcomes are communicated to the rest of the aerodrome.
- Evidence of safety objectives, safety performance, and compliance are being reviewed and discussed at meetings.
- Participants challenge what is being presented when there is limited evidence.
- Senior management are aware of the most significant risks faced by the aerodrome and the overall safety performance of the aerodrome.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>The aerodrome has established appropriate safety committees(s).</p>	<p>Safety committee(s)' structure and frequency support the SMS functions across the aerodrome.</p> <p>The scope of the safety committee(s) includes safety risks and compliance issues.</p> <p>The attendance of the highest-level safety committee includes at least the accountable executive and the heads of functional areas.</p>	<p>There is evidence of meetings taking place detailing the attendance, discussions, and actions.</p> <p>The safety committee(s) monitor the effectiveness of the SMS and compliance monitoring function by reviewing there are sufficient resources.</p> <p>Actions are being monitored.</p>	<p>Safety committees include key stakeholders. The outcomes of the meetings are documented and communicated, and all actions are agreed, taken and followed up in a timely manner. The safety performance and safety objectives are reviewed and actioned as appropriate.</p>

			SPIs and qualitative means have been established to measure and monitor the established safety objectives	
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**For CAA use only**

Summary Assessment on 1.3 'Appointment of key safety personnel'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

**1.4 Coordination of aerodrome emergency plan** (Annex 14 9.1 and Annex 19 Appendix 2 1.4) *(cross references to aerodrome manual/aerodrome emergency plan and aerodrome internal audit report)*

**1.4.1 Aerodrome emergency planning** (Annex 14 9.1.1 to 9.1.3, 9.1.6 and 9.1.14, and Annex 19 Appendix 2 1.4, *[Add national regulation(s)]*)

		Indicator of compliance and performance			
		P	S	O	E
Evaluation (for aerodrome operator use)	1.4.1	An appropriate aerodrome emergency plan, which defines the procedures, roles, responsibilities, and actions of all existing agencies (both on and off the aerodrome) and key personnel, commensurate with the aircraft operations and other activities conducted at the aerodrome, has been established and distributed.			
	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

Note: cross references to CAA audit report for initial certification/ continued surveillance

What to look for

Guidance

- Review the aerodrome emergency plan and how the procedures, roles, responsibilities, and actions of the all existing agencies (both on and off the aerodrome) are defined.
- Review how coordination with all existing agencies (both on and off the aerodrome) is planned.
- Review how the aerodrome emergency plan is distributed and where copies are held.
- Review when and how the aerodrome emergency plan was last reviewed, as well as any actions taken as a result.
- Interview key personnel and check they have access to the relevant parts of the aerodrome emergency plan.
- Check that different types of foreseeable emergencies have been considered.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
An appropriate aerodrome emergency plan has been developed and distributed.	The aerodrome emergency plan defines the procedures, roles, responsibilities, and actions of all existing agencies (both on and off the aerodrome) and key personnel, commensurate with the aircraft operations and other activities conducted at the aerodrome. The appropriate coordination of all existing agencies which, in the opinion	The aerodrome emergency plan is reviewed to make sure it remains up to date. Changes to the aerodrome emergency plan are communicated. There is evidence of coordination (such as meetings, communication, trainings, etc.) with all existing agencies as appropriate.	The results of the aerodrome emergency plan review are assessed and actioned to improve its effectiveness. There is evidence of coordination with all existing agencies, which are analysed for further improvement.

	<p>of the appropriate authority, could be of assistance in responding to an emergency occurring at an aerodrome or in its vicinity is defined with appropriate means.</p> <p>Key personnel have easy access to the relevant parts of the aerodrome emergency plan at all times.</p>		
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1.4.2 Aerodrome emergency exercise (Annex 14 9.1.12 to 9.1.13 and Annex 19 Appendix 2 1.4, [Add national regulation(s)])

		Indicator of compliance and performance				P	S	O	E
Evaluation (for aerodrome operator use)	1.4.2	The aerodrome emergency plan is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.							
	How it is achieved (including relevant evidences)								
	Comments								

**For CAA use only**

Verification of the evaluation result		Remarks
Present (P)		
Suitable (S)		
Operating (O)		
Effective (E)		
<b>Note:</b> cross references to CAA audit report for initial certification/ continued surveillance		

What to look for				
<b>Guidance</b>	<ul style="list-style-type: none"> <li>- Check how the frequency and methods for testing the aerodrome emergency plan are defined.</li> <li>- Review when and how the aerodrome emergency plan was last tested, as well as any actions taken as a result.</li> <li>- Verify that variations of the different scenarios are regularly considered to test the robustness of the aerodrome emergency plan.</li> </ul>			
	Present [1]	Suitable [2]	Operating [3]	Effective [4]
	The procedures for periodic testing of the adequacy of the aerodrome emergency plan and for reviewing the results in order to improve its effectiveness are defined.	The frequency and methods for testing the aerodrome emergency plan are defined in accordance with <i>[national]</i> regulations.	The aerodrome emergency plan is tested as defined frequency and methods. Different scenarios with variations test the robustness of the aerodrome emergency plan. There is evidence of reviewing the results of the aerodrome emergency	The results of the aerodrome emergency plan testing are assessed and actioned to improve its effectiveness.

			plan exercise with all agencies involved.	
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**For CAA use only**

Summary Assessment on 1.4 'Coordination of aerodrome emergency plan'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

1.5 SMS documentation (Annex 19 Appendix 2 1.5)

1.5.1 SMS Manual (Annex 19 Appendix 2 1.5.1, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	1.5.1 The SMS manual, which describes the safety policy and objectives, SMS requirements, SMS processes and procedures, as well as accountability, responsibilities, and authorities for SMS processes and procedures, has been developed and maintained, and it is readily available to all staff.				
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

Guidance

What to look for

- Review how safety policies, processes and procedures are documented and amended.
- The SMS manual includes a system description including SMS interfaces.
- Check for easy access to the SMS Manual.
- Check the manner and format of the SMS manual.
- Check for cross references to other documents and procedures.
- Check availability of SMS manual to all staff.
- Check if staff knows who to contact (when needed) or where to find safety related documentation including procedures appropriate to their role.
- Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments, etc.).

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>The SMS documentation includes the policies and processes that describe the aerodrome's SMS and processes.</p>	<p>The scope of the activities under the SMS is clearly defined. SMS documentation is comprehensible. SMS documentation is consistent with other internal management systems and is representative of the actual processes in place. The manner and format of the SMS documentation is appropriate to the aerodrome and readily available to all relevant personnel.</p>	<p>Changes to the SMS documentation are managed. Key personnel involved in SMS implementation is familiar with and follows the relevant parts of the SMS documentation, whereas employees are familiar with the content of the SMS documentation relevant to their activities</p>	<p>SMS documentation is proactively reviewed for continuous improvement.</p>

	<p><i>See Annex 19 Appendix 2 Note: Depending on the size of the service provider and the complexity of its aviation products or services, the SMS manual and SMS operational records may be in the form of stand-alone documents or may be integrated with other organisational documents (or documentation) maintained by the service provider.</i></p>		
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1.5.2 SMS operational records (Annex 19 Appendix 2 1.5.2, [Add national regulation(s)])

		Indicator of compliance and performance			
		P	S	O	E
Evaluation (for aerodrome operator)	1.5.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.			
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for				
<b>Guidance</b>	<ul style="list-style-type: none"> <li>- Check how safety records are stored and version controlled.</li> <li>- Data protection and confidentiality rules have been defined and are consistently applied.</li> <li>- Check if appropriate staff is aware of the records control processes and procedures.</li> <li>- Check that the SMS records include the decisions taken during the Safety Review Board (or any other high-level safety committee) are supported by evidence.</li> </ul>			
	Present [1]	Suitable [2]	Operating [3]	Effective [4]
	The SMS documentation defines the SMS outputs and which records of SMS activities will be stored. Records to be stored, storage period, and location are identified.	Data protection and confidentiality rules have been defined.	SMS activities are appropriately stored and found to be complete and consistent with appropriate data protection and confidentiality control rules.	SMS records are routinely used as inputs for safety management related tasks and continuous improvement of the SMS.

				SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.
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Summary Assessment on 1.5 'SMS documentation'

Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
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Remarks:

- 2 Safety Risk Management (Annex 19 Appendix 2 2.)
  - 2.1 Hazard Identification (Annex 19 Appendix 2 2.1)
    - 2.1.1 Safety Occurrence Reporting (Annex 19 Appendix 2 1.1.1 c), [Add national regulation(s)]

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	2.1.1 There is a confidential reporting system in place to capture mandatory occurrences and voluntary reports that is simple to use and accessible to all staff working at the aerodrome. It also provides appropriate feedback to the reporter, and, where appropriate, to other aerodrome personnel and aerodrome users.				
	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result		Remarks
Present (P)		
Suitable (S)		
Operating (O)		
Effective (E)		

What to look for

Guidance

- Review the reporting system for access and ease of use [appropriateness of the reporting systems]. Depending on the size and complexity, the appropriateness of the reporting system can range from simple secured boxes to a digital system, including Apps to install on mobile devices.
- Check if staff trusts the reporting system, are familiar with it and know what should be reported.
- Check relevant staff are aware of which occurrences should be mandatory.
- Evidence that people do not fear to report in respect of the internal safety reporting scheme.
- Review reporting timescales.
- Review how data protection and confidentiality is achieved.
- Evidence of feedback to reporter (or a feedback loop addressing the aggregation of reports with their analysis, depending on the volume of occurrences)
- Assess volume and quality of reports including self-reporting.
- Review report closure rates.
- Check availability to contracted organisations and other organisations to make reports.
- Confirm responsibilities with regards to occurrence analysis, storage and follow-up are clearly defined.
- Assess how the operational managers and the senior management engage with the outputs of the reporting system.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database.	The reporting system is accessible and easy to use for the personnel involved in the safety activities of the aerodrome. There is an appropriate means to capture issues from contracted	The reporting system is being used by all personnel. There is feedback to the reporter of any actions taken (or not taken), where	There is a healthy reporting system based on the pertinence of reports received. Safety reports are acted on in a timely manner.

	<p>The process identifies how reports are actioned and timescales specified.</p>	<p>organisations and other organisations operating on the aerodrome. Data protection and confidentiality is ensured.</p>	<p>appropriate, and to the rest of the aerodrome. Reports are evaluated, processed, analysed, and stored. People are aware and fulfil their responsibilities in respect of the reporting system Reports are processed within the defined timescales.</p>	<p>Personnel express confidence and trust in the aerodrome's reporting policy and process. The reporting system is being used to influence management decisions and continuous improvement of the aerodrome performance.</p>
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2.1.2 Safety Investigation (Annex 19 Appendix 2 2.1.1, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	2.1.2 Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).				
	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result		Remarks
Present (P)		
Suitable (S)		
Operating (O)		
Effective (E)		

What to look for	
<b>Guidance</b>	<ul style="list-style-type: none"> <li>- Review methods for carrying out investigations.</li> <li>- Sample recent investigations.</li> <li>- Safety investigations are carried out to identify root causes (why it happened, not just what happened). Check for evidence of root cause analysis and assess the quality of the analysis.</li> <li>- Evidence of rectification action.</li> <li>- Investigations of safety occurrences establish causal/contributing factors and identify human and organisational contributing factors.</li> <li>- Check the training of the staff carrying out the investigations. Investigators should be trained in human factors (HF) and investigation techniques.</li> </ul>

	Present [1]	Suitable [2]	Operating [3]	Effective [4]
	The methodology to define the criteria for safety investigations is documented.	The level of sign-off for safety investigations is defined and adequate to the level of risk.	The criteria for safety investigations are identified and applied. Safety investigations are carried out and recorded by appropriately trained personnel to identify root causes (why it happened, not just what happened).	The criteria for safety investigations are continuously updated to include internal and external sources as required. Safety investigations identify causal/contributing factors that are acted upon.

2.1.3 Identification of hazards (Annex 19 Appendix 2 2.1, [Add national regulation(s)])

		Indicator of compliance and performance	P	S	O	E
Evaluation (for aerodrome operator use)	2.1.3 (1)	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).				
	How it is achieved (including relevant evidences)					
	Comments					

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	2.1.3 (2) There is a process in place to analyze safety data and safety information to look for trends and gain useable management information.				
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result		Remarks
Present (P)		
Suitable (S)		
Operating (O)		
Effective (E)		

		What to look for			
Guidance		<ul style="list-style-type: none"> <li>- Review how hazards are identified, analysed, addressed, and recorded.</li> <li>- Consider hazards related to:                             <ul style="list-style-type: none"> <li>o Possible accident or serious incident scenarios</li> <li>o Technical factors as well as human and organisational factors</li> <li>o Business decisions and processes,</li> <li>o Third party organisations.</li> </ul> </li> <li>- Review what internal and external sources of hazards are considered such as: safety reports, audits, safety surveys and/or studies, investigations, inspections, brainstorming, management of change activities, security, cybersecurity, sanitary crisis, environmental, commercial and other external influences, etc.</li> <li>- Assess to which extent the process is not limited to the reactive part (i.e. occurrences) but also considers the proactive approach (as proposed above).</li> <li>- Review structure and layout of hazard log.</li> <li>- Is there a mechanism in place to document the hazard log in a way that enables its evolution over time? Is the hazard log periodically reviewed?</li> <li>- There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.</li> <li>- Data is being analysed and results shared with the safety committee(s).</li> <li>- Evidence of management decisions based on data analysis and reporting system outputs which determines any appropriate, corrective or preventive action required to improve aviation safety.</li> </ul>			
		<b>Present [1]</b>	<b>Suitable [2]</b>	<b>Operating [3]</b>	<b>Effective [4]</b>

<p>There is a process that defines how hazards are identified through reactive and proactive methods, using multiples sources.</p> <p>There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.</p>	<p>Multiple sources of hazards (internal and external) are considered and reviewed, as appropriate.</p> <p>Hazards are documented in an easy-to-understand format.</p> <p>The data analysis process enables gaining useable safety information.</p>	<p>The hazards are identified and documented. Technical, human, and organisational factors related hazards are being considered.</p> <p>Data is being analysed and results shared with the safety committee(s)</p>	<p>There are processes and means that capture hazards (technical, environmental, human, and organisational factors related), which are maintained and reviewed to ensure they remain up to date.</p> <p>The aerodrome is continuously and proactively identifying hazards (technical, environmental, human, and organisational factors related) related to its activities and operational environment and involves all key personnel and relevant stakeholders.</p> <p>Hazards are assessed in a systematic and timely manner.</p> <p>management decisions are made based on the analysis of data and outputs from the reporting system which determines any appropriate, corrective or preventive action required to improve aviation safety.</p>

**For CAA use only**

**Summary Assessment on 2.1 'Hazard Identification'**

Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
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Remarks:

2.2 Safety Risk Assessment and Mitigation (Annex 19 Appendix 2 2.2)

2.2.1 The analysis and assessment of safety risk (Annex 19 Appendix 2 2.2, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	2.2.1 (1) There is a process for the management of risk that includes the analysis and assessment of risk associated with identified hazards expressed in terms of likelihood and severity (or alternative methodology).				
	How it is achieved (including relevant evidences)				
	Comments				

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator)	2.2.1 (2) There are criteria for evaluating the level of risk the aerodrome is willing to accept and risk assessments and ratings are appropriately justified.				
	How it is achieved (including relevant evidences)				
	Comments				

Comments

**For CAA use only**

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for	
<b>Guidance</b>	<ul style="list-style-type: none"> <li>- Review risk classification scheme and procedures.</li> <li>- Check the methodology used to assess the risks; how this is documented, accurately defined, and used; check how the staff using that methodology is trained.</li> <li>- Check any assumptions made and whether they are reviewed.</li> <li>- Check that the process defines the level of risk that the aerodrome is willing to accept and who can accept what level of risk.</li> <li>- Severity and likelihood definitions and criteria are sufficiently defined (or that an alternative methodology is described) and adapted to the activities. Severity 'of what' ('possible worst scenario' and consequence) is also described. Differentiation between 'likelihood' and 'frequency' is understood.</li> <li>- Review whether risk assessments are carried out consistently and coherently across the aerodrome (e.g. consideration of various safety perspectives and views to make the relevant decision).</li> </ul>

- Review how issues are classified when there is insufficient quantitative data available. When expert judgement is used, a collaborative risk assessment process is used (e.g. various expert judgement through cross-functional disciplines), taking into account different safety perspectives and views to make the relevant decision, to ensure the reproducibility of the assessment.
- Verify whether the risk assessments are updated when new data from the safety reporting system are available. Review what triggers a risk assessment and its review over time. Check that the risk register is being reviewed and monitored by the appropriate safety committee(s), where appropriate. Verify how experience, feedback and monitoring of recently published safety information serves that regular update.
- Review layout of risk register e.g. initial assessment, residual risk, mitigation actions, ownership, associated safety performance and follow-up.
- Sample identified hazards and how these are processed and documented.
- Check which safety committee(s) or person(s) oversee the 'acceptability'. Check the availability of instructions about implementation of 'As Low As Reasonably Practical' (ALARP). Check the right level of authority for decision-making.
- Evidence of risk reduction, evaluation of residual risk and risk acceptability, when appropriate, being applied in the data-driven decision-making.
- Evidence that risks, including those that are not generated by the aerodrome itself, are analysed and mitigated, without further transfer of risks.
- Check how trends and emerging issues are identified and managed.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>There is a process for the analysis and assessment of safety risks.</p> <p>The level of risk the aerodrome is willing to accept is defined.</p>	<p>The risk assessment methodology, including 'severity' and 'likelihood' usable criteria are defined and fit the aerodrome's actual environment, including consideration to the expert judgement when data are not available.</p> <p>The risk matrix and acceptability criteria are clearly defined and usable.</p>	<p>Risk analysis and assessments are carried out in a consistent manner based on the defined process.</p> <p>The defined risk acceptability is being applied.</p> <p>Understanding of external inputs and outputs of safety risk management that should be addressed.</p>	<p>Risk analysis and assessments are reviewed for consistency and to identify improvements in the processes.</p> <p>Risk assessments are regularly reviewed to ensure they remain current.</p> <p>Risk acceptability criteria are used routinely, consistently applied in</p>

		<p>The used definitions are sufficiently explicit or detailed.</p> <p>For the acceptance of the risk's level, the right level of authority within the aerodrome (responsibilities) in cooperation with the stakeholders is clearly defined.</p>		<p>management decision making processes, and are regularly reviewed.</p>
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2.2.2 Applying risk controls (Annex 19 Appendix 2 2.2, *[Add national regulation(s)]*)

		Indicator of compliance and performance	P	S	O	E
Evaluation (for aerodrome operator use)	2.2.2 (1)	The aerodrome has a process in place to make decisions and apply appropriate and effective risk controls.				
	How it is achieved (including relevant evidences)					
	Comments					

Indicator of compliance and performance		P	S	O	E
		2.2.2 (2)	Senior management have visibility of medium and high-risk hazards and their mitigation and controls.		
Evaluation (for aerodrome operator use)	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

Guidance

What to look for

- Risk controls are clearly identified. Evidence of risk controls being actioned and follow up.
- Evidence of mitigation including ownership and timeline.
- Mitigations are implemented in an appropriate time scale.
- Aggregate risk is being considered.
- Check whether the risk controls have reduced the residual risk.
- Check that new risk controls do not create additional risks.
- Check how the policy considers ALARP – verify the implementation of it.
- Check whether the acceptability of the risks is made at the right management level.
- Operational managers and senior management have visibility of medium and high risk as well as their mitigation and controls.
- Review the use of risk controls that rely solely on human intervention.
- Risk controls consider human performance and organisational factors.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
The aerodrome has a process in place to decide and apply the risk controls.	Responsibilities and timelines for determining and accepting the risk controls are defined. Appropriate risk mitigation strategies and perspectives are considered.	Appropriate risk controls are being applied to reduce the risk to an acceptable level including timelines and allocation of responsibilities agreed with the stakeholders.	Risk controls are practical and sustainable, applied in a timely manner and do not create additional risks. Risk Controls take Human Performance into consideration.

			<p>The aerodrome follows the process in place to make decisions and apply appropriate and effective risk controls. Operational, technical, human and organisational factors are considered as part of the development of risks controls.</p> <p>Senior management is actively involved in medium and high risks and their mitigation and controls.</p>
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**For CAA use only**

Summary Assessment on 2.2 'Safety Risk Assessment and Mitigation'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

3 Safety Assurance (Annex 19 Appendix 2 3.)

3.1 Safety performance monitoring and measurement (Annex 19 Appendix 2 3.1)

3.1.1 The means to verify the safety performance and to validate the effectiveness of safety risk controls (Annex 19 Appendix 2 3.1.1 and Doc 9774 Chapter 3 3D.5, [Add national regulation(s)])

		Indicator of compliance and performance			
		P	S	O	E
Evaluation (for aerodrome operator use)	3.1.1	There is a process in place to measure the safety performance of the aerodrome and to measure the effectiveness of safety risk controls. Note: An internal audit process is one means to monitor compliance with safety regulations, the foundation upon which SMS is built, and assess the effectiveness of these safety risk controls and the SMS			
	How it is achieved (including relevant evidences)				
	Comments				

For CAA use only

Verification of the evaluation result		Remarks
Present (P)		
Suitable (S)		
Operating (O)		
Effective (E)		

What to look for

Guidance

- Check if there is a mechanism in place to ensure that the aerodrome utilises all relevant data feeding sources, to get a true picture of their risks, evaluate its safety performance; and, in time take appropriate actions and check their effectiveness.
- Evidence of responsibilities, methods, and timelines to assess whether the risk controls are applied and effective.
- Evidence of risk controls being assessed and monitored for effectiveness (e.g. audits, surveys, reviews, qualitative and/or quantitative means to measure and monitor safety performance such as SPIs, SPTs, alert levels, wherever appropriate, reporting systems).
- Evidence that the aerodrome's risk assessment processes, including residual risks, are evaluated regularly.
- Safety assurance takes into account activities carried out at the interfaces internally and externally: evidence of risk controls applied by other departments, contracted organisation, or other aerodrome users being assessed and overseen (e.g. quality check, reviews, and regular meetings).
- Information from safety assurance activities feeds back into the safety risk management process.
- Review where risk controls have been changed as a result of the assessment.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>There is a documented process to assess whether the appropriate risk controls are applied and effective.</p> <p>The aerodrome has a documented internal audit programme with a link to a management review process.</p> <p>A person or group of persons with responsibilities for the monitoring function have been identified and they have direct access to the accountable executive.</p>	<p>Responsibilities, methods, and timelines for assessing risk controls are appropriately defined.</p> <p>The internal audit programme covers all applicable regulations and includes details of the schedule of audits.</p> <p>Independence of the internal audit function is achieved.</p> <p>The contribution of contracted organisations should be considered in the safety performance process, considering the potential effect it may have on the safety performance of the aerodrome.</p> <p>Safety assurance takes into account activities carried out at the interfaces internally and externally.</p>	<p>Appropriate risk controls are being verified to assess whether they are applied and effective.</p> <p>The internal audit programme is being followed and regularly reviewed.</p> <p>Internal and external audit results are reported to the accountable executive and senior management.</p> <p>Follow-up of the corrective/preventive actions plan is evidenced and reviewed by the relevant SMS governance body.</p> <p>The status of corrective/preventive actions is regularly communicated to relevant senior management and staff.</p> <p>The interface between internal audits and the safety risk management processes is described and operating.</p>	<p>Appropriate risk controls are assessed, and actions taken to ensure they are effective and delivering a safe service.</p> <p>The reasons for ineffectiveness of risk controls are investigated.</p> <p>The accountable executive and senior management actively seek feedback on the status of internal and external audit activities.</p> <p>Aerodrome personnel are proactively identifying and reporting potential non-compliance.</p> <p>The effectiveness of the SMS processes are reviewed on a regular basis.</p>

3.1.2 Safety Performance Indicators (Annex 19 Appendix 2 3.1.2, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	3.1.2 Safety performance indicators (SPIs) linked to the aerodrome's safety objectives have been defined, promulgated, and are being monitored and analyzed for trends.				
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

Guidance

What to look for

- Evidence that SPIs are based on reliable sources of data.
- Evidence of when SPIs were last reviewed.
- The defined SPIs and targets are appropriate to the aerodrome’s activities, risks, and safety objectives.
- SPIs are focused on what is important rather than what is easy to measure.
- Consideration of any State safety objectives from the SSP/NASP.
- Review whether any action has been taken when an SPI is indicating a negative trend (reflecting a risk control or an inappropriate SPI).
- Evidence that results of safety performance monitoring are discussed at the senior management level.
- Evidence of feedback provided to the accountable executive.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>There is a process in place to measure the safety performance of the aerodrome including SPIs and targets linked to the aerodrome’s safety objectives and to measure the effectiveness of safety risk controls.</p>	<p>SPIs are focused on what is important rather than what is easy to measure. Reliability of data sources is considered in the design of SPIs. SPIs are linked to the identified risks and safety objectives. Frequency and responsibility for the trend monitoring of SPIs are appropriate. Realistic targets have been set, wherever appropriate.</p>	<p>The safety performance of the aerodrome is being measured through meaningful SPIs, which are being continuously monitored and analyzed for trends, wherever appropriate. The result of the trend monitoring of SPIs supports actionable decisions.</p>	<p>SPIs are demonstrating the safety performance of the aerodrome and the effectiveness of risk controls based on reliable data. SPIs are reviewed and regularly updated to ensure they remain relevant. Where the SPIs indicate that a risk control is ineffective, appropriate action is taken.</p>

	State safety objectives from the SSP/NASP are taken into consideration, as applicable.		
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Summary Assessment on 3.1 'Safety performance monitoring and measurement'

Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

**3.2 The management of change** (Annex 19 Appendix 2 3.2 and Doc 9981 PANS – Aerodromes 2.4.4)

**3.2.1 Identification and management of change** (Annex 19 Appendix 2 3.2 and Doc 9981 PANS – Aerodromes 2.4.4, *[Add national regulation(s)]*)

Indicator of compliance and performance		P	S	O	E
		3.2.1	The aerodrome has a procedure to identify whether changes have an impact on safety of the aerodrome operations and to manage any identified risks in accordance with existing safety risk management processes.		
Evaluation (for aerodrome operator use)	How it is achieved (including relevant evidences)				
	Comments				

**For CAA use only**

Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

Guidance

- Key stakeholders are involved in the process. This may include individuals from other departments of the aerodrome and/or external organisations.
- Review what triggers the 'management of changes' process. Consider organisational, financial, commercial factors etc. as well as any other change that may affect safety (e.g. security, cybersecurity, environment, sanitary crisis, sickness, or staff retirement & transfer of knowledge).
- Review recent changes that have been through the risk assessment process.
- Check that change is signed off by an appropriately authorised person.
- Transitional risks are being identified and managed.
- Review follow up actions such as whether any assumptions made have been validated.
- Review whether there is an impact on previous risk assessments and existing hazards.
- Review whether consideration is given to the cumulative effect of multiple changes.
- Review that business-related changes have considered safety risks (organisational restructuring, upsizing, or downsizing, IT projects, etc.).
- Evidence of Human Performance (HP) issues being addressed during changes.
- Assess whether the risk mitigation actions resulting from these changes are evident and consistent with positive performance monitoring trends.
- Review impact of change on training and competencies.
- Review previous changes to confirm they remain under control.
- Consider how the reasons for these changes are communicated and how the changes are planned and communicated to those people affected by the change externally and internally. Consider how stakeholders (other departments, contractors, organisations, and Authorities) affected by the changes are involved in the process.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
The aerodrome has established a change management process to identify whether changes have an	Triggers for the change management process and types of changes that	The aerodrome is using a defined change management process to identify whether substantive changes	The management of change process considers the accumulation or impact of multiple changes, and the change

<p>impact on safety of the aerodrome operations and to manage significant, identified risks in accordance with existing safety risk management processes. Methods, responsibilities, and timelines are defined in the process.</p>	<p>have to be assessed through the safety risk management process are defined. The process also considers business related changes and interfaces with other organisations/departments, having an impact on safety.</p>	<p>have an impact on safety of the aerodrome. Any identified risks are managed in accordance with existing safety risk management processes and are monitored through safety assurance. Internal and external factors such as Technical, Environmental, Human and Organisational related hazards are being considered, as appropriate.</p>	<p>and impact to safety-related functions are communicated with other organisations, including internal and external stakeholders. There is a means to share information with respect to management of change impact with external stakeholders. Safety risks are being managed consistent with the scope and time scale associated with the change. Risk mitigation actions resulting from management of change are part of the safety performance monitoring.</p>
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**For CAA use only**

Summary Assessment on 3.2 'The management of change'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

3.3 Continuous improvement of the SMS (Annex 19 Appendix 2 3.3)

3.3.1 Continuous improvement of the SMS (Annex 19 Appendix 2 3.3, [Add national regulation(s)])

		Indicator of compliance and performance			
		P	S	O	E
Evaluation (for aerodrome operator use)	3.3.1	The aerodrome is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.			
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Review the information and safety data used for management decision making and continuous improvement.
- Evidence of:
  - o Lessons learnt being incorporated into SMS and operational processes;
  - o Best practices being sought and embraced;
  - o Surveys and assessments of organisational culture being carried out and acted upon;
  - o Data being analyzed and results shared with Safety Committees; and
  - o Follow-up actions.
- Information from external occurrences, investigation reports, safety meetings, hazard reports, audits, and safety data analysis all contribute towards continuous improvement of the SMS.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
There is a documented process in place to monitor and review the effectiveness of the SMS using the available data and information.	The SMS is periodically reviewed, and the review is supported by safety information and safety assurance activities. Senior management and different departments are involved. The decision-making is data informed. External information is considered in addition to internal information.	There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken. The SMS is being periodically reviewed by the senior management team to support the assessment of its effectiveness and that appropriate actions are being taken.	The assessment of SMS effectiveness uses multiple sources of information including the safety data analysis that supports decisions for continuous improvements. The measurement of the aerodrome's safety performance addresses the continuous improvement of the SMS in a proactive manner, as well as the

			The aerodrome is using SMS and safety data to develop and assess effectiveness of the SPIs to enhance safety and continuous improvement of SMS processes.	safety objectives, which are regularly updated.
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Summary Assessment on 3.3 'Continuous improvement of the SMS'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

- 4 Safety Promotion (Annex 19 Appendix 2 4.)
- 4.1 Training and education (Annex 19 Appendix 2 4.1)
- 4.1.1 Safety training programme (Annex 19 Appendix 2 4.1.1, [Add national regulation(s)])

		Indicator of compliance and performance			
		P	S	O	E
Evaluation (for aerodrome operator use)	4.1.1	There is a training programme for SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the aerodrome's SMS operates.			
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

Guidance

- Review the SMS training programme including course content and delivery method.
- Check that the training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the aerodrome’s SMS operates.
- Ask staff when they last received SMS training and what they remember from it.
- Check training records against the training programme.
- Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations, etc.
- Review how training is assessed for new staff and changes in position.
- Check whether there is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training. How the effectiveness of the training is rated?
- Review any training evaluation.
- Check that the training includes human and organisational factors.
- Ask staff about their own understanding of their role in the aerodrome’s SMS and their safety duties.
- Check that all staff are briefed on compliance.

Present [1]	Suitable [2]	Operating [3]	Effective [4]
<p>There is a training programme for SMS in place that includes initial and recurrent training.</p> <p>There is a process in place to measure the effectiveness of training and to take</p>	<p>The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the aerodrome’s SMS operates.</p>	<p>The SMS training programme is delivering appropriate training to the different staff in the aerodrome and is being delivered by competent personnel.</p>	<p>SMS training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests) and is linked to the competency assessment.</p>

	appropriate action to improve subsequent training.	Training material and methodology are adapted to the audience and include human performance when relevant. All staff requiring training are identified.	There is evidence of measuring the effectiveness of training and taking appropriate action to improve subsequent training.	Training is routinely reviewed to take into consideration feedback from different sources.
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4.1.2 Competence (Annex 19 Appendix 2 4.1.1, [Add national regulation(s)])

		Indicator of compliance and performance			
		P	S	O	E
Evaluation (for aerodrome operator use)	4.1.2 (1)	There is a process that individually evaluates the competence of all aerodrome operations personnel related to their SMS responsibilities and takes appropriate remedial action when necessary.			
		How it is achieved (including relevant evidences)			
		Comments			

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	4.1.2 (2) The competence of SMS instructors/trainers is defined and assessed and appropriate remedial action taken when necessary.				
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

- Review how is competence assessment carried out on initial recruitment and recurrently.
- Is there a process that evaluates the individual's SMS competence and takes appropriate remedial action when necessary? Does it consider 'human performance'?
- Check whether the competence assessment includes competence assessment safety duties and responsibilities, as well as compliance management.
- Is the competence of trainers defined and assessed?
- Are appropriate remedial actions taken when necessary?

Present [1]	Suitable [2]	Operating [3]	Effective [4]
A competency framework is defined for the staff having an impact on safety, including trainers.	There is a process in place to periodically assess the actual safety competency of personnel against the framework.	There is evidence of the competency assessment process being used and being recorded.	The competence assessment programme and process are routinely reviewed and improved. The competence assessment takes appropriate remedial action when necessary and feeds into the training programme.

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Summary Assessment on 4.1 'Training and education'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

4.2 Safety communication (Annex 19 Appendix 2 4.2)

4.2.1 Safety Communication (Annex 19 Appendix 2 4.2, [Add national regulation(s)])

Indicator of compliance and performance		P	S	O	E
		4.2.1	There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the aerodrome to all personnel, as relevant. This includes contracted organisations and personnel where appropriate.		
Evaluation (for aerodrome operator use)	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

Guidance

- Review the sources of information used for safety communication.
- Review the methods used to communicate safety information e.g., meetings, presentations, briefings, videos, emails, websites, newsletters, leaflets, bulletins, posters etc.
- Assess whether the means of communication is appropriate, based on the aerodrome’s structure and the audience. The communication should be simple and concise so that it is easily understood.
- Is the means for safety communication being reviewed for effectiveness and material used to update relevant training?
- Check that lessons learned, significant events, changes and investigation outcomes are being communicated.
- Check that a positive safety culture is regularly promoted, enhancing ‘reporting culture’ (where, how, when etc.) and the principles of ‘just culture’.
- Check accessibility to safety information.
- Ask staff about any recent safety communication.
- Review whether information from occurrences is timely communicated to key stakeholders (internal and external) and whether it has been appropriately dis-identified.
- Does the aerodrome extend safety communication, as appropriate, to external key stakeholders?
- Check whether the staff know where to find the safety objectives and associated safety performance monitoring? Check whether the staff know the safety objectives in their domain of competence? Does the aerodrome communicate the status of safety objectives’ achievement or monitoring?

Present [1]	Suitable [2]	Operating [3]	Effective [4]
There is a process to communicate safety critical information.	The process determined what, when, and how safety information needs to be communicated. The process includes contracted organisations and personnel, where appropriate.	Safety critical information is being identified and communicated throughout the aerodrome to all personnel, as relevant, including contracted organisations and personnel where appropriate.	The aerodrome analyses and communicates safety critical information effectively through a variety of blended methods, as appropriate, to maximise it being understood.

		<p>The means of communication are adapted to:</p> <ul style="list-style-type: none"> <li>• The size and complexity of the aerodrome;</li> <li>• the audience and the significance of what is being communicated.</li> </ul>		<p>Safety communication is assessed to determine how it is being used and understood, and to improve it where appropriate.</p> <p>The promotion of the safety policy and its positive safety culture is visible. Decision making, actions, and communication reflect a positive safety culture and safety leadership demonstrating commitment to the safety policy.</p>
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Summary Assessment on 4.2 'Safety communication'				
Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
Remarks:				

- 5 **Interface Management** (Annex 19 Appendix 2 Note 2, Doc 9774 Chapter 3 3D.4.2 and Doc 9981 Pars – Aerodromes 2.4.2)
- 5.1 Interface Management (Annex 19 Appendix 2 Note 2, Doc 9774 Chapter 3 3D.4.2 and Doc 9981 Pars – Aerodromes 2.4.2)
- 5.1.1 Identification and Management of Internal and External Interfaces (Annex 19 Appendix 2 Note 2, Doc 9774 Chapter 3 3D.4.2 and Doc 9981 Pars – Aerodromes 2.4.2, *[Add national regulation(s)]*)

Indicator of compliance and performance		P	S	O	E
Evaluation (for aerodrome operator use)	5.1 The aerodrome has identified and documented the relevant internal interfaces (within other departments) and external interfaces (contracted organisations and all users of the aerodrome, including fixed-base operators, ground handling agencies and other organisations that perform activities independently at the aerodrome in relation to flight or aircraft handling) and the critical nature of such interfaces.				
	How it is achieved (including relevant evidences)				
	Comments				

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Verification of the evaluation result	Remarks
Present (P)	
Suitable (S)	
Operating (O)	
Effective (E)	

What to look for

Guidance

- Review how interfaces internally (with other departments) and externally (e.g. contracted organisations and all users of the aerodrome, including fixed-base operators, ground handling agencies and other organisations that perform activities independently at the aerodrome in relation to flight or aircraft handling) have been identified and documented. Review the system description of the interfaces, should it be documented in the SMS manual or any other equivalent document.
- Evidence that:
  - o Safety critical issues, areas and associated hazards are identified;
  - o Safety occurrences are being reported and addressed;
  - o Risk controls actions are applied and regularly reviewed;
  - o Interfaces are reviewed periodically.
- The aerodrome's SMS covers hazard identification for the external services, activities and internal interfaces.
- Training and safety promotion sessions are organised with relevant external organisations.
- External organisations participate in SMS activities and share safety information.
- Review how positive safety culture is promoted at the interfaces.
- The aerodrome's occurrences reporting system needs to extend to the external organisations, wherever appropriate.
- Management of changes impacting safety are appropriately addressed through the contracts.

<b>Present [1]</b>	<b>Suitable [2]</b>	<b>Operating [3]</b>	<b>Effective [4]</b>
<p>The aerodrome has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.</p>	<p>The way the interfaces are managed is appropriate to the criticality in terms of safety.</p> <p>The means for communicating safety information is defined.</p> <p>The contracts adequately addressed the safety critical nature of the interfaces and the need to appropriately feed the Hazard Identification and Risk Assessment (HIRA), including the risk mitigations.</p>	<p>The aerodrome is managing the interfaces through hazard identification and risk management. There is assurance activity to assess risk mitigations being delivered by external organisations.</p>	<p>The aerodrome has a good understanding of interface management and there is evidence that the safety critical nature of the interface risks is being identified and acted upon.</p> <p>Interfacing organisations are sharing safety information, management of changes and take actions when needed.</p> <p>Evidence shows that a positive safety culture is promoted with interfacing organisations.</p>

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Summary Assessment on 5.1 'Interface Management'

Initiating	Present and Suitable	Operating	Effectiveness Achieved	Excellence
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Remarks:

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