Appendix 8 to Chapter 3

AIRCRAFT OPERATIONS DIVISION
CAA OF LATVIA

SAFETY MANAGEMENT SYSTEMS
IMPLEMENTATION EVALUATION GUIDE

PROCEDURES SPECIFICATIONS
PS 024

AIR OPERATOR CERTIFICATION

APPENDIX
IMPLEMENTATION EVALUATION FOR SAFETY MANAGEMENT SYSTEMS

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APP 3.8-1
IMPLEMENTATION EVALUATION FOR SAFETY MANAGEMENT SYSTEMS

1. Background

1.1 This implementation evaluation guide has been developed to assist the implementation of Safety Management System (SMS). It is recognized that, at this time, EASA is creating a safety program at Community level specified in a clearly identifiable way the acceptable level of safety and containing a description of the EASA system and complemented by EASA and national programs describing their organization and means to implement the EASA system. Therefore, the initial evaluation of an operator would be against generally accepted SMS concepts and components. This guide will offer information on the process for evaluation of a Safety Management System and provide checklists to assist the evaluation on the safety systems presently in place. It will also identify those components of an SMS that will need to be developed by an air operator.

1.2 Consistent with ICAO Doc. 9859, the EASA system comprises an integrated set of regulations and activities aimed at improving safety:

a. Regulations: The EASA system is built on Regulation (EC) No. 1592/2002, which establishes at Legislative level the safety objectives to be met by means of essential requirements; these requirements have been designed to mitigate any probable risk linked to civil aviation activities within the scope of the EASA system. These mitigating means are further detailed in appropriate implementing regulations, acceptable means of compliance, certification specifications and guidance material.

b. Rulemaking: The Agency is required through the rulemaking process to develop and amend regulations in order to maintain and continuously improve the safety level. It could receive external input from stakeholders as well as data on the aviation system, accidents, incidents and occurrences collected and analyzed by safety analyses and research team of the Agency. This process is supported by safety analysis, research and involvement of the industry through the European Strategic Safety Initiative; ESSI is an aviation safety regulator-industry partnership in Europe, further enhancement of safety is foreseen through analysis of safety data, coordination with safety initiatives worldwide, and the implementation of cost effective action plans.

c. Standardization: The Agency conducts standardization inspections of National Aviation Authorities in the domains of the implementing rules that are within the remit of the Agency, to provide for an effective and harmonized implementation of the EASA regulations.

d. Certification and oversight: Competent authorities, including the Agency itself and National Aviation Authorities must ensure continued compliance with the regulations through initial compliance check with the certification requirements and continuous oversight checking.

1.3 The acceptable level of safety is a political decision to be taken by the legislator. The definition of quantified key performance indicators, and targets to be met, although complicated is not an impossible task. However, it is doubtful indeed that legislators will accept such quantification because as long as the rate would be respected, some could
argue that there is no need for action even with accidents occurring. Such is the reason why, as explained here above, the Community legislator has decided to set its objectives by adopting essential requirements as an integral part of the Basic Regulation. When doing so the legislator had in mind a broad objective that could be summarized in few words, such:

- One accident involving public is an accident too much, or
- Reduce the rate of accidents and the fatality risk, irrespective of the volume of air traffic within Europe, for aviation safety worldwide.

1.4 Full compliance will be assured when the EASA system is extended to cover air operations and the necessary implementing rules, including the implementing rules on SMS, are be in place; this is planned to happen in due time to meet the ICAO implementation date of 1 January 2009.
Safety Management Systems Framework

The SMS framework that is outlined below in Table A is in accordance with Appendix 6 - Framework for safety management systems (SMS) to ICAO Annex 6. It contains all the essential components of an SMS program and can be adapted for use taking in consideration variations in regulatory requirements, culture and operating environment. The framework lists four phases for the implementation of SMS, outlining the main components and corresponding elements.

Table A - SMS Framework

<table>
<thead>
<tr>
<th>Component</th>
<th>Element</th>
<th>Phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety Management System</td>
<td>Compliance document, Gap analysis, SMS implementation plan</td>
<td>1</td>
</tr>
<tr>
<td>1. Safety policy and objectives</td>
<td>1.1 Management commitment and responsibility</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>1.2 Safety accountabilities of managers</td>
<td>1</td>
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<tr>
<td></td>
<td>1.3 Appointment of key safety personnel</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>1.4 SMS implementation plan</td>
<td>1,2,3</td>
</tr>
<tr>
<td></td>
<td>1.5 Coordination of emergency response planning</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>1.6 Documentation</td>
<td>1,2,3</td>
</tr>
<tr>
<td>2. Safety risk management</td>
<td>2.1 Hazard identification process</td>
<td>2,3</td>
</tr>
<tr>
<td></td>
<td>2.2 Risk assessment and mitigation process</td>
<td>2,3</td>
</tr>
<tr>
<td>3. Safety assurance</td>
<td>3.1 Safety performance monitoring and measurement</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>3.2 The management of change</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>3.3 Continues improvement of change</td>
<td>2</td>
</tr>
<tr>
<td>4. Safety promotion</td>
<td>4.1 Training and education</td>
<td>2,3</td>
</tr>
<tr>
<td></td>
<td>4.2 Safety communication</td>
<td>1</td>
</tr>
</tbody>
</table>

2. Implementation of SMS in a Phased Approach

2.1 Previous experience with SMS implementation activities has demonstrated that cultural as well as organizational change is required to successfully implement a SMS. This takes time, resources and experience. As such, organizations are advised to implement SMS in a phased approach. An example of a typical phased approach is as follows:

2.2 Phase 1

During this phase, organizations would identify the responsibility throughout the organization including the Accountable manager. It would also identify the person or planning group within the organization who is responsible for implementing the SMS and will contain a statement committing the organization to implementing that system. Describe the system. Additional aspect of Phase 1 would include:
(a) conduct a gap analysis of the operator’s existing systems compared to SMS requirements;
(b) Develop a SMS implementation plan that clearly demonstrates how the operator will implement its SMS based on the results of the gap analysis;
(c) Develop documentation relevant to safety policy and objectives; and
(d) Develop and establish means for safety communication.

The SMS implementation plan should be jointly agreed to between CAA and the operator. To be effective, the project plan will include milestones for critical items such as dates for development and submission of policies and procedures, training of staff and review by the CAA. These milestone dates are important, as CAA will use them to plan their implementation responsibilities and commitments. It is acknowledged that SMS implementation plan will require some flexibility, and both the CAA and the air operator must agree to any changes provided they do not extend beyond the target date related to any phase.

The compliance document, analysis and SMS implementation plan should be completed and submitted to the CAA as a package. The CAA reviews the submission and its endorsement of the compliance document indicates that the SMS implementation plan was reviewed and agreed to.

2.3 Phase 2

During this phase, the air operator must demonstrate to the satisfaction of the CAA that he puts into practice those elements of the SMS implementation plan that refer to:

(a) Safety risk management component:
   - **Reactive processes**;
   - Investigation and analysis;
   - Hazard identification and risk management;

(b) Training relevant to:
   - The SMS implementation plan components;
   - The Safety risk management component (Reactive processes); and

(c) Documentation relevant to:
   - The SMS implementation plan components;
   - The Safety risk management component (Reactive processes).

2.4 Phase 3

During this phase, the air operator must demonstrate to the satisfaction of the CAA that he puts into practice those elements of the SMS implementation plan that refer to:

(a) Safety risk management component:
   - **Proactive and predictive processes**;
• Investigation and analysis;
• Hazard identification and risk management;

(b) Training relevant to proactive and predictive processes:

• The SMS implementation plan components;
• The Safety risk management component (Reactive processes); and

(c) Documentation relevant to proactive and predictive processes:

• The SMS implementation plan components;
• The Safety risk management component (Reactive processes).

2.5 Phase 4

During this phase, in addition to meeting the requirements of Phases 2 and 3, the air operator must demonstrate to the satisfaction of the CAA that the following components are in place:

(a) Safety Assurance (throughout the airline):
• Development of acceptable level(s) of safety;
• Development of safety indicators and targets;
• SMS continuous improvement.

(b) Emergency Response, and

(c) Training for personnel assigned duties under the SMS that are relevant to the components and elements referred to in (a) and (b).

(d) Documented policies and procedures that are relevant to the SMS components and elements referred to in (a), (b) and (c).

3. Analysis and SMS implementation plan

3.1 Phase one of SMS implementation requires the air operator to conduct a gap analysis of their system(s) to determine which components and elements of a safety management system are currently in place and which components or elements must be added or modified to meet the requirements. The review involves comparing the SMS requirements against the existing systems in the current operation.

3.2 A comprehensive analysis form is included in this guide as Attachment A. An air operator can use this format as a template to conduct its gap analysis. If the analysis indicates that an element is already established, then the air operator can use the more detailed criteria provided in Attachment B to assess the effectiveness of the element.

3.3 Each analysis question is designed for a “yes” or “no” response. If the response is a “yes” answer, it indicates that the organization already meets the criteria for that particular SMS component or element. A “No” answer indicates that a gap exists between the stated criteria and the organization’s policies, procedures or processes. If the response is “yes”, the
next column of the analysis form can be used to indicate where (in company documentation) the requirement is addressed. If the response is “no”, the same column can be used to indicate how and/or where the policy, procedure or process will be further developed to bring the organization into compliance with the requirement.

3.4 Once the gap analysis is complete and fully documented, the items identified as missing or deficient will form the basis of the SMS implementation plan. An air operator may format its SMS implementation plan to suit its needs, however, a spreadsheet format or MS Project type layout is recommended for ease of viewing and tracking. Each item will need to be assessed to determine how the air operator will create or modify policies, procedures or processes to incorporate the required SMS components and elements. Components and elements can be grouped into larger projects and assigned to project manager(s) who will oversee the development and implementation of that project. Each component, element or project should be assigned milestones including a termination date to ensure that completion does not fall outside acceptable time limits.

3.5 Once complete, the compliance document, gap analysis and SMS implementation plan would be submitted to the CAA. These documents will be reviewed in accordance with generally accepted SMS requirements.

3.6 Circumstances that necessitate change(s) to the SMS implementation plan must be communicated as soon as possible to the CAA to gain agreement and ensure timely submission of required material. Periodic progress reporting is a key component of this process.

4. Accountable Manager

4.1 Coincident with the introduction of a safety management system, an air operator shall clearly define lines of safety accountability and responsibility throughout the operator’s organization, including a direct accountability for safety on the part of senior management. The Accountable manager will be an identifiable person within the air operator who will assume responsibility for the organization’s ongoing compliance with SMS requirements. It is important that the correct person is identified as the Accountable manager and that the individual understands and accepts the roles and responsibilities associated with that position.

5. Multiple Certificate Holders

5.1 Organizations holding Air Operator and AMO Certificates may choose to implement a single safety management system. This format is preferable and will allow the safety management system to be designed to accommodate both certificates. This will ensure that the SMS will be a fully integrated system and not separate systems operating independently of each other.

5.2 This is not to imply that the regulatory requirements within each certificate will be combined. Each certificate must continue to comply with its regulatory requirements; however both certificates can be subject to a single SMS.
### Attachment A - Gap analysis Form

<table>
<thead>
<tr>
<th>Safety Management System Requirements</th>
<th>Response (Yes/No)</th>
<th>If yes, state where the requirement is addressed, If no, record SMS processes that need further development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Component 1 - Safety Policy and Objectives</td>
<td></td>
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</tr>
<tr>
<td>Is a safety management system (SMS) with defined components/elements established, maintained and adhered to?</td>
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<tr>
<td>Is the SMS appropriate to the size, nature and complexity of the organization?</td>
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<tr>
<td>Is there a safety policy in place?</td>
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<tr>
<td>Is the safety policy approved by the Accountable Manager?</td>
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<tr>
<td>Is the safety policy promoted by the Accountable Manager?</td>
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<tr>
<td>Is the safety policy reviewed periodically?</td>
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<tr>
<td>Does the safety policy clearly indicate which types of operational behaviours are acceptable or unacceptable?</td>
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<tr>
<td>Is there a safety reporting policy that clearly includes the conditions under which reporter immunity from disciplinary action would be considered?</td>
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<tr>
<td>Have safety objectives been established?</td>
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<td>Is there a formal process to develop safety objectives?</td>
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<td>Are safety objectives publicized and distributed?</td>
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<tr>
<td>Is there a formal process to develop and maintain a set of safety performance indicators and safety performance targets?</td>
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<tr>
<td>Has an Accountable Manager been identified?</td>
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<tr>
<td>Does the Accountable Manager have responsibility for ensuring that the SMS is properly implemented and performing to requirements in all relevant areas of the organization?</td>
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<tr>
<td>Does the Accountable Manager have control of the financial and human resources required to ensure the proper performance of the SMS?</td>
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<tr>
<td>Question</td>
<td>Answer</td>
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<tr>
<td>-------------------------------------------------------------------------</td>
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<tr>
<td>Have the safety accountabilities of all members of senior management</td>
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<td>been identified, documented and communicated throughout the organization?</td>
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<tr>
<td>Has a qualified person been appointed to be the focal point for the daily operation of the SMS?</td>
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<tr>
<td>Does the person appointed as focal point for the daily operation of the SMS fulfill the required job functions and responsibilities?</td>
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<tr>
<td>Are the safety responsibilities and accountabilities of personnel at all levels of the organization defined and documented?</td>
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<tr>
<td>Is there consolidated documentation that describes the SMS and the interrelationships between all its components?</td>
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<tr>
<td>Has a documented procedure been established and maintained for identifying applicable regulatory requirements?</td>
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<tr>
<td>Are regulations, standards and exemptions periodically reviewed to ensure that the most current information is available?</td>
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<tr>
<td>Does the organization have an emergency response/contingency procedure appropriate to the size, nature and complexity of the organization?</td>
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</tr>
<tr>
<td>Have the emergency response/contingency procedures been documented, implemented and assigned to a responsible manager?</td>
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<tr>
<td>Are the emergency response/contingency procedures been periodically reviewed?</td>
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<tr>
<td>Does the organization have a process to distribute the emergency response/contingency procedures and to communicate the content to all personnel?</td>
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<tr>
<td>Does the organization conduct drills and exercises with all key personnel at specified intervals, as applicable?</td>
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<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Does this information reside or is it incorporated into approved documentation, such as the Operations Manual, Corporate Manual, Operator’s Continuing Airworthiness Management Exposition, or the organization includes the information in a separate, controlled document?</td>
<td></td>
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</tr>
<tr>
<td>Does the organization have a records system that ensures the generation and retention of all records necessary to document and support operational requirements, and is in accordance with applicable regulatory requirements and industry best practices?</td>
<td></td>
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</tr>
<tr>
<td>Does the system provide the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?</td>
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<tr>
<td><strong>Component 2 - Safety risk management</strong></td>
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<tr>
<td>Does the organization have a reactive method that provides for the capture of internal safety information including hazard identification, occurrences and other data relevant to safety risk management?</td>
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<tr>
<td>Is the reactive reporting process simple, accessible and commensurate with the size of the organization?</td>
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<tr>
<td>Are reactive reports reviewed at the appropriate level of management?</td>
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<tr>
<td>Does the organization have a proactive method that provides for the capture of internal information including hazard identification, occurrences and other data relevant to safety risk management?</td>
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</tr>
<tr>
<td>Is the proactive reporting process simple, accessible and commensurate with the size of the organization?</td>
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<tr>
<td>Are proactive reports reviewed at the appropriate level of management?</td>
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</tr>
</tbody>
</table>
Does the organization have a predictive method that provides for the capture of internal information including hazard identification, occurrences and other data relevant to safety risk management?

Is predictive safety information reviewed at the appropriate level of management?

Is there a feedback process to notify contributors that their reports have been received and to share the results of the analysis?

Are corrective and preventive actions generated in response to safety data analysis?

Is there a structured process for the analysis of risk associated with identified hazards, expressed in terms of severity, and probability of occurrence?

Are there criteria for assessing risk in terms of tolerability (i.e., the acceptable level of risk the organization is willing to accept)?

Does the organization have risk management control strategies that include corrective/preventive mitigation action of risks to an acceptable level?

Are there procedures in place for the conduct of internal safety investigations?

**Component 3 - Safety assurance**

Is there a process in place to monitor and analyze safety trends?

Do measures exist that ensure all reported occurrences and deficiencies are investigated?

Is there a process to ensure that occurrences and deficiencies reported are analyzed to identify all associated hazards?

Are corrective and preventative actions generated in response to event investigation and risk analysis?

Does the organization have a process for evaluating the effectiveness of the corrective/preventive measures that have been developed?

Are corrective/preventive actions, including timelines, documented?
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a process to evaluate the effectiveness of corrective actions?</td>
<td></td>
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<tr>
<td>Does the organization have a system to monitor the internal reporting</td>
<td></td>
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<tr>
<td>process and the associated corrective actions?</td>
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<tr>
<td>Are regular and periodic reviews conducted regarding the organization</td>
<td></td>
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<tr>
<td>safety performance, internal audit results, hazard and occurrence</td>
<td></td>
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<tr>
<td>investigations, hazard and occurrence analysis results, internal/</td>
<td></td>
</tr>
<tr>
<td>external feedback analysis results, status of corrective actions,</td>
<td></td>
</tr>
<tr>
<td>follow-up actions from management reviews, changes that could affect</td>
<td></td>
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<tr>
<td>safety, recommendations for improvement and sharing of best practices</td>
<td></td>
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<tr>
<td>across the organization?</td>
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<tr>
<td>Has the organization implemented self-evaluation processes, such as</td>
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<tr>
<td>regularly scheduled safety audits, safety surveys, safety reviews,</td>
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<tr>
<td>and safety studies?</td>
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<tr>
<td>Is there an operationally independent audit function with the authority</td>
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<tr>
<td>required to carry out an effective internal evaluation program?</td>
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<tr>
<td>Does the audit system cover all functions, activities and organizations</td>
<td></td>
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<td>within the company?</td>
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<td>Are there defined audit scope, criteria, frequency and methods?</td>
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<tr>
<td>Are there selection/training process to ensure the objectivity and</td>
<td></td>
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<tr>
<td>competence of auditors as well as the impartiality of the audit</td>
<td></td>
</tr>
<tr>
<td>process?</td>
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<tr>
<td>Is there a procedure for reporting audit results and maintaining</td>
<td></td>
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<tr>
<td>records?</td>
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<tr>
<td>Is there a procedure outlining requirements for timely corrective and</td>
<td></td>
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<tr>
<td>preventive action in response to audit results?</td>
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<tr>
<td>Is there a procedure to record verification of action(s) taken and the</td>
<td></td>
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<tr>
<td>reporting of verification results?</td>
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<tr>
<td>Is a process in place for analyzing changes to operations or key</td>
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<tr>
<td>personnel for risks?</td>
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<tr>
<td>Does the organization perform periodic management reviews of safety critical functions and relevant safety issues that arise from the internal evaluation program?</td>
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<tr>
<td>Component 4 - Safety promotion</td>
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<tr>
<td>Is there a documented process to identify training requirements so that personnel are competent to perform their duties?</td>
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<tr>
<td>Is there a process that measures the effectiveness of training?</td>
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<tr>
<td>Is the organization’s safety training incorporated into indoctrination training upon employment?</td>
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<tr>
<td>Is there emergency response and response training for affected personnel?</td>
<td></td>
</tr>
<tr>
<td>Does the safety training ensure that all personnel understand their responsibilities and accountabilities in regards to all safety management processes, decisions and actions?</td>
<td></td>
</tr>
<tr>
<td>Are there communication processes in place within the organization that permit the safety management system to function effectively?</td>
<td></td>
</tr>
<tr>
<td>Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the organization?</td>
<td></td>
</tr>
<tr>
<td>Is information established and maintained in a suitable medium that provides direction in related documents?</td>
<td></td>
</tr>
<tr>
<td>Is there a process for the dissemination of safety information throughout the organization and a means of monitoring the effectiveness of this process?</td>
<td></td>
</tr>
</tbody>
</table>
Attachment B – Detailed Assessment Checklist

If the analysis completed in Attachment A indicates that the element has been established within an organization then the more detailed criteria provided in this Attachment B can be used to assess the effectiveness of the element.

SMS Assessment Checklist

The questions shown in relation to each expectation are meant to assist in the assessment.

- They are intended for guidance only.
- It is not mandatory to ask all the questions.
- If the assessor feels that enough information has been gathered to effectively assess the element or if a different “open-ended” question will elicit a better response, it can be used.
- The assessor may also rephrase the question if it is more comfortable to do so.
- It is expected that answers to any question would lead to others not shown on this list.
- It is also expected that questions aimed at determining performance with respect to one criterion may lead to information relevant to the assessment of other criteria for either the intended component or others.
- Assessors will use their experience to follow-up on information that is uncovered and apply revelations to the assessment of SMS components and elements as appropriate.

Certain questions are suggested for direction to the Accountable manager, department heads and management, and employees in general.

Where a question would lead to a yes/no answer, the assessor may prompt the assessee by asking why/why not? Or ask for an explanation or proof (documentation). Depending on the maturity of the SMS, management and employees may be able to provide case examples to support their statements.
Table B.0 – Questions: Safety Management System

<table>
<thead>
<tr>
<th>Component</th>
<th>Safety Management System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Element</td>
<td></td>
</tr>
</tbody>
</table>

Questions

To the Accountable manager:

Has a Safety Management System been established for your organization?
How do you maintain it?
How do you ensure that it is adhered to?
Are you a multiple certificate holder? If so, explain how you have established a single SMS with integrated operations.
How is your SMS coordinated with the SMSs of organizations providing services?
How do you ensure that your SMS procedures are appropriate to the size and complexity of your organization?

To functional department heads:

Is your organization a multiple certificate holder? If so, explain how you have integrated SMS activities with departments under other certificates.
How are your SMS activities coordinated with the SMSs of organizations providing services?

To employees:

What is your understanding of your organization’s Safety Management System?
# Table B.1 – Safety policy and objectives

<table>
<thead>
<tr>
<th>Component</th>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1.1</td>
<td>Management commitment and responsibility</td>
</tr>
</tbody>
</table>

## Questions

**To the Accountable manager:**

- How would you summarize your safety philosophy and expectations from your company’s Safety Management System? Are there any particular SMS policy initiatives with which you or your senior management are personally identified? (show me)
- How do you communicate your SMS performance expectations to the organization? Are there any specific SMS issues that you expect to have a significant impact on your company’s performance?
- How often do you critically review the standing SMS policy? Who is involved in this review?
- How do you assess the extent to which safety policy and SMS processes are understood within your company? How do you measure your company’s SMS performance? How is the information from these performance appraisals used?
- How has your safety policy influenced the development of your safety management system? Show me an example.

**To functional department heads:**

- What expectations does your employer have with respect to you and your department’s SMS performance? How are these expectations communicated to you? Can you explain your role in the development of your safety obligations and your department’s SMS performance criteria?
- How do you communicate SMS processes/obligations to personnel within your department?
- How do you assess the extent to which safety policy and SMS processes/obligations are understood within your department?
- How are employees involved in the maintenance of the SMS?

**To employees:**

- What is your understanding of management’s expectations of you with respect to company SMS performance?
- How would you characterize management’s commitment to strong SMS performance?
- How does management make you aware of the relationship between the safety policy and different safety initiatives?
Questions
To Accountable manager and department heads:

Can you describe the enforcement policy in regards to the SMS reporting system? Does it ensures that employees are free to report safety deficiencies, hazards or occurrences without being subject to unjust or excessive discipline.

How do you ensure that employees understand the policy?

Has the organization established the conditions under which disciplinary action would be considered? (show me) How do you know that this is clearly understood by the personnel?

Are there any formalized documents, such as letters of understanding, between employee groups / third party contractors and management?

To employees:

Do you feel confident reporting safety deficiencies, hazards and occurrences? Explain
<table>
<thead>
<tr>
<th>Element</th>
<th>1.2 Safety accountabilities of managers</th>
</tr>
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<tbody>
<tr>
<td><strong>Questions</strong></td>
<td></td>
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<tr>
<td><strong>To the Accountable manager:</strong></td>
<td></td>
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<tr>
<td>What do you understand your SMS-related responsibilities to be? Are these documented anywhere? (show me)</td>
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<tr>
<td>Who is the person appointed to manage the operation of the SMS within your organisation?</td>
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<tr>
<td>How were they selected for this position? What do you understand their SMS-related responsibilities to be? Are these documented anywhere? (show me)</td>
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<tr>
<td>How are personnel involved in the organisational roles and responsibilities?</td>
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<td><strong>To the person appointed to manage the operation of the SMS:</strong></td>
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<tr>
<td>What do you understand your SMS-related responsibilities to be? Are these documented anywhere? (show me)</td>
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<tr>
<td>What authorities, resources and support have been given to you in order to allow you to fulfill your role as person appointed to manage the operation of the SMS for the organisation? Are these supported by documentation and actions from management? (show me)</td>
<td></td>
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<tr>
<td>What experience, training and qualification do you have that justify your appointment to this position? How confident are you with this duty and responsibility? Do you hold the complete authority to perform all of your duties &amp; responsibilities, or do you need permission from an individual at a higher management level to perform some of your duties?&quot;</td>
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<tr>
<td><strong>To functional department heads and management:</strong></td>
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<tr>
<td>Can you identify who is the organization’s Accountable manager? Can you describe what you understand to be the Accountable manager’s duties and responsibilities? What do you understand your SMS-related duties and responsibilities to be? Are these documented anywhere? Do you feel that duties and responsibilities for SMS management within the organization are clearly and appropriately defined? If not, why not and where could they be sharpened? When are safety authorities, duties, responsibilities and accountabilities reviewed? Can you show me a sample of job descriptions and/or an organizational diagram illustrating SMS responsibilities within the organisation?</td>
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<tr>
<td><strong>To employees:</strong></td>
<td></td>
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<tr>
<td>What do you understand your own SMS roles and responsibilities to be?</td>
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</table>
### Element 1.3 Appointment of key safety personnel

#### Questions

**To Accountable manager and department heads:**

What are the Safety office corporate functions? Are these functions advising senior management on safety matters, assisting line managers, overseeing hazard identification systems?

**To the person appointed to manage the operation of the SMS:**

What are your functions (as safety manager)?
Are you managing the SMS implementation plan on behalf of the Accountable manager?
How are you involved in hazard identification and risk analysis and management?
Are you monitoring corrective actions to ensure their accomplishment/
Who provides periodic reports on safety performance?
Where and how are you maintaining safety documentation?
Who plans and organizes staff safety training?
Are you providing independent advice on safety matters?
What are the safety manager selection criteria? Do you need operational management experience and technical background to understand the systems and support operations, people skills, analytical and problem-solving skills, oral and written communications skills?
What kinds of Committees do you have in your organization (High level committee with strategic safety functions, Safety actions group (SAG) who oversees operational safety within the functional area, resolves identified risks, assesses the impact on safety of operational changes, implements corrective action plans and ensures that corrective action is taken in a timely manner?)

### Element 1.4 SMS implementation plan

#### Questions

**To functional department heads and management:**

Was the implementation plan developed by a planning group, which:
- Comprises an appropriate experience base;
- Meets regularly with senior management;
- Receives resources (including time for meeting)?

Is the SMS implementation plan a realistic strategy for the implementation of an SMS
that will meet the organization’s safety needs?
Is there in place a definition of the approach the organization will adopt for managing safety?

Confirmation of SMS implementation plan content:
1) Safety policy
2) Safety planning, objectives and goals
3) System description
4) Gap analysis
5) SMS components
6) Safety roles and responsibilities
7) Safety reporting policy
8) Means of employee involvement
9) Safety communication
10) Safety performance measurement
11) Management review (of safety performance)

Does the senior management endorse the plan?

<table>
<thead>
<tr>
<th>Element</th>
<th>1.5 Coordination of the emergency response plan</th>
</tr>
</thead>
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<tr>
<td>Questions</td>
<td></td>
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<tr>
<td><strong>To the accountable manager and responsible manager:</strong></td>
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</table>

What is the organization’s emergency response policy? Please provide an outline of duties and responsibilities for all staff in the event of an accident or unforeseen emergency.
Outline emergency response procedures for the organization. How were these procedures established? Explain how they are appropriate to the nature and complexity of the organization.
Show me the documented emergency response procedures. Explain how they have been implemented within the organization. Who is the responsible manager?
How do you assess whether or not your emergency response procedures meet Airworthiness & Operations Standards?
In what emergency drills have you participated?

| To functional department heads: |

What is the organization’s emergency response policy? Please show me documentation, (applicable to your department) outlining roles and responsibilities in the event of an accident or unforeseen emergency.
Where are emergency procedures documented? Is this documentation accessible to you and your staff? How are these procedures appropriate to the size and complexity of your department? How have these procedures been implemented within your department?
Who is responsible for emergency procedures within your department? What was the justification for assigning this responsibility and how does it impact their day-to-day job?
How often are ER procedures reviewed? Who conducts these reviews and under
what circumstances would a review be initiated?
Explain the process for distributing ER procedures to all personnel. How do you ensure that personnel understand the procedures?
When was the last time you and your staff were involved in an ER drill or exercise?
How often are drills and exercises conducted? According to the control manual, how often should exercises and drill be performed (show me)?

To employees and key ER personnel:

What are your roles and responsibilities in the event of an accident or unforeseen emergency? Where is this documented?
What would you do in the event of an emergency? Are there standard procedures for you to follow? (show me)
How comfortable are you with the content of the ER procedures? How are the procedures communicated to you and how accessible are they?
When was the last time you participated in an ER drill or exercise?

Plan contents:
- Governing policies
- Organization
- Notifications
- Initial response
- Additional assistance
- Crisis management centre (CMC)
- Records
- Accident site
- News media
- Formal investigations
- Family assistance
- Post critical incident stress counseling
- Post occurrence review

**Element 1.6 Documentation**

**Questions**

**To management:**

What is the procedure for identifying applicable regulatory requirements? Show me where this is documented.
How is pertinent technical and regulatory information accessible by personnel?
How do you ensure that this documentation and information is in line with the most current regulations, standards and exemptions?
In what way does the organisation participate in regulatory development activities?

**To employees:**

Where would you find pertinent technical and regulatory information?
How are changes in regulatory requirements built into the company operations?
Questions (SMS documentation)
To the Accountable manager and functional department heads:

Is there consolidated documentation that describes the safety management system and the interrelationship between all of its elements? (show me) Where else is this information located? What other documents, approved or otherwise incorporate reference to this information? (show me)

How is this documentation made accessible to personnel?
Where can employees find SMS information at both the corporate and operational levels? (show me)

How does documentation reflect functional coordination within the management system?
How/where does documentation show lines of authority, accountability and responsibility at the corporate level of management?

What is the process for review of safety management system documentation over time?
What is the process to identify changes within the organization that could affect company documentation?

How do you ensure that changes to company documentation have been implemented?

SMS Manual contents (Confirmation):
1. Scope of safety management system
2. The safety policy and objectives
3. Safety accountabilities
4. Key safety personnel
5. Documentation control procedures
6. Hazard identification and risk management schemes
7. Safety performance monitoring
8. Emergency response planning
9. Management of change
10. Safety auditing
11. Safety promotion
12. Contracted activities

To employees:

Where can you find an explanation of the SMS and the interrelationships between its elements? (show me)

Questions (Records management)
To the functional department heads:

What records are necessary in support of operational and regulatory requirements?
Explain how these records are generated and retained for documentation and support of operational requirements.
Explain how records are generated and retained for documentation and support of regulatory requirements.
What is the process for ensuring operational and regulatory requirements are met?
What are the SMS control processes to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?
Justify the presence of these processes.
How long are records, not specifically required by regulations, kept? What is the policy for retaining records that are not specifically required by regulations?

To employees:

What records are kept within your organization? Are these records sufficient to support operational requirements?
What records and/or documentation are most useful in support of your responsibilities to operations? Is there a system in place to ensure you have or can easily obtain records and documentation when needed?
### Table B.2 – Safety risk management

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<tr>
<th>Component</th>
<th>2 Safety risk management</th>
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</thead>
<tbody>
<tr>
<td>Element</td>
<td>2.1 Hazard identification process</td>
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</table>

#### Questions (Reactive processes)

**To the Accountable manager and senior management:**

Can you explain how the organization ensures that incidents, accidents and other data relevant to SMS are captured? What is done with this data once it has been collected? Is there a reactive reporting process? Please explain how this process works and why it is appropriate for your organization.

Show me the reactive report form(s). Who has access to these forms? What do employees have to do to get (and then submit) these forms?

Do you review reactive reports? How do you determine which reports to review? On what basis do you pass on reports to other levels of management?

How do employees know if their reports have been read or heeded?

Is there a process in place to investigate and analyze reported events? Explain.

Explain how SMS data is analyzed, trends identified and monitored?

Explain the data collection processes throughout the safety critical areas of the company. How do these processes permit company wide analysis of safety issues?

Explain the standard procedure for response to event analysis. What is the timeline for these actions? How does this impact the future operations of the organization?

**To functional department heads:**

How are incidents, accidents and other data relevant to SMS captured within your department? What is done with this data once collected?

Is there a reactive reporting process? Please explain how this process works and why it is appropriate for your organization.

Do you review reactive reports? On what basis do you pass on reports to other levels of management?

How do employees know if their reports have been read or heeded?

Is there a process in place to investigate and analyze reported events? Explain.

Is there a process in place to monitor and analyze trends documented? Explain.

What actions are taken in response to an event analysis? If a trend is revealed what type of mitigation actions are taken? How does this affect future operations within your department?

**To employees:**

Explain how you would report an incident, accident or safety concern? How is feedback given to those who report? Can you give me an example where results incident analyses were shared?

Are you comfortable reporting incidents and accidents? Explain.

Can you show me the form you would fill out in making this report and explain the process for submitting this report?

Is it worth your time to communicate safety concerns and report incidents? Explain why (or why not) you make use of the reporting process.

Do you ever feel that patterns in accident and incident occurrence go unnoticed? Does management heed your safety concerns and act accordingly? How quickly?
What does your manager do when a safety concern is raised? What do they do if there has been an incident or accident? Can you give me an example of actions taken in response to a safety event or identified concern? Did normal operating procedures change as a result of this event? How?
Do you feel that adequate corrective and preventive actions are generated in response to event analysis? Are you confident that management is given the power and resources to take appropriate actions when required? Explain how these powers are exercised?

Questions (Proactive processes)
To the Accountable manager and senior level management:

Please explain how you capture internal information and other SMS related data in order to proactively identify hazards.
Is there a proactive reporting process or system to identify hazards? Please explain how this process works and how it was developed. Why is this process suited to your organization?
Do you review proactive reports? How do you determine which reports to review? On what basis do you pass on reports to other levels/members of management?
How do contributors know if their reports have been read or heeded?
Explain how proactive reports and SMS data are analyzed, trends identified and monitored?
Explain the data collection processes throughout the safety critical areas of the company in the context of proactive hazard assessment. How do these processes permit company wide analysis of the SMS?
Explain how the organization evaluates its own SMS. Can you identify planned self-evaluation processes? How often are these processes conducted?
Explain what actions are taken in response to the identification of a hazard. What is the timeline for this response?
What are your criteria for evaluating risk? What is considered a tolerable level of risk and how is this level determined?

To functional department heads:

How do you identify hazards within your department? What type of information, reports or data are collected in order to identify safety concerns before an accident or incident occurs?
Is there a proactive reporting process? Please explain how this process works and why it is appropriate for your organization.
Do you review proactive reports? On what basis do you pass on reports to other levels of management?
How do contributors know if their reports have been read or heeded?
Is there a process in place to investigate and analyze reported events? Explain.
Is there a process in place to monitor and analyze trends documented? Explain.
Explain how the effectiveness of SMS is evaluated within your department. Can you identify planned self-evaluation processes? How often are these processes conducted?
What actions are taken in response to an event analysis? If a trend is revealed what type of mitigation actions are taken? How does this affect future operations within your department?
Are you aware of specific criteria for evaluating risk of identified hazards? How does this relate to the level of risk you are willing to accept?

**To employees:**

Explain how you would report an incident or safety concern?  
Is it worth your time to communicate safety concerns and report incidents? Explain why (or why not) you make use of the proactive reporting process. How are you informed that your report has been received? How are you made aware of the results of proactive report and data analysis?  
Do you ever feel that patterns in accident and incident occurrence go unnoticed? Does management heed your safety concerns and act accordingly? How quickly?  
What does your manager do when a safety concern is raised? What do they do if there has been an incident or accident? Can you give me an example of actions taken in response to a safety event or identified concern? Did normal operating procedures change as a result of this event? How?  
Do you feel that adequate corrective and preventive actions are generated in response to event analysis? Are you confident that management is given the power and resources to take appropriate actions when required? Explain how these powers are exercised?  
How do you assess risk in your job? Are you aware of specific criteria for acceptable levels of risk applicable to your work or that of your work team?

**Questions on investigation and analysis**

**To the Accountable manager and functional department heads:**

Explain how investigations are conducted in response to safety related occurrences and deficiencies.  
What measures exist to ensure all reported safety occurrences and deficiencies are investigated?  
How do you ensure that safety related occurrences and deficiencies reported are analyzed? What is the goal of this analysis?  
Explain what and how actions are taken in response to event investigation and analysis.

**To employees:**

Explain how investigations are conducted within your department in response to identified or reported safety related occurrences and deficiencies.  
What measures are taken by management to ensure all reported safety occurrences and deficiencies are investigated?  
What measures are taken by staff to ensure all reported safety occurrences and deficiencies are investigated?  
How do you know that occurrences and deficiencies reported are analyzed? What are the goals of this analysis? What role does the staff play in the analysis of safety related occurrences and deficiencies?  
Do you feel that adequate corrective and preventive actions are generated in response to event investigation and analysis? Are you confident that management is given the power and resources to take appropriate actions when required? Can you give me an example?
example of changes to procedures or work practices initiated as a result of an identified safety concern or hazard?

### Appendix Temp Rev: 001

**IMPLEMENTATION EVALUATION FOR SAFETY MANAGEMENT SYSTEMS**

29.01.2008

**APP 3.8-27**

<table>
<thead>
<tr>
<th>Element</th>
<th>2.2 Risk assessment and mitigation process</th>
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<tbody>
<tr>
<td>Questions</td>
<td><strong>To the Accountable manager and senior level management:</strong></td>
</tr>
<tr>
<td></td>
<td>What is the process for the assessment of risk associated with identified hazards? How is risk expressed in terms of severity, level of exposure and probability of occurrence?</td>
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<td>What are your criteria for evaluating risk? What is considered a tolerable level of risk and how is this level determined?</td>
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<td></td>
<td>Outline the organization’s risk control strategy. What corrective/preventive action plans are in place to prevent recurrence of reported occurrences and deficiencies?</td>
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<td>How is the effectiveness of implemented corrective/preventive measures evaluated? What actions might be taken as a result of an unsatisfactory evaluation? What sort of timeline is associated with the conduct of this evaluation and the implementation of further corrective actions?</td>
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<td>How are corrective/preventive actions documented? What type of information is included in this documentation? (show me)</td>
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<tr>
<td><strong>To functional department heads:</strong></td>
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<td></td>
<td>Are you aware of specific criteria for evaluating risk of identified hazards? How does this relate to the level of risk you are willing to accept?</td>
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<td></td>
<td>Outline the risk control strategy employed in your department. What corrective/preventive action plans are in place to prevent recurrence of reported occurrences and deficiencies?</td>
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<td>How does this relate to the strategy and plans of the organization as a whole?</td>
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<td></td>
<td>How do you evaluate the effectiveness of implemented corrective/preventive measures?</td>
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<td>What actions might you take as a result of an unsatisfactory evaluation? What sort of timeline is associated with the conduct of this evaluation and the implementation of further corrective actions? What are the critical factors affecting this timeline?</td>
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<td>How are corrective/preventive actions documented? What type of information is included in this documentation? (show me) How often and to what purpose do you reference this documentation? How and when is this documentation shared with senior level management or other departments?</td>
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<tr>
<td><strong>To employees:</strong></td>
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<td></td>
<td>Are you aware of specific criteria for evaluating risk of identified hazards? How does this relate to the level of risk you are willing to accept?</td>
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<td>What approach of management to the control of risk within your work environment? What planning actions are taken by management in order to prevent recurrence of reported occurrences and deficiencies? How are you involved in this process?</td>
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<td>What evidence do you see that indicates the effectiveness of implemented corrective/preventive measures is evaluated? What sort of timeline is associated with the conduct of this evaluation and the implementation of further corrective actions?</td>
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<td></td>
<td>How are corrective/preventive actions documented? What type of information is included in this documentation? (show me) How often and to what purpose do you reference this documentation? How and when is this documentation shared with senior level management or other departments?</td>
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this documentation? (show me)
How are you involved in the maintenance of this documentation? How often and to what purpose do you reference this documentation?
Table B.3 – Safety assurance

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<th>Component</th>
<th>3</th>
<th>Safety assurance</th>
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</thead>
<tbody>
<tr>
<td>Element</td>
<td>3.1</td>
<td>Safety performance monitoring and measurement</td>
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</table>

**Questions**

**To Accountable manager and senior level management:**

Outline the safety assurance program implemented within your organization. How was this program established? What actions are taken to ensure that it continues to function effectively? Who is responsible for the safety assurance program?

Outline your internal evaluation program. Explain how the group responsible for the audit function is operationally independent.

What is the process for conducting reviews and audits of your processes, procedures, analyses, inspections and training?

How is the internal reporting process and corrective action system monitored to ensure completion of remedial actions and follow-up on reactive and proactive reports?

Please explain how the safety assurance system covers all functions defined within the certificate(s) held by your organization.

What is the scope of internal audits? What are the audit criteria? How often are audits performed and what methods are employed?

What is the selection/training process to ensure the objectivity and competence of auditors as well as the impartiality of the audit process?

When do you review safety critical functions and relevant safety issues that arise from the internal evaluation program?

What is your procedure for reporting audit results? (show me) How do you maintain these records?

Upon receipt of audit results, how do you and your managers ensure that the appropriate preventive or corrective actions are taken in a timely fashion? Where is the documented procedure that guides outlines these requirements? (show me)

Show me the procedure to record verification of action(s) taken and the reporting of verification results.

To what extent are contracted functions subject to a safety assurance review? What are the criteria for these reviews?

How does your organisation interact with other organisations that are governed by these SMS regulations?

**To functional department heads:**

Outline the safety assurance program implemented within your department. How was this program established? What actions are taken to ensure that it continues to function effectively? How does this program relate to the quality assurance program implemented across the organization?

Please explain how your safety assurance system covers all functions defined within the certificate(s) held by your organization as applicable to your department.

What is the procedure for reporting audit results? (show me) How do you maintain these records?

Upon receipt of audit results, how do you ensure that the appropriate preventive or corrective actions are taken in a timely fashion? How do you know what “timely” is in each case? Where is the documented procedure that outlines these requirements?
Show me the procedure to record verification of action(s) taken and the reporting of verification results.

To lead auditor:

What is the process for conducting reviews and audits of the SMS processes, its procedures, analyses, inspections and training?
What is the scope of internal audits? What are the audit criteria? How often are audits performed and what methods are employed?
What is the selection/training process to ensure the objectivity and competence of auditors as well as the impartiality of the audit process?
To what extent are contracted functions subject to a safety assurance review? What are the criteria for these reviews?
What procedure do you follow when recording verification of action(s) taken and the reporting of verification results? (show documented procedure)
What is the procedure for reporting audit results? Show me where this is documented?

Questions on Performance Measurement
To the Accountable manager and functional department heads:

Are there measures of the organization’s SMS performance? What are they?
What is the process for developing and maintaining these measures?
Do they allow you to determine whether performance is improving over time?
How often are performance measures reviewed and updated? Where is this interval described?
How do you know that the results of performance measurement are being used to continuously improve the system?
How does the output from the performance measurement affect resource allocation?

Questions on Management Review
To the Accountable manager or safety officer:

What is the procedure for reviewing company safety performance and achievement?
Is there a planned timeline for reviews? What is it?
How does the organization ensure that the Safety Management System is suitable, adequate and effective over time?
What is the process for evaluating corrective actions?

To employees:

What evidence have you seen that indicates the organization’s safety performance is periodically reviewed? How often does this happen?
When changes are made to a system or process how is the effectiveness of these changes evaluated?
Element 3.2 The management of change

Questions
To Accountable manager and senior level management:

How do you ensure that the process is managed when changes can introduce new hazards, impact the appropriateness of risk mitigation, the effectiveness of risk mitigation?
How do you prepare your organization for external changes, for example: change of regulatory requirements, security?
How do you prepare your organization for internal changes, for example: Management changes, new equipment and procedures?
Is your formal management of change process identifying changes within the organization which may affect established processes and services? What is the evidence of that?
Could you describe the arrangements to ensure safety performance prior to implementing changes?

To employees:

What do you know about the management process in your organization when the external or internal changes can introduce new hazards?

Element 3.3 Continuous improvement of the SMS

Questions
To Accountable manager and senior level management:

What are the aims of the continuing improvement?
What are the methods for determining the immediate causes of below standard performance and their implications in the operation of the SMS?
How do you identify the rectifying situations involving below standard performance?
How is the continuing improvement achieved? Is it achieved through proactive evaluation of facilities, equipment, documentation and procedures through audits and surveys? (Show me)
Is it achieved through proactive evaluation of the individuals' performance, to verify the fulfillment of their safety responsibilities?
Is it achieved through reactive evaluations in order to verify the effectiveness of the system for control and mitigation of risks, for example: accidents, incidents and major events investigations? (Evidence)

To employees:

How can you assure the continuous improvement of the safety system?
## Table B.4 – Safety promotion

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<thead>
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<th>Component</th>
<th>4</th>
<th>Safety promotion</th>
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<tr>
<td>Element</td>
<td>4.1</td>
<td>Training and education</td>
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</table>

### Questions

#### To the Accountable manager and senior management:

Explain how training requirements are identified in order to ensure that personnel are competent to perform their duties? Is this process documented? (show me)

How is the effectiveness of training evaluated?

When do employees receive SMS training? What refresher / recurrent training on SMS is provided by the organization and how do you determine who receives this training?

Explain how and when SMS training is provided to new employees.

What do you consider to be human and organizational factors in the context of SMS?

Explain how this is included in SMS training delivered to employees at all levels.

What kind of emergency response and response training is provided? How do you determine who receives this training?

#### To functional department heads:

Are you confident in your knowledge and understanding of SMS and your role and responsibilities in with respect to SMS? Summarize the SMS training you have received including the context, timing and intensity of each session?

How often is SMS training available to your employees? How do you determine who receives this training?

What kind of SMS training is provided to new employees and how soon after employment is it delivered?

Was SMS in place when you joined this organization?

(If yes) How was SMS presented to you when you joined the company and to what extent was it discussed as part of orientation?

(If no) When did you first receive training on SMS?

What do you consider to be human and organizational factors in the context of SMS as it affects your department? Explain how this is included in SMS training delivered to employees in your department.

How were work environment, equipment use, habits, procedures, workload and employee interaction discussed as part of the SMS training you received?

What kind of emergency response training is provided? How do you determine who receives this training?

#### To employees:

Are you confident in your knowledge and understanding of SMS and your role and responsibilities in with respect to SMS? What kind of SMS training you have received? What was the context and intensity of these training sessions?

How accessible is SMS training and information to you? Do you know how management determines who receives training and when?

Was SMS in place when you joined this organization?
(If yes) How was SMS presented to you when you joined the company and to what extent was it discussed as part of orientation? Discuss any further training since that initial session. If you wished to receive more SMS training how would you approach management on this issue?
(If no) When did you first receive training on SMS?

What do you consider to be human and organizational factors? Explain how this subject was addressed in the SMS training you received. How were your work environment, equipment use, habits, procedures, workload and employee interaction discussed as part of your SMS training? What kind of emergency response training have you received? How does management decide who receives this training?

**Element 4.2 Safety communication**

**Questions**

**To Accountable manager and functional department heads:**

- What communication processes or methods are in place within your organization?
- Explain how these processes help your SMS to function effectively?
- How often are SMS meetings held? Who attends these meetings? Do you attend any SMS meetings? How often?
- How does information flow relate to the documentation? How are these made available? (Give examples)
- How is safety information shared within the organization? (horizontally and vertically throughout the organization) How do you know these methods/processes are working?
- How is information on SMS related matters shared between departments? How do you ensure there is company wide, uncomplicated communications?
- What mechanisms are in place allowing for complimentary communications related to safety and quality issues? (horizontally and vertically throughout the organization) How do you know what the results of these meetings are? How are minutes or decision records kept? How are the results of these meetings communicated to personnel?
- How are all areas, including out-stations and outsource functions included in the communications network?
- How are personnel informed as to who is their primary contact for aviation safety related matters?
- How are best practices identified and shared across the organization?

**To employees:**

- How do you know SMS activities are going on within your organization? What evidence do you see that shows SMS is or is not working?
- How often are meetings held? Who attends these meetings? Do you attend any SMS meetings? How often?
- If you needed information related to safety issues, procedures or processes, how would you get it?
- How is safety information communicated to you? How do you communicate safety

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**APPENDIX**

**IMPLEMENTATION EVALUATION FOR SAFETY MANAGEMENT SYSTEMS**

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| Information? Has there ever been a safety related or quality matter that you felt should be brought to the attention of management? How did you deal with this? What response did you receive from management? Who is your primary contact for aviation safety related matters? Do you feel comfortable bringing issues to this person? (explain how, why/why not) |