



## SMS Evaluation Tool

<b>Organisation:</b>  Airport or DCA	<b>Approval Reference (s):</b>  
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<b>Name and Signature:</b>  	<b>Position:</b>  
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<b>SMS Manual Revision:</b>  	<b>Date of signing:</b>  
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To be completed and signed for by the Safety Manager or Accountable Manager

For DCA use only

DCA Staff:				
Name and Dept:				
Date of assessment:				



### **SMS Evaluation Tool Instructions for use**

This Tool evaluates the effectiveness of the SMS at 3 different levels based on the ICAO SMS Framework. An introductory paragraph from the ICAO SMS Framework is given for each element along with a cross reference to the EASA Management System requirements. For each of the 12 elements of the ICAO Framework there are a series of 'compliance + performance' and 'excellence and best practice' markers that are assessed for their presence, suitability, operating and being effective using the definitions below. The organisation should use the 'how it is achieved box' to describe how they have achieved the PSO or E level for the marker citing any evidence or examples to support their assessment. Once the individual markers are assessed by the organisation the DCA will then sample and verify each marker and assess the overall effectiveness assessment of each ICAO SMS element. The overall effectiveness for each element will be used by the DCA to determine the overall level of the SMS maturity and effectiveness using the Evaluation Summary matrix.

### **PSOE Definitions for individual markers (assessed and completed initially by organisation and verified by DCA)**

**Present** - There is evidence that the 'marker' is clearly visible and is documented within the organisation's SMS Documentation.

**Suitable** - The marker is suitable based on the size, nature, complexity and the inherent risk in the activity

**Operating** - There is evidence that the marker is in use and an output is being produced

**Effective** - There is evidence that the element or component is effectively achieving the desired outcome

### **Key Element Definitions (assessed and completed by DCA)**

**Effectiveness Not Achieved** - The overall effectiveness of that element has not been achieved

**Effectiveness Achieved** - All compliance + performance markers are at least operating and the overall effectiveness for that element, as described, is achieved

**Signs of Excellence** - Effectiveness is achieved as above and up to half of the excellence and best practices markers are at least operating

**Excellence** - Effectiveness is achieved as above and at least half of the excellence and best practices markers are effective

**Completing the self assessment:** Organisations should assess each marker to determine whether it is present, suitable, operating or effective by placing a tick in the appropriate PSOE column and then justifying that determination in the 'how it is achieved' column. The DCA will complete the rest of the document.

The Shaded markers reflect the organisation's safety culture



## 1.0 SAFETY RISK MANAGEMENT

### 1.1 HAZARD IDENTIFICATION

The organisation shall develop and maintain a formal process that ensures that aviation safety hazards are identified. This should include the investigation of incidents and accidents to identify potential hazards. Hazard identification shall be based on a combination of reactive, proactive and predictive methods of safety data collection.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
1.1.1	The organisation has a reporting system to captures errors, hazards and near misses that is simple to use and accessible to all staff.						
1.1.2	The organisation has proactively identified all the major hazards and assessed the risks related to its current activities.						
1.1.3	The safety reporting system provides feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation.						
1.1.4	Safety investigations are carried out to identify underlying causes and potential hazards for existing and future operations.						
1.1.5	Safety reports are acted on in a timely manner.						
1.1.6	Hazard identification is an ongoing process and involves all key personnel and appropriate stakeholders.						
1.1.7	Personnel responsible for investigating reports are trained in investigation techniques.						
1.1.8C	Investigations establish causal/contributing factors (why it happened, not just what happened)						
1.1.9C	Personnel express confidence and trust in the organisations reporting policy.						



1.1.10	Human performance related hazards are being identified.						
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EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
1.1.11C	There is an active reporting system indicated by reporting levels of more than 1 report per employee per year.						
1.1.12C	Safety Reports include the reporter's own errors and events that the reporter would not normally report (events where no-one was watching)						
1.1.13	The reporting system empowers personnel to propose preventative and corrective actions.						
1.1.14C	The reporting system is actively used throughout the organisation.						
1.1.15	The reporting system is available to contracted organisations and customers to make reports.						
1.1.16	There is a process in place to analyse safety data to look for trends and gain useable management information.						

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<b>1.1 EFFECTIVENESS</b> is achieved when aviation safety hazards are being identified and reported throughout the organization. Hazards are captured in a hazard register and assessed in a systematic and timely manner.	<b>Effectiveness Not Achieved</b>	<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>	
	<b>Signs of Excellence</b>	
	<b>Excellence</b>	



## 1.2 RISK ASSESSMENT AND MITIGATION

The organisation shall develop and maintain formal process that ensures analysis, assessment and control of safety risks in operations to an acceptable level.

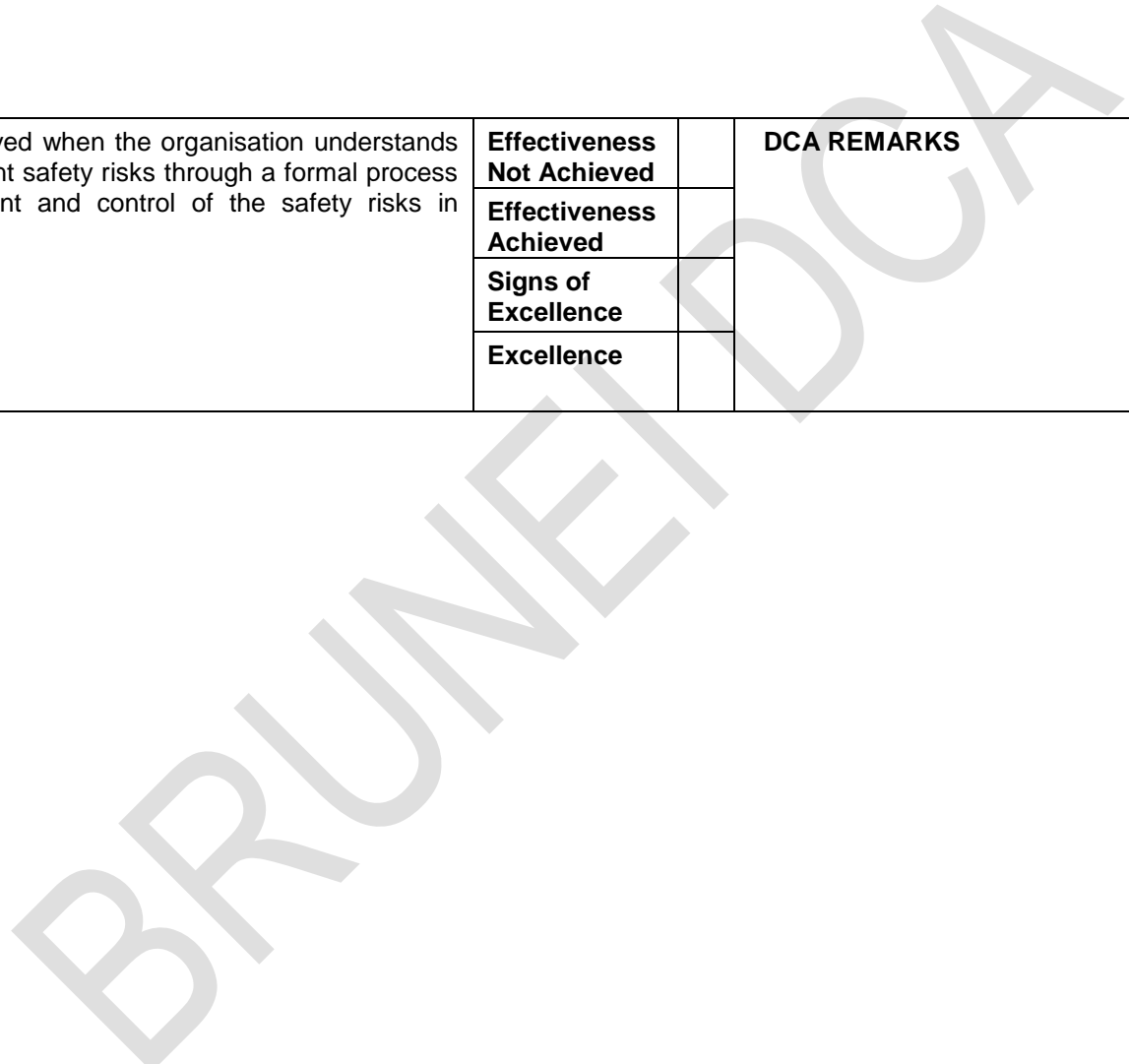
COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
1.2.1	There is a structured process for the management of risk that includes the assessment of risk associated with identified hazards, expressed in terms of likelihood and severity						
1.2.2	There are criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.						
1.2.3	The organisation has risk control strategies that deliver effective and robust mitigations and controls and where applicable corrective action.						
1.2.4	Corrective actions resulting from the risk assessment, including timelines and allocation of responsibilities are documented.						
1.2.5	Risk management is embedded in day to day activities and routinely applied in decision making processes.						
1.2.6	Senior management have visibility of medium and high risk hazards and their mitigation and controls.						
1.2.7	The DCA significant 7 are being considered and addressed as appropriate. (Refer to risk picture spreadsheet)						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
1.2.8	There is evidence that risks are being managed to as low as reasonably practical						
1.2.9	The organisation uses its risks management results to develop best practice guidelines that it shares with the industry.						
1.2.10	The risk management processes are reviewed and improved on a periodic basis						



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<p><b>1.2 EFFECTIVENESS</b> is achieved when the organisation understands and is managing its most significant safety risks through a formal process that ensures analysis, assessment and control of the safety risks in operations to an acceptable level.</p>	<p><b>Effectiveness Not Achieved</b></p>		<p><b>DCA REMARKS</b></p>
	<p><b>Effectiveness Achieved</b></p>		
	<p><b>Signs of Excellence</b></p>		
	<p><b>Excellence</b></p>		





## 2.0 SAFETY ASSURANCE

### 2.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT

The organisation shall develop and maintain the means to verify the safety performance of the organisation and to validate the effectiveness of safety risks controls. The safety performance of the organisation shall be verified in reference to the safety performance indicators and safety performance targets of the SMS.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
2.1.1	Safety objectives have been established that are specific, measurable, agreed to, relevant and time-based.						
2.1.2	Safety performance indicators have been defined, promulgated and are being monitored and analysed for trends.						
2.1.3	Safety performance indicators are linked to the organisation's safety objectives and reflect state safety risks and the related precursors where appropriate.						
2.1.4	Risk mitigations and controls are being verified/audited to confirm they are working and effective.						
2.1.5	Safety audits and surveys are carried out that focus on the safety performance of the organisation and its services and assess normal operations.						
2.1.6	Safety objectives and performance indicators are reviewed and updated periodically and are considered in resource allocation.						
2.1.7	Safety Assurance and Compliance Monitoring activities feed back into the hazard identification and risk management process.						
2.1.8	Safety assurance takes into account activities carried out in all directly contracted organisations.						
2.1.9	The organisation is monitoring its current, future and third party safety risks and is taking action to address unacceptable safety risks						



EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
2.1.10	When establishing and reviewing objectives and performance indicators, the organisation considers: hazards and risks; financial, operational and business requirements; view of interested parties.						
2.1.11	Safety objectives and performance indicators encompass all areas of the organisation						
2.1.12	Performance measurements have been defined for serious safety risks identified on the safety risk profile.						
2.1.13	Personnel at all levels are aware of the safety performance measurements in their areas of responsibility and the results of performance measurements are transmitted to them.						
2.1.14	The organisation uses a combination of leading and lagging indicators to measure the safety performance of the organisation						

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<p><b>2.1 EFFECTIVENESS</b> is achieved when the organisation has developed a series of safety performance indicators that are appropriate to the type of operation. There is a means to measure and monitor trends and take appropriate action when necessary.</p>	<b>Effectiveness Not Achieved</b>		<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>		
	<b>Signs of Excellence</b>		
	<b>Excellence</b>		





## 2.2 THE MANAGEMENT OF CHANGE

The organisation shall develop and maintain a formal process to identify changes within the organisation and its operation, which may affect established processes and services, to describe the arrangements to ensure safety performance before implementing changes, and to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
2.2.1	The organisation has established a process and conducts formal hazard analyses/risk assessment for major operational changes, major organisational changes and changes in key personnel.						
2.2.2	Safety Case/Risk assessments are aviation safety focused.						
2.2.3	Key stakeholders are involved in the change management process						
2.2.4	During the change management process previous risk assessments and existing hazards are reviewed for possible effect.						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
2.2.5	Validation of the safety performance after organisational and operational changes have taken place to assure assumptions remain valid and the change was effective						
2.2.6	All organisational and operational changes are subject to the change management process						
2.2.7	Safety accountabilities, authorities and responsibilities are reviewed as part of the change.						
2.2.8	Safety cases and risk assessments are reviewed regularly to ensure they remain appropriate and effective						

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<b>2.2 EFFECTIVENESS</b> is achieved when the organisation uses the safety risk management system to proactively assess all major changes to the organisation and its operations.	<b>Effectiveness Not Achieved</b>		<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>		
	<b>Signs of Excellence</b>		
	<b>Excellence</b>		



### 2.3 CONTINUOUS IMPROVEMENT OF THE SMS

The organisation shall develop and maintain a formal process to identify the causes of substandard performance of the SMS, determine the implications of substandard performance of the SMS, determine substandard performance in operations, and eliminate or mitigate such causes.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
2.3.1	The Safety Review Board or equivalent has the necessary authority to make decisions related to the improvement and effectiveness of the SMS.						
2.3.2	The SMS is periodically reviewed for improvements in safety performance.						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
2.3.3	There is evidence of continuous improvement of the SMS						
2.3.4	Evidence of lessons learnt are incorporated into the policy and procedures.						
2.3.5	The organisation benchmarks its SMS against other organisations and is an active promoter of SMS within the aviation industry						
2.3.6C	Best practice is sought and embraced.						
2.3.7C	Surveys and assessments of organisational culture are carried out regularly and acted upon.						
2.3.8	For safety related services the organisation requires contracted organisations to have an SMS					audit process	
2.3.9	For safety related services the SMS of the contracted organisation is interactive with that of the contracting organisation.						

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<b>2.3 EFFECTIVENESS</b> is achieved when the organisation routinely monitors the SMS performance to identify potential areas of improvement and the outcomes of this process lead to improvements to the safety management system.	<b>Effectiveness Not Achieved</b>		<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>		
	<b>Signs of Excellence</b>		
	<b>Excellence</b>		



### 3.0 SAFETY POLICY AND OBJECTIVES

#### 3.1 MANAGEMENT COMMITMENT AND RESPONSIBILITY

The organisation should define its safety policy which should be in accordance with international and national requirements, and which shall be signed by the Accountable Manager of the organisation. The safety policy should reflect organisational commitments regarding safety, including a clear statement about the provision of the necessary human and financial resources for its implementation and be communicated, with visible endorsement, throughout the organisation. The safety policy should include the safety reporting procedures and clearly indicate which types of behaviours are unacceptable and shall include the conditions under which disciplinary action would not apply. The safety policy should be periodically reviewed to ensure it remains relevant and appropriate to the organisation.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.1.1	There is a safety policy that includes a commitment towards achieving the highest safety standards signed by the Accountable Manager						
3.1.2	The organisation has a safety management system, that interfaces with other management system functions (e.g. compliance monitoring, finance etc)						
3.1.3	The Accountable Manager and the senior management team promote and demonstrate their commitment to the Safety Policy through active and visible participation in the safety management system.						
3.1.4	The safety policy is communicated to all employees (including contract staff) with the intent that they are made aware of their individual contributions and obligations with regard to Safety.						
3.1.5	The safety policy includes a commitment to continuous improvement, observe all applicable legal requirements, standards and best practice providing appropriate resources and defining safety as a primary responsibility of all Managers.						
3.1.6C	The safety policy actively encourages safety reporting						
3.1.7	The safety policy is reviewed periodically to ensure it remains current						
3.1.8C	A Just Culture policy has been defined that clearly identifies the conditions under which punitive action would be considered (e.g. illegal activity, negligence or wilful misconduct)						
3.1.9C	There is evidence of decision making, actions and behaviours that reflect a positive safety culture.						



EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.1.10	Personnel at all levels are involved in the establishment and maintenance of the safety management system.						
3.1.11	There is one safety policy used throughout the organisation and it is implemented at all levels of the organisation.						
3.1.12	The safety policy is clearly visible, or available, to all personnel (including significant contracted organisations) and is included in key documentation and communication media						
3.1.13	Safety policy objectives drive the organisation's goals and mission statements						
3.1.14	The organisation regularly verifies that personnel throughout the organisation are familiar with and have understood the policy and its message.						
3.1.15	The Accountable Manager demonstrates their commitment by attending significant safety conferences.						
3.1.16C	The Just culture policy is endorsed by management and staff representatives						

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<p><b>3.1 EFFECTIVENESS</b> is achieved when the organisation has defined its safety policy that clearly states its intentions, safety objectives and philosophies and there is visible evidence of safety leadership and management 'walking the talk' and demonstrating by example.</p>	Effectiveness Not Achieved		<p><b>DCA REMARKS</b></p>
	Effectiveness Achieved		
	Signs of Excellence		
	Excellence		



### 3.2 SAFETY ACCOUNTABILITIES

The organisation shall identify the accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS. The organisation shall also identify the safety accountabilities of all members of senior management, irrespective of other functions, as well as employees, with respect to the safety performance of the SMS. Safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organisation, and shall include a definition of the levels of management with authority to make decisions regarding safety risk tolerability.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.2.1	An Accountable Manager has been appointed with full responsibility and ultimate accountability for the SMS to ensure it is properly implemented and performing effectively.						
3.2.2	The Accountable Manager has control of the financial and human resources required for the implementation of an effective SMS						
3.2.3	The Accountable Manager is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organisation.						
3.2.4	Safety accountabilities, authorities and responsibilities are defined and documented throughout the organisation.						
3.2.5	Staff at all levels are aware of and understand their safety accountabilities, authorities and responsibilities regarding all safety management processes, decisions and actions.						
3.2.6C	Safety management is shared across the organisation (and is not just the responsibility of the Safety Manager and his/her team)						
3.2.7	There are documented management organisational diagrams and job descriptions for all personnel.						



EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.2.8	There is evidence of employee involvement and consultation in the establishment and operation of the SMS.						
3.2.9C	There is evidence that safety management system principles have penetrated all levels of the organisation and safety is part of the everyday language.						
3.2.10	Safety accountabilities throughout the organisation are clearly documented and individuals sign for their accountabilities.						
3.2.11	Key safety activities are clearly described in senior management duties and responsibilities are incorporated into personnel performance targets.						
3.2.12	Management rewards positive safety behaviours and contributions						

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<p><b>3.2 EFFECTIVENESS</b> is achieved when there are clear lines of safety accountabilities throughout the organisation including an accountable person who has ultimate accountability for the SMS and the Accountable Manager and management team fully understand the risks faced by the organisation.</p>	<b>Effectiveness Not Achieved</b>		<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>		
	<b>Signs of Excellence</b>		
	<b>Excellence</b>		



### 3.3 APPOINTMENT OF KEY PERSONNEL

The organisation shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS. In addition the safety committees that support the Accountable Manager and the Safety Manager in delivering an effective SMS should be defined and documented.

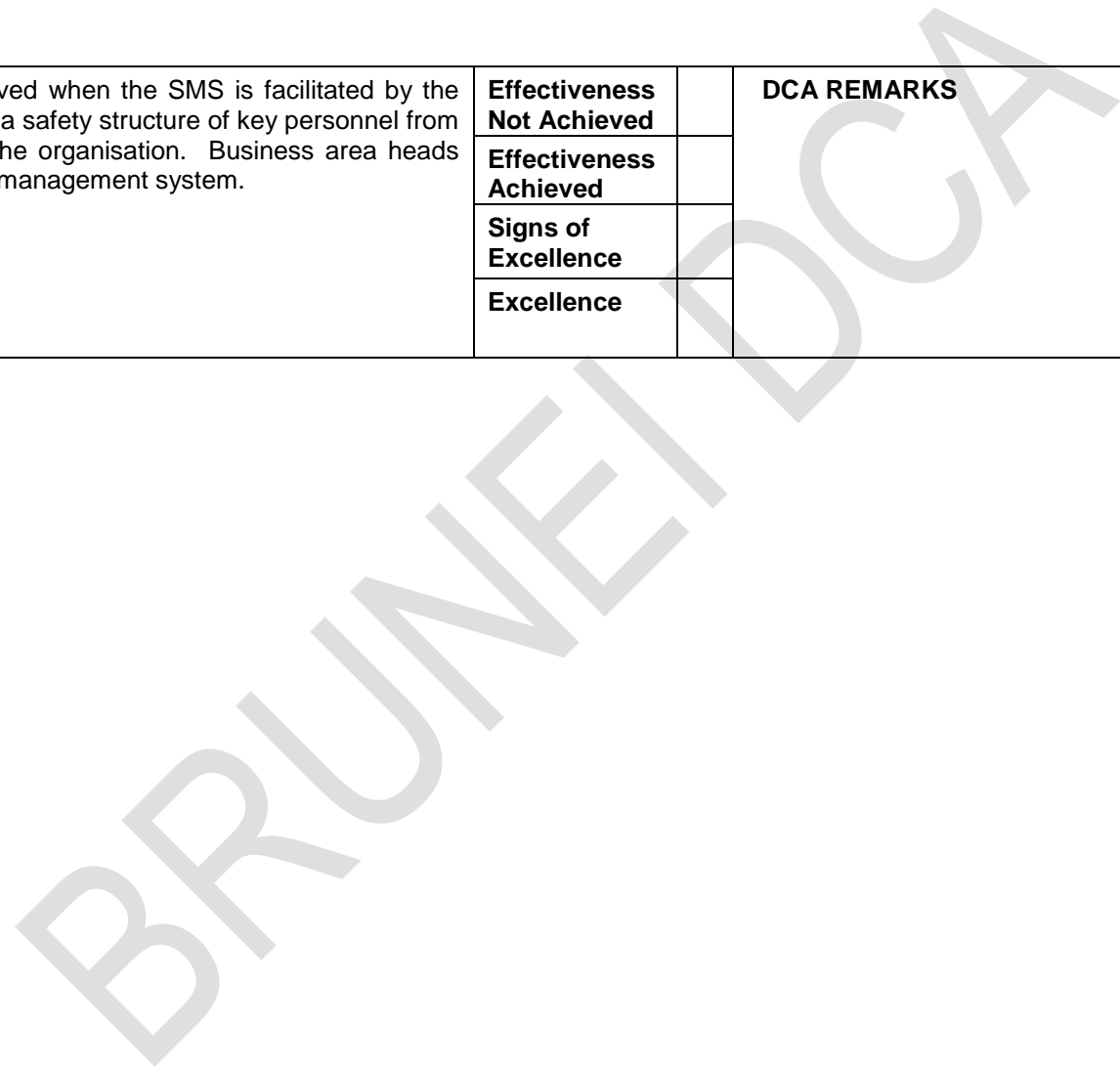
COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.3.1	A competent person with the appropriate knowledge, skills and experience has been nominated to manage the operation of the SMS and fulfils the required job functions and responsibilities.						
3.3.2	There is a direct reporting line between the Safety Manager and the Accountable Manager.						
3.3.3	The organisation has allocated sufficient resources to manage the SMS including, but not limited to, manpower for safety investigation, analysis, auditing and promotion.						
3.3.4	Staff in key safety roles is kept current through additional training and attendance at conferences and seminars.						
3.3.5	The organisation has established a structured safety committee or board, appropriate for the size and complexity of the organisation, consisting of a full range of senior management representatives.						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.3.6	The Safety Review Board or its equivalent monitors the safety performance of the operations and the effectiveness of the SMS and is normally chaired by the accountable executive.						
3.3.7	The person (s) responsible for managing and maintaining the SMS is/are given appropriate status in the organisation reflecting the importance of the safety role within the organisation and is independent of line management.						
3.3.8	Safety committees include stakeholders and significant contracted organisations.						
3.3.9	Safety committees are focused on safety issues and attendees are actively encouraged to participate.				√		



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<p><b>3.3 EFFECTIVENESS</b> is achieved when the SMS is facilitated by the responsible individual and there is a safety structure of key personnel from the various operational areas of the organisation. Business area heads are actively engaged in the safety management system.</p>	<p><b>Effectiveness Not Achieved</b></p>		<p><b>DCA REMARKS</b></p>
	<p><b>Effectiveness Achieved</b></p>		
	<p><b>Signs of Excellence</b></p>		
	<p><b>Excellence</b></p>		







### 3.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

The organisation shall ensure that an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations and the return to normal operations is properly coordinated with the emergency response plans of those organisations it must interface with during the provision of its service.

COMPLIANCE+ PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.4.1	An emergency response plan that reflects the size, nature and complexity of the operation has been developed and defines the procedures, roles, responsibilities and actions of the various organisations and key personnel.						
3.4.2	The organisation has a process to communicate and distribute the ERP procedures and key personnel have easy access to the ERP at all times.						
3.4.3	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.4.4	The organisation has Memorandums of Understanding (MoUs) or agreements with other organisations for mutual aid and the provision of emergency services.						
3.4.5	The organisation has implemented Critical Incident Stress Management for its staff						

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<b>3.4 EFFECTIVENESS</b> is achieved when the organisation has an emergency response plan that is appropriate to the organisation and is regularly tested and updated including coordination with other organisations as appropriate.	<b>Effectiveness Not Achieved</b>		<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>		
	<b>Signs of Excellence</b>		
	<b>Excellence</b>		



### 3.5 SMS DOCUMENTATION

The organisation shall develop and maintain SMS documentation describing the safety policy and objectives, the SMS requirements, the SMS processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs. The organisation shall incorporate the SMS documentation into its existing organisation documentation, or shall develop and maintain a safety management system manual (SMSM) to communicate its approach to the management of safety throughout the organisation.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.5.1	There is documentation that describes the safety management system and the interrelationships between all of its elements.						
3.5.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place						
3.5.3	SMS documentation is readily available to all personnel						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
3.5.4	Safety Management processes are integrated into existing organisational manuals.						
3.5.5	The company has analysed and uses the most appropriate medium for the delivery of documentation at both the corporate and operational levels.						

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<b>3.5 EFFECTIVENESS</b> is achieved when the organisation has SMS documentation that describes their approach to the management of safety that is used throughout the organisation and is regularly reviewed and updated. The documentation meets the safety objectives of the organisation.	<b>Effectiveness Not Achieved</b>		<b>DCA REMARKS</b>
	<b>Effectiveness Achieved</b>		
	<b>Signs of Excellence</b>		
	<b>Excellence</b>		



#### 4.0 SAFETY PROMOTION

##### 4.1 TRAINING AND EDUCATION

All personnel are trained and competent to perform their SMS related duties and the training programme is monitored for its effectiveness and updated.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
4.1.1	There is a documented process to identify and provide Safety Management training, including initial and recurrent training, so that personnel are competent to perform their duties, including appropriate training records.						
4.1.2	There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.						
4.1.3	There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
4.1.4C	Training includes human and organisational factors including just culture and non technical skills with the intent of reducing human error						
4.1.5	Training requirements are documented for each area of activity within the organisation, including areas where training requirements are not defined by regulations.						
4.1.6	A training needs analysis is carried out for all staff and is regularly reviewed.						
4.1.7	Training is provided for third party contractors working in activities related to the company's operation.						
4.1.8	Employees have a mechanism to request additional SMS training in relation to their role in SMS.						
4.1.9	Management recognise and uses informal opportunities to instruct employees on safety management						



4.1.10	Training includes attendance at symposiums and industry conferences.						
4.1.11	Training exercises and methods for all employees are kept current to reflect new techniques, technologies, results of investigations, corrective actions and regulatory changes.						
4.1.12	An annual training plan is in place.						

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<p><b>4.1 EFFECTIVENESS</b> is achieved when all personnel are trained and competent to perform their SMS related duties and the training programme is monitored for its effectiveness and updated.</p>	<p><b>Effectiveness Not Achieved</b></p>	<p><b>DCA REMARKS</b></p>
	<p><b>Effectiveness Achieved</b></p>	
	<p><b>Signs of Excellence</b></p>	
	<p><b>Excellence</b></p>	



## 4.2 SAFETY COMMUNICATION

The organisation shall develop and maintain formal means for safety communication that ensures that all personnel are fully aware of the SMS, conveys safety critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

COMPLIANCE + PERFORMANCE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
4.2.1	Safety initiatives and strategies are communicated throughout the organisation to staff						
4.2.2	Significant events and investigation outcomes are communicated to staff, including contracted organisations where appropriate.						

EXCELLENCE AND BEST PRACTICE MARKERS		P	S	O	E	How it is achieved	DCA Remarks
4.2.3	There is a safety communication strategy that includes electronic communication, frequent meetings, SMS award systems, employee recognition system, SMS bulletins etc						
4.2.4	Significant events and investigation outcomes from external sources are communicated to staff including contracted organisations where appropriate.						
4.2.5	The effectiveness of safety communication is routinely assessed and the strategy revised as required.						
4.2.6	Safety-related information is proactively shared with other parties.						

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<b>4.2 EFFECTIVENESS</b> is achieved when personnel are aware of the SMS, safety critical information and their role in respect of aviation safety.	<b>Effectiveness Not Achieved</b>	<b>DCA REMARKS</b>
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	<b>Excellence</b>	



### SMS Evaluation Risk Picture

Risk Description (Top 5 Risks)	Mitigation actions

Significant 7 Risk	How is it being addressed?	How is being measured?
Loss of Control		
Runway Excursion		
Runway Incursion		
Airborne Conflict		
Controlled Flight into Terrain		
Ground Handling		
Fire		



## SMS Evaluation Summary

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Effectiveness Index	Initiating	Present and suitable	Operating	Effective	Excellence
<b>The SMS as a whole</b>	The SMS is still at the implementation stage	Achieved a successful phase 1 assessment	The systems and processes of the SMS are operating.	The SMS is working in an effective way and is striving for continuous improvement	The organisation is an industry leader and embraces and shares its best practice
<b>Safety Risk Management</b>	The SMS is still at the implementation stage	Achieved a successful phase 1 assessment	The hazard and risk registers are being built up and risks are starting to be managed in proactive manner.	The organisation is continuously identifying hazards and understands its biggest risks and is actively managing them and this can be seen in their safety performance. Safety Risk management is proactive and predictive.	Key Personnel throughout the organisation are aware and understand the risks relative to their responsibilities and are continuously searching out new hazards and risks and re-evaluating existing risks
<b>Safety Assurance</b>	The SMS is still at the implementation stage	Achieved a successful phase 1 assessment	The Organisation has established SPIs that it is monitoring and is auditing and assessing its SMS and its outputs	The organisation assures itself that it has an effective SMS and is managing its risk through audit, assessment and monitoring of its safety performance.	The organisation is continuously assessing its approach to safety management and is continuously improving its safety performance and seeking out and embracing best practice
<b>Safety Policy and Objectives</b>	The SMS is still at the implementation stage	Achieved a successful phase 1 assessment	There is a safety policy in place and Senior Management are committed to making the SMS work and is providing appropriate resources to safety management .	Senior Management are clearly involved in the SMS and the Safety Policy sets out the organisations intent to manage safety and is clearly evident in the day to day operations	The organisation is an industry leader and embraces best practice
<b>Safety Promotion</b>	The SMS is still at the implementation stage	Achieved a successful phase 1 assessment	The organisation has trained its people and has several mediums for safety promotion that it uses for passing on safety information	The organisation puts a considerable resource and effort into training its people and publicising its safety culture and other safety information and monitors the effectiveness of its safety promotion	In addition the organisation provides training and safety promotion to its contracted service providers and assesses the effectiveness of its safety promotion