International Civil Aviation Organization

Aerodrome Safety, Planning and Implementation Group

Third Meeting (ASPIG/3)
(Virtual, 25-27 October 2021)

Agenda Item 2: **Regional Performance Framework for Aerodrome Safety**

UAE SMS Toolkit designed for GHSP

(Presented by United Arab Emirates)

SUMMARY
This paper presents the UAE SMS Toolkit designed for Ground Handling Service Providers based on ICAO DOC 10121 Manual on Ground Handling.
Action by the meeting is at paragraph 3.

REFERENCES
- ICAO Manual Aerodromes Doc 10121

1. **INTRODUCTION**

1.1   For several years the air operator, aerodrome and ground handling sectors of industry, together with a number of State regulators, have been concerned with the level and extent of damage to aircraft during ground handling and the rate of safety occurrences to aircraft, passengers and airport workers. This concern continues to be shared internationally by various groups and organizations.

1.2   Despite very limited ICAO guidance, the UAE has addressed the global concern pragmatically. Our perspective was to strongly rely on the Aerodrome's Safety Management System (SMS) hence moving from a prescriptive to a performance approach and reducing the burden on the CAA's resources.

1.3   Our approach was further advanced after the publication of ICAO Doc 10121 Manual on Ground Handling, the UAE developed an enhanced toolkit, based on Chapter 4 "Guidance for Ground Handling Service Providers" designed to assist aerodrome operators in assessing the Ground Handling Service Providers' (GHSP) Safety Management System (SMS).

1.4   This paper presents the UAE SMS Toolkit, as at **Appendix A**, for GHSP including the assessment methodology.

2. **DISCUSSION**

2.1　　　　In 2016, the UAE initiated changes to ensure the aerodrome certificate holders established required contractual relationships with third party entities on the aerodrome including ground handlers, in order to ensure that essential safety management elements, such as reporting of incidents was prevalent across the airport.

2.2　　　　In 2017, the UAE conducted an initial survey to assess the presence of safety management system within UAE ground handling organizations and created the first version of safety oversight tools which could be applied to ground handling organizations through self-assessment or oversight by the aerodrome operator.

2.3　　　　The innovation and effectiveness of the framework created by the UAE was recognized on a global scale when the UAE model for Ground Handling Safety Oversight was recognized and featured as one of seven state models promoted in ICAO Doc 10121 Manual on Ground Handling.

2.4　　　　Following the publication and recognition of the UAE in ICAO Doc 10121 Manual on Ground Handling, the UAE developed an enhanced checklist to further assist Aerodrome Operators in assessing the Safety Management System of the GHSP on their aerodromes. As a result, one of the busiest and main aerodromes in the UAE reported a decreased damage to aircraft between 2018 and 2019 and over the same period the incidents associated with GHSP decreased approximately 18% across all UAE aerodromes.

3. **ACTION BY THE MEETING**

3.1　　　　The meeting is invited to:

　　　a)　note the content of the paper; and

　　　b)　refer UAE oversight approach on GHSP to the ICAO Aerodrome Operations Working for discussion and adoption.

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TITLE:	CHECKLST - SMS ASSESSMENT TOOL – GROUND HANDLING SERVICE PROVIDERS		ANF-149

AUDIT INFORMATION					
Audit Title :			**Date :**		
Organisation :					
Nominated Personnel Name : **assigned to the Audit**		**Title:**		**Present ☐**	**Absent ☐**
Delegated / Representative:		**Title:**			
Lead Auditor – Name:					
Other Auditors – Name:					

Introduction

GCAA CAR ADR and ICAO Annex 19, promotes a common approach to safety management and safety oversight across aviation domains. This document provides a common assessment methodology focusing both on assessment and continual improvement of the Safety Management System (SMS).

On the 13th of March 2018, the GCAA through the National Airport Operations Technical Committee, communicated the requirement for the Aerodrome Operators to monitor and audit the SMS of the Ground Handling Service Providers (GHSP) to ensure the continued safe operation of the GHSP.

This assessment tool is designed based on Chapter 4 of ICAO DOC 10121 Manual on Ground Handling, and to be used by the Aerodrome Operator, to assess the effectiveness of the GHSP Safety Management System, for the purpose of continuous improvement.

The intent of ICAO DOC 10121 Manual on Ground Handling is to address the ground handling services that form an integrated part of the aviation system and contribute directly to flight and aerodrome safety. The manual brings together the ground handling operation and the principles of SMS to highlight safety improvements in the overall system for GHSP as well as air and aerodrome operators.

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TOOL GUIDANCE

The tool assesses the effectiveness of the SMS through a series of features based on ICAO Annex 19 Second Edition, CAR Part X - Safety Management System requirements, and ICAO DOC 10121 Chapter 4. It is set out using the 12 elements of the ICAO SMS Framework. Each feature should be reviewed to determine whether the feature is present, suitable, operating and effective, using the definitions and guidance set out below.

The SMS Assessment Tool should be sent to the GHSP minimum 2 months' prior the SMS Assessment. The Aerodrome Operator should request the GHSP to complete and return the SMS Assessment Tool not less than 10 working days prior to the start of the SMS Assessment.

The GHSP should be requested to complete the self-assessment, in relation to:

- Present markers
- Suitable markers
- Operating markers

The effective marker must be filled by the Aerodrome Operator only. The Aerodrome Operator will verify and validate the GHSP self-assessment prior to or during the SMS Assessment.

DEFINITIONS

Present: There is evidence that the feature is documented within the organisation's Safety Management system/SMS Documentation.

Suitable: The feature is suitable based on the size, nature, complexity of the organisation and the inherent risk in the activity.

Operating: There is evidence that the feature is in use and an output is being produced.

Effective: There is evidence that the feature is achieving the desired outcome and has a positive safety impact.

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The Present, Suitable, Operating, Effective (PSOE) level should be considered as progressive; it must first be present, then confirmed as suitable, then it becomes operating, and may then be Effective. During ongoing assessments, the suitability should be reassessed taking into account changes to the GHSP and its activities. An item cannot be considered Effective if it is not present because if it is not documented it cannot be carried out consistently and systematically.

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CAR PART X Ref	2.1 SAFETY POLICY AND OBJECTIVES			
	1.1 2.1.1 MANAGEMENT COMMITMENT			
SMS Checklist Ref	1.1	ICAO Doc 10121 Ref	4.2.4.2	

Evaluation Criteria:

- GHSPs should define their safety policy in accordance with international and national requirements and be signed and dated by the Accountable Manager of the organization.
- The safety policies should reflect the positive organizational commitments regarding safety, including a clear statement about the provision of necessary human and financial resources for its implementation.
- The policy should be communicated with visible senior management endorsement throughout the organization.
- The safety policy should encourage safety reporting and clearly show which types of behaviours are unacceptable and include the conditions under which disciplinary action would not apply.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on <u>SAFETY POLICY AND OBJECTIVES</u> MANAGEMENT COMMITMENT

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CAR PART X Ref	*1.2*		**2.1.2**	*SAFETY ACCOUNTABILITY AND RESPONSIBILITIES*	
SMS Checklist Ref	*1.3.2*	*1*	*1.4 ICAO Doc 10121 Ref*	*1.5*	*4.2.5.2, 4.2.5.3, & 4.2.5.4*

Evaluation Criteria:

- The leadership of ground handling safety is the responsibility of the management who weighs risk against financial viability and is able to allocate appropriate resources.
- The drive and commitment from senior managers establishes a set of beliefs, systematic practices and integrated procedures for mitigating and monitoring safety risk. It is in management where safety culture is developed and campaigned.
- In the case of GHSPs, the Accountable Manager is accountable for the management of safety. An important concept is that responsibility for safety can be delegated but not the accountability. The safety management philosophy requires that responsibility and accountability for safety are retained within the management structure and it is here that ongoing commitment to an effective safety programme is driven.
- Identify the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS;
- Document and communicate safety responsibilities, accountabilities and authorities throughout the organization; and
- Define the levels of management with authority to make decisions regarding safety risk tolerability.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on SAFETY ACCOUNTABILITY AND RESPONSIBILITIES

CAR PART X Ref	*1.6 2.1.3 APPOINTMENT OF KEY SAFETY PERSONNEL*		
SMS Checklist Ref	*1.7 1.3*	*1.8 ICAO Doc 10121 Ref*	*1.9 4.2.6.2*

Evaluation Criteria:

- The GHSP should appoint a person who fulfils the role of the Safety Manager. This individual is responsible for the implementation of the SMS and is a management official who reports to the Accountable Manager.

- The SMS responsibilities of the appointed manager are to be documented and reporting lines are to be clearly defined, especially between the Safety Manager and the Accountable Manager. The reporting lines are generally defined on an organizational chart and may be defined within the job description.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on APPOINTMENT OF KEY SAFETY PERSONNEL

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CAR PART X Ref	*1.10 2.1.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING*		
SMS Checklist Ref	1.4	**ICAO Doc 10121 Ref**	4.2.7.2 & 4.2.7.3

Evaluation Criteria:

- The Emergency Response Plan of a GHSP should allow a planned reaction to an aircraft accident or other type of adverse event that could result in fatalities, serious injuries, considerable damage and/or a significant disruption to operations. A GHSP should:

    a) identify the regulations in effect at the airport, with the aerodrome operator and/or relevant authorities

    b) define its role and responsibilities, in coordination with all other stakeholders;

    c) establish a timeline on actions to be taken in response to events;

    d) participate as required to the aerodrome operator emergency exercises; and

    e) document, review and periodically test its ERP to ensure its relevance to the aerodrome ERP.

- Communication protocols should be established and shared between the GHSP, the aerodrome operator, air operators and other relevant stakeholders to facilitate the initial activation of the response to an emergency, including an up-to-date emergency contact list.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

CAR PART X Ref	*1.11* ***2.1.5 SMS DOCUMENTATION***		
SMS Checklist Ref	1.5	**ICAO Doc 10121 Ref**	4.2.8.2 & 4.2.8.3

Evaluation Criteria:

- The GHSP's SMS should be documented in a form commensurate to the size and complexity of its operations and made available to all personnel.

- Operational records of a GHSP SMS should include safety risk assessments, safety reports, Safety Performance Indicators(SPIs), safety management training records, etc.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on SMS DOCUMENTATION		

SAFETY POLICY AND OBJECTIVES SUMMARY		
Number of Markers assessed as being effective:	(out of 5)	
Percentage of Markers assessed as being effective:	(100/5 x number of effective markers)	
Effectiveness Achieved for Component:	(must be in excess of 75%)	**YES / NO** (delete as appropriate)

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CAR PART X Ref	**2.2 SAFETY RISK MANAGEMENT**		
	1.12 2.2.1 HAZARD IDENTIFICATION		
SMS Checklist Ref	2.1	ICAO Doc 10121 Ref	4.2.9.3

Evaluation Criteria:

- A non-punitive safety reporting system should be implemented and easily accessible to all GHSP personnel to communicate occurrences and safety issues.
- Safety reporting should include both mandatory and voluntary reporting systems and be compliant with GCAA/Aerodrome requirements. Examples of means to report safety relevant information are paper or electronic forms, emails or telephone hotlines.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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CAR PART X Ref	**2.2 SAFETY RISK MANAGEMENT**			
	1.13 2.2.1 HAZARD IDENTIFICATION			
SMS Checklist Ref	2.1.1	ICAO Doc 10121 Ref	4.2.9.3	

Evaluation Criteria:

- Hazard identification shall be based on a combination of reactive and proactive methods.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							
SUMMARY COMMENTS on 'HAZARD IDENTIFICATION'							

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CAR PART X Ref	2.2.2 SAFETY RISK ASSESSMENT AND MITIGATION		
SMS Checklist Ref	2.2	**ICAO Doc 10121 Ref**	4.2.10.4, 4.2.10.5, & 4.2.10.6

Evaluation Criteria:

- Safety risk assessments should be conducted by the appropriate manager and should include experienced personnel and third parties involved in the considered activities.
- Following a safety risk assessment, identified mitigation measures may require the development or adaption of: SOPs; modification of, or additional training; changes to equipment; etc.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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CAR PART X Ref	2.2.2	SAFETY RISK ASSESSMENT AND MITIGATION	
SMS Checklist Ref	2.2.1	**ICAO Doc 10121 Ref**	4.2.10.4, 4.2.10.5, & 4.2.10.6

Evaluation Criteria:

- A risk register should be used for the purpose of documenting risk assessment information and monitoring risk mitigation (control) actions.
- Risk acceptability being routinely applied in decision making process.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

SUMMARY COMMENTS on RISK ASSESSMENT AND MITIGATION

SAFETY RISK MANAGEMENT SUMMARY		
Number of Requirements assessed as being effective:	(out of 4)	
Percentage of Requirements assessed as being effective:	(100/4 x number of effective Requirements)	
Effectiveness Achieved for Component:	(must be in excess of 75%)	**YES / NO** (delete as appropriate)

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CAR PART X Ref	2.3 SAFETY ASSURANCE 1.14 2.3.1 *SAFETY PERFORMANCE MONITORING AND MEASUREMENT*		
SMS Checklist Ref	3.1	ICAO Doc 10121 Ref	4.2.11.2

Evaluation Criteria:

- GHSPs should develop procedures to verify the safety performance of the organization and to validate the effectiveness of the safety risk controls.
- SPIs, targets and alerts are means to assess the continued safety performance of the GHSP. They can be based on the results of internal or external audits, apron inspections, occurrence reporting, etc., and may be aligned with some of the SPIs of the air and aerodrome operators the GHSP interfaces with.

PRESENT	SUITABILITY CONSIDERATIONS	OPERATIONAL	EFFECTIVE
There is evidence that the marker is documented within the organization's SMS Documentation.	The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.	There is evidence that the marker is in use and an output is being produced.	There is evidence that the marker is achieving the desired outcome and has a positive safety impact.
Assessment results			

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CAR PART X Ref	*1.15* **2.3.1** *SAFETY PERFORMANCE MONITORING AND MEASUREMENT*		
SMS Checklist Ref	*1.16* *3.1.1*	*1.17* **ICAO Doc 10121 Ref**	*1.18* **4.2.11.7**

Evaluation Criteria:

- A GHSP should have a safety assurance programme with a detailed internal evaluation process and sufficient resources to ensure the effectiveness of the management system at all stations. The safety assurance programme should:

  a) comply with applicable regulations and requirements of the aerodrome operators;

  b) identify any hazards to operations;

  c) monitor the effectiveness of safety risk controls; and

  d) be validated using SPIs and SPTs.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
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SUMMARY COMMENTS on SAFETY PERFORMANCE MONITORING AND MEASUREMENT

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CAR PART X Ref	1.19 **2.3.2 MANAGEMENT OF CHANGE**		
SMS Checklist Ref	1.20 **3.2**	1.21 **ICAO Doc 10121 Ref**	1.22 **4.2.12.2**

Evaluation Criteria:

- GHSPs should inform and coordinate any change in its procedures that may affect the aerodrome operator, air operators or other organizations it may interface with. Changes affecting GHSPs can be internal or involve external organizations and should be jointly assessed with them. Examples of such changes are:

    a) changes of aerodrome infrastructure;

    b) significant management changes (acquisitions, mergers, etc.);

    c) new contracts, aircraft types or procedures;

    d) changes in regulations; and

    e) acquisition of new types of GSE.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on 'THE MANAGEMENT OF CHANGE'

CAR PART X Ref	*1.23* **2.3.3 CONTINUOUS IMPROVEMENT OF THE SMS**		
SMS Checklist Ref	*1.24* **3.3**	*1.25* **ICAO Doc 10121 Ref**	*1.26* **4.2.13.2 & 4.2.13.3**

Evaluation Criteria:

- As part of its SMS, a GHSP should implement a continuous improvement process. This process may include self-evaluation, follow-up actions and internal audit processes.
- When a GHSP uses an integrated management system, this continuous improvement process would be included as part of the regular quality controls and reviews.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on 'CONTINUOUS IMPROVEMENT OF THE SMS

SAFETY ASSURANCE SUMMARY		
Number of Markers assessed as being effective:	(out of 4)	
Percentage of Markers assessed as being effective:	(100/4 x number of effective markers)	
Effectiveness Achieved for Component:	(must be in excess of 75%)	YES / NO (delete as appropriate)

CAR PART X Ref	2.4 SAFETY PROMOTION
	1.27 2.4.1 TRAINING AND EDUCATION

SMS Checklist Ref	4.1	ICAO Doc 10121 Ref	4.2.14.2 & 4.2.14.3

Evaluation Criteria:

- The GHSP shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their duties relevant to the GHSPs SMS.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	

Assessment results

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SECTION:	AIR NAVIGATION AND AERODROMES FORMS	ANF-ADR-002b
TITLE:	CHECKLST - SMS ASSESSMENT TOOL – GROUND HANDLING SERVICE PROVIDERS	ANF-149

CAR PART X Ref	2.4 SAFETY PROMOTION *1.28 2.4.1 TRAINING AND EDUCATION*		
SMS Checklist Ref	4.1.1	ICAO Doc 10121 Ref	4.2.14.2 & 4.2.14.3

Evaluation Criteria:

- SMS training for all personnel should, as a minimum, address the following:

    a) the importance of the GHSP's SMS framework, safety policy and safety culture;

    b) the individual involvement of the personnel in the SMS, including the use of an occurrence reporting system, application of safe working and operating practices, and response to emergency situations; and

    c) human factors and human error.

- Managers and supervisors responsible for implementing components of SMS should receive more detailed training covering all twelve elements, as relevant to their duties.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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SUMMARY COMMENTS on TRAINING AND EDUCATION

Annex 19 SARPS Ref	*1.29*	***2.4.2***	***SAFETY COMMUNICATION***		
SMS Checklist Ref	*1.30 4.2*	*1.31 Ref*	*ICAO Doc 10121*	*1.32 4.2.15.2 & 4.2.15.3*	

Evaluation Criteria:

- Safety communication is two-way. Personnel should be encouraged to voluntarily report safety issues and management should then openly provide feedback on the analysis made and measures taken.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							

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Annex 19 SARPS Ref	*1.33* *2.4.2* *SAFETY COMMUNICATION*		
SMS Checklist Ref	*1.34 4.2.1*	*1.35 ICAO Doc 10121 Ref*	*1.36 4.2.15.2 & 4.2.15.3*

Evaluation Criteria:

- Safety information can be developed by the GHSP or may come from the air operators, aerodrome operator or the Authority. Some ways to convey safety information to personnel are through newsletters, posters and campaigns, safety bulletins, etc.

PRESENT		SUITABILITY CONSIDERATIONS		OPERATIONAL		EFFECTIVE	
There is evidence that the marker is documented within the organization's SMS Documentation.		The marker is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity.		There is evidence that the marker is in use and an output is being produced.		There is evidence that the marker is achieving the desired outcome and has a positive safety impact.	
Assessment results							
SUMMARY COMMENTS on SAFETY COMMUNICATION							

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SAFETY PROMOTION SUMMARY		
Number of Markers assessed as being effective:	(out of 4)	
Percentage of Markers assessed as being effective:	(100/4 x number of effective markers)	
Effectiveness Achieved for Component:	(must be in excess of 75%)	**YES / NO** (delete as appropriate)

SMS ASSESSMENT - SUMMARY

COMPONENT	ELEMENT	Present	Suitable	Operational	Effective
SAFETY POLICY AND OBJECTIVES	1.1 - MANAGEMENT COMMITMENT				
	1.2 - SAFETY ACCOUNTABILITY AND RESPONSIBILITIES				
	1.3 - APPOINTMENT OF KEY PERSONNEL				
	1.4 - CO-ORDINATION OF EMERGENCY RESPONSE PLANNING				
	1.5 - SMS DOCUMENTATION				
SAFETY RISK MANAGEMENT	2.1 - HAZARD IDENTIFICATION				
	2.2 – SAFETY RISK ASSESSMENT AND MITIGATION				
SAFETY ASSURANCE	3.1 - SAFETY PERFORMANCE MONITORING AND MEASUREMENT				
	3.2 - MANAGEMENT OF CHANGE				
	3.3 - CONTINUOUS IMPROVEMENT OF THE SMS				
SAFETY PROMOTION	4.1 - TRAINING AND EDUCATION				
	4.2 - SAFETY COMMUNICATION				

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