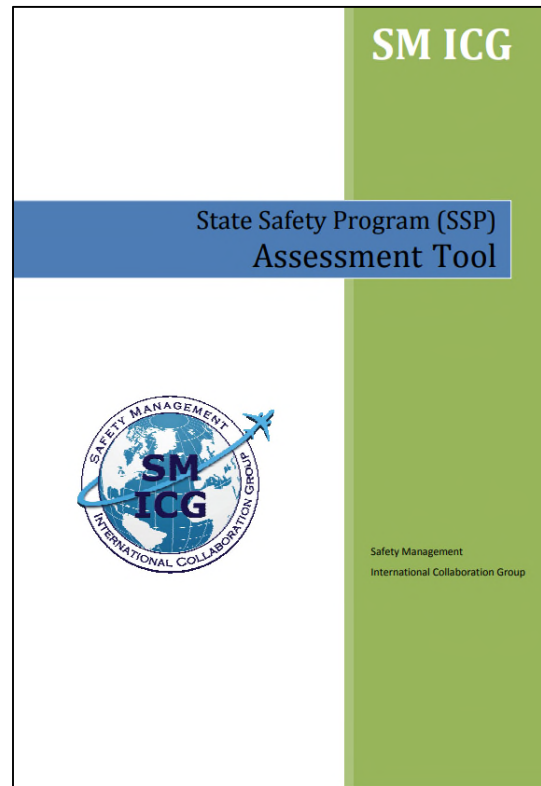# Contenido

→ Herramienta de Evaluación del SSP – SM ICG
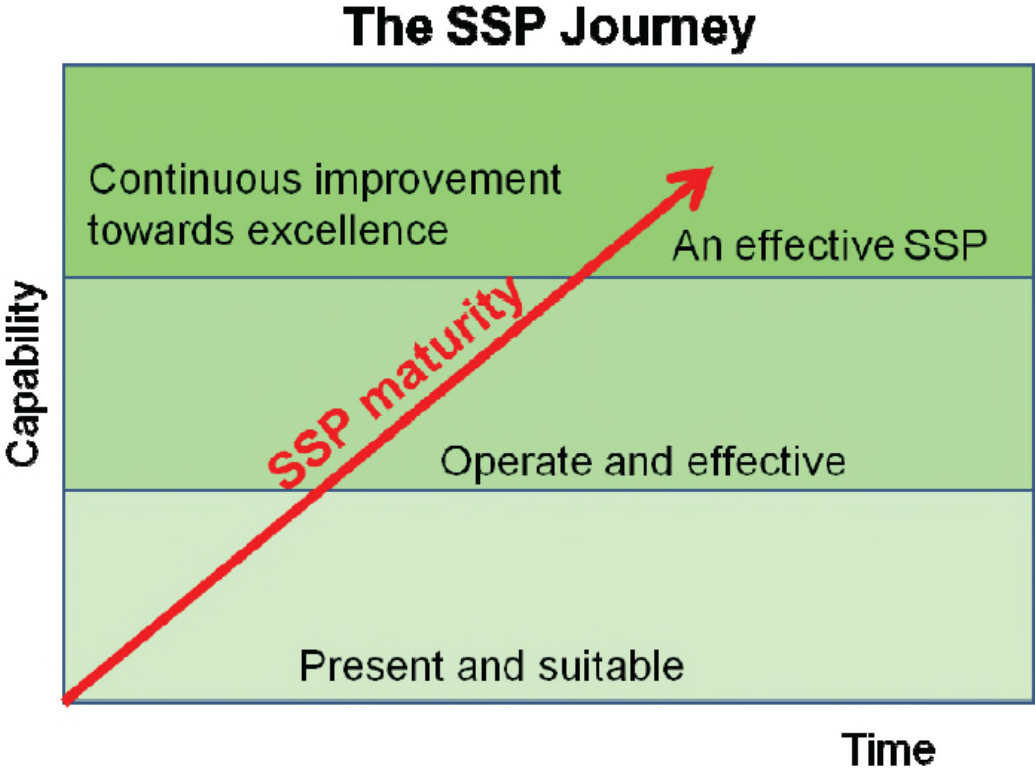
→ Herramienta de Evaluación del SMS – SM ICG

→ EASA MS Assessment Tool

Herramienta de Evaluación del SSP – SM ICG

https://www.skybrary.aero/bookshelf/books/2901.pdf

Herramienta de Evaluación del SSP – SM ICG

The SSP Journey

Capability

Continuous improvement towards excellence

An effective SSP

SSP maturity

Operate and effective

Present and suitable

Time

EASA

Herramienta de Evaluación del SSP – SM ICG

SM ICG SSP Assessment Tool

1. STATE SAFETY AND POLICY OBJECTIVES (SSP Component)

CE 1 – Primary Legislation
CE 2 – Operating Regulations

1.1 STATE SAFETY LEGISLATIVE FRAMEWORK (SSP Framework)
The State has promulgated a national safety legislative framework and specific regulations, in compliance with international and national standards, that define how the State will conduct the management of safety in the State. This includes the participation of State aviation organizations in specific activities related to the management of safety in the State, and the establishment of the roles, responsibilities and relationships of such organizations. The safety legislative framework and specific regulations are periodically reviewed to ensure they remain relevant and appropriate to the State.

EFFECTIVENESS is achieved when the State has promulgated a legislative framework and possesses a comprehensive set of safety regulations that are in compliance with international and national standards. Accountabilities and responsibilities are clearly defined and implemented. There is also evidence that regulations apply to all aspects of the civil aviation system and the Acceptable Level of Safety Performance (ALoSP) is maintained or improved.

INDICATORS OF COMPLIANCE + PERFORMANCE

Requirement		Expectations	P	S	O	E	How it is achieved	Verification
1.1.1	Has the state promulgated a national safety legislative framework and specific technical regulations?	a) The legislative framework should provide the State with the necessary authority to proactively regulate the industry. b) Regulations should, as minimum meet requirements in ICAO Annexes. c) There is associated guidance material to provide additional information and interpretation of the regulatory framework.						
1.1.2	Has the State developed and implemented procedures for the periodic review and amendment of its regulations?	a) Procedures exist for reviewing regulations for currency and adequacy that includes: 1. Capturing and analyzing drivers that might promote regulatory change including ICAO, accident reports, emerging technologies, changes in the aviation system, etc; 2. Consulting with the industry; 3. Prioritization of those changes; and 4. Capturing the impact of regulatory change on the entire regulatory						

Herramienta de Evaluación del SMS – SM ICG

v1: https://www.seguridadaerea.gob.es/media/4201640/sistema_gestion_seg_operac_herramienta_evaluacion.pdf

v2: https://drive.google.com/file/d/1SUKhkhuzwo32Zx-tzzW-V4W9ih3-tnxh/view

Herramienta de Evaluación del SMS – SM ICG

SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1   HAZARD IDENTIFICATION (Annex 19 element 2.1)

		Indicators of compliance and performance	P	S	O	E	How it is achieved	Comments
Evaluation	1.1.1	There is a confidential reporting system to captures errors, hazards and near misses that is simple to use and accessible to all staff.						
	1.1.2	There is a confidential reporting system that provides appropriate feedback to the reporter and where appropriate, to the rest of the organisation.						
	1.1.3	Personnel express confidence and trust in the organisations reporting policy.						

Guidance — What to

- Review the reporting system for access and ease of use.
- Check staff trust the reporting system, are familiar with it and know what
- Review how data protection and confidentiality is achieved.
- Evidence of feedback to reporter, the organisation and third parties.
- Assess volume and quality of reports - including whether personnel are re
- Review report closure rates.
- Check availability to contracted organisations and customers to make rep
- Review how reports in the system are analysed.
- Confirm responsibilities with regards to occurrence analysis, storage and fo
- Check relevant staff are aware of which occurrences should be mandatory.
- Assess how senior management engage with the outputs of the reporting system.

Present (7b)	Suitable (7c)	Operating (7d)	Effective (7e)
There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. The process identifies how reports are actioned, timescales specified and addressed.	The reporting system is accessible and easy to use by all personnel. Responsibilities, timelines and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.	The reporting system is being used by all personnel. There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation. Reports are evaluated, processed, analysed and stored. People are aware and fulfil their responsibilities in respect of the	There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner Personnel express confidence and trust in the organisations reporting policy and process. The reporting system is being used to make better management decisions

Evaluation Form Legend

1. ICAO Component Name & Reference
2. ICAO Element Name & Reference
3. Evaluation Section
4. (P) Present, (S) Suitable, (O) Operating, (E) Effective
5. Reference/evidence recording (*free-text*)
6. Evaluator comments (*free-text*)
7. Guidance Section
7a. Guidance on what/where to look for evidence
7b-e. Compliance + Performance guidance *word-picture*

https://drive.google.com/file/d/1SUKhkhuzwo32Zx-tzzW-V4W9ih3-tnxh/view

Herramienta de Evaluación del SMS – SM ICG

Appendix 1 – Example of an evaluation summary

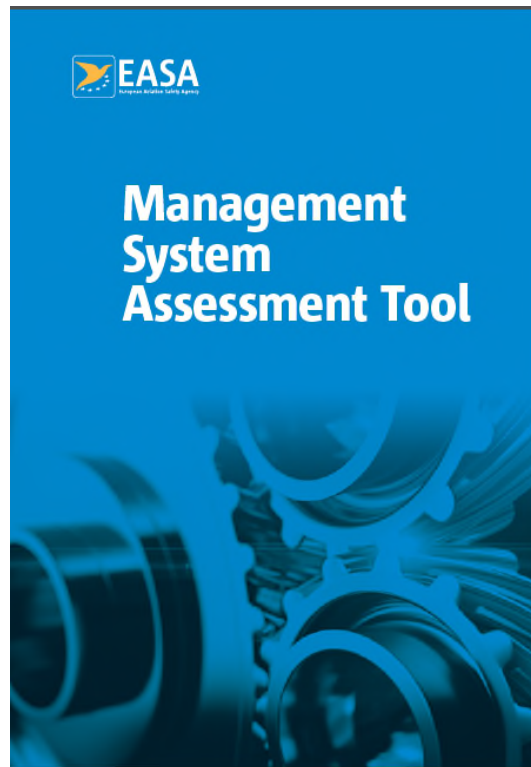|	Initiating	Present and Suitable	Operating	Effective	Excellence
The SMS as a Whole	The SMS is at the implementation stage.	All main elements of the SMS are in place.	The systems and processes of the SMS are operating.	The SMS is working in an effective way and is striving for continuous improvement.	The organisation is an industry leader and embraces and shares its best practices.
Safety Risk Management	The safety risk management processes are not fully developed.	A safety reporting system is in place and there is a process for how risks are assessed and managed.	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; this can be seen in their safety performance. Safety Risk Management is proactive.	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.
Safety Assurance	Safety assurance activities, including safety performance indicators (SPIs) are not fully developed.	Initial SPIs linked to the safety objectives have been identified and there is a change management process in place.	The organisation has established SPIs that it is monitoring and is auditing and assessing its SMS and its outputs.	The organisation assures itself that is 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 practices.
Safety Policy and Objectives	Policies, processes, and procedures are not fully developed.	There are policies, processes, and procedures in place that detail how the SMS will operate.	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 organisation's intent to manage safety. This is clearly evident in day to day operations.	The organisation is an industry leader and embraces best practices.
Safety Promotion	Safety promotion activities are not fully developed.	There is a training programme and the means to communicate safety information is in place.	The organisation has trained its people and has several mediums for safety promotion that it uses for passing on safety information.	The organisation puts considerable resources 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.
Human Factors Management	Human Factors are considered but not formally captured by the organisation.	Human Factors policies and processes have been defined and documented where required by regulation.	Human Factors are being managed across the organisation and are starting to be integrated into the organisation's SMS.	Human Factors are integrated into the SMS and the operations of the organisation. All staff including management are aware of Human Factors and apply it in the way they work.	Human Factors are embedded into the day to day activities of the organisation and fully integrated into the SMS. This is evident throughout the organisation from senior management to front line staff.

Herramienta de Evaluación del SMS – SM ICG

1. SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1 HAZARD IDENTIFICATION (Annex 19 element 2.1)

		Indicators of compliance and performance	P	S	O	E	How it is achieved	Comments
Evaluation	1.1.1	There is a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.						
	1.1.2	There is a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation.						
	1.1.3	Personnel express confidence and trust in the organisation's reporting policy.						

What to look for

- Review the reporting system for access and ease of use.
- Check staff's trust of and familiarity with the reporting system, and whether they know what should be reported.
- Review how data protection and confidentiality is achieved.
- Evidence of feedback to reporter, the organisation, and third parties.
- Assess volume and quality of reports, including whether personnel are reporting their own errors and mistakes.
- Review report closure rates.
- Check whether contracted organizations and customers are able to make reports.
- Review how reports in the system are analysed.
- Confirm that responsibilities with regards to occurrence analysis, storage, and follow-up are clearly defined.
- Check that relevant staff are aware of which occurrences should be mandatory.
- Assess how senior management engage with the outputs of the reporting system.

Present	Suitable	Operating	Effective
There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. The process identifies how reports are actioned, and timescales are specified and addressed.	The reporting system is accessible and easy to use by all personnel. Responsibilities, timelines, and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.	The reporting system is being used by all personnel. There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation. Reports are evaluated, processed, analysed, and stored. Staff are aware of and fulfil their responsibilities in respect to the reporting system. Reports are processed within the defined timescales.	There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner. Personnel express confidence and trust in the organisations' reporting policy and process. The reporting system is being used to make better management decisions and continuously improve. The reporting system is available for third parties to report (partners, suppliers, and contractors).

EASA

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Management System Assessment Tool - EASA

https://www.easa.europa.eu/sites/default/files/dfu/214081_EASA_MANAGEMENT_SYSTEM_ASSESSMENT_TOOL.pdf

Management System Assessment Tool - EASA

→ El Anexo 19 de OACI promueve una aproximación común a la gestión y la supervision de la seguridad en los distintos ámbitos de la aviación

→ Diseñada para ser usada por las autoridades competentes pero puede ser usada también por organizaciones

→ Puede utilizarse tanto para supervision inicial como continua

Management System Assessment Tool - EASA

→ **Present**- Hay evidencia de que la prestación está documentada en la Documentación del Sistema de Gestión/SMS

→ **Suitable-** La prestación es adecuada al tamaño, naturaleza y complejidad de la organización y al riesgo inherente en la actividad que realiza

→ **Operating-** Hay evidencia de que la prestación está en uso y produciendo resultados

→ **Effective-** Hay evidencia de que la prestación produce los resultados esperados y tiene un impacto positivo en la seguridad (mejora continua)

Management System Assessment Tool - EASA

→ Certificación inicial

→ Asegura que todos los procesos y requisitos son "Present" y "Suitable"

EASA

Management System Assessment Tool - EASA

→ Supervisión continua

- → dentro del primer ciclo de supervision planificado, los procesos del SMS son "Present", "Suitable" y "Operating"

- → si un proceso se constata como no operativo, se debería identificar como no conformidad.

- → una organización puede tener procesos "Effective" de forma eventual; el SMS debería reevaluarse periódicamente

- → cuando una prestación se constata como no efectiva, el inspector puede considerar emitir una observación

- → no se deberían emitir no conformidades si el proceso es "Operating" pero no "Effective"

- → el criterio "Suitable" de la certificación inicial debe revisarse

Management System Assessment Tool - EASA

→ <u>Performance based oversight</u>; la autoridad competente puede extender el ciclo de supervisión planificado para algunas organizaciones basándose en:

→ La organización ha demostrado una identificación efectiva de los peligros de seguridad para la aviación y gestionado los riesgos asociados

→ La organización ha demostrado continuamente que tiene control completo sobre todos los cambios

→ No se han identificado no conformidades de nivel 1

→ Todas las acciones correctivas han sido implantadas en el plazo aceptado o extendido por la autoridad competente

Management System Assessment Tool - EASA

$\rightarrow$ Resumen:

$\rightarrow$ La autoridad competente asegurará que todos los procesos son "Operating" y que los procesos de:

$\rightarrow$ identificación de peligros

$\rightarrow$ evaluación y control de riesgos

$\rightarrow$ gestión del cambio

$\rightarrow$ monitorización del cumplimiento son….

Effective

Management System Assessment Tool - EASA

→ Si una organización tiene varios certificados, se puede emplear la regla "1 SMS = 1 evaluación"

→ Si una organización integra todos los certificados en un SMS único, la evaluación debería considerar el SMS como un todo

→ Evaluaciones diferentes deberían compartirse entre varios equipos de inspección y la autoridad competente debería proveer un mensaje común

Management System Assessment Tool - EASA

→ La herramienta puede ser completada por la organización para auto-evaluarse

→ La herramienta puede emplearse para evaluar una organización de cualquier tamaño

→ Escalabilidad: debe considerarse el tamaño, naturaleza y complejidad de la organización para evaluar si cada prestación individual es "Suitable"

Management System Assessment Tool - EASA

→ Los inspectores deberían hacer referencia a cualquier regulación existente de EASA que defina a qué debe parecerse un SMS para organizaciones no complejas

→ Los inspectores deberían considerar también cualquier AMC aplicable como parte de la evaluación del SMS

Management System Assessment Tool - EASA

Annex 19 reference & text
1.1.2   The safety policy shall
b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy

PRESENT	SUITABLE	OPERATIONAL	EFFECTIVE
The safety policy includes a statement to provide appropriate resources.		The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.	The organisation is reviewing and taking action to address any forecasted shortfalls in resources.

What to look for
• Review available resources including personnel, equipment and financial.   • There are sufficient and competent personnel.   • Review planned manpower vs actual manpower.

Corresponding EU/EASA Requirements				
Air Operations	**Aircrew**	**Aerodromes**	**ATM/ANS**	**ATCO Training Organisations**
AMC1 ORO.GEN.200(a)(2) 'Management system' - [complex operators] AMC1 ORO.GEN.200(a)(1)(2)(3)(5) 'Management system' point (e) - [non-complex operators]	AMC1 ORA.GEN.200(a)(2) 'Management system' - [complex organisations] AMC1 ORA.GEN.200(a)(1)(2)(3)(5) 'Management system' point (e) - [non-complex organisations]	AMC1 ADR.OR. D.005 'Management system' point (b)(2)	ATS.OR.200 'Safety management system' Point (1) and related AMCs/GM	ATCO.OR.C.001 'Management system of training organisations 'point (b) and related AMCs/GM

Management System Assessment Tool - EASA

→ Nivel de detalle a registrar- el inspector debería registrar evidencias de la evaluación: documentación, informes, grabaciones/actas de las entrevistas y discusiones...

→ Emisión de no conformidades y observaciones-

→ Las definiciones de no conformidad utilizadas en los reglamento EU no son consistentes en los distintos ámbitos

→ La evaluación del SMS requiere mas atención en la efectividad de los procesos

Management System Assessment Tool - EASA

→ Las observaciones deberían emplearse para identificar áreas de mejora continua y fomentar una cultura de seguridad positiva

→ cuando una prestación se constata como no efectiva, el inspector puede considerar emitir una observación

→ no se deberían emitir no conformidades si el proceso es "Operating" pero no "Effective"

Management System Assessment Tool - EASA

→ <u>Emisión de no conformidades y observaciones-</u>

- → Las definiciones de no conformidad utilizadas en los reglamento EU no son consistentes en los distintos ámbitos
- → La evaluación del SMS requiere mas atención en la efectividad de los procesos
- → Las observaciones deberían emplearse para identificar áreas de mejora continua y fomentar una cultura de seguridad positiva
- → cuando una prestación se constata como no efectiva, el inspector puede considerar emitir una observación
- → no se deberían emitir no conformidades si el proceso es "Operating" pero no "Effective"

**EU-Latin America and Caribbean
Aviation Partnership Project (EU-LAC APP)**

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www.eu-lac-app.org

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implemented by the European Aviation Safety Agency*

easa.europa.eu/connect

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