

# SWISS Safety Management System (SMS)



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Presentation of 'SMS Assessment Help for Operators' for  
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# Idea behind 'SMS Assessment Help for Operators'



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The 'SMS Assessment Help' is strictly confidential for internal use. It shall not be shared with any outside sources.

Its purpose is solely to provide an internal self-critical assessment of the SMS maturity.

An independent, external assessment will be made by FOCA starting late 2010. This will not substitute, but only complement, the 'SMS Assessment Help'.

Following must be kept in mind when interpreting the following slides:

- Each of the 12 SMS chapters reflects the overall maturity of all possible internal parties (AOCs, MRO, ...) and possibly over- or undervalues certain individual aspects.
- The internal criteria reflect a self-critical view of the maturity and tasks to close the gaps. There is no hard definition for maturity demarcations.
- A strong focus is given to effective implementation. This results in overall lower maturity values.

# Concept – Basis for Assessment Help



Schweizerische Eidgenossenschaft  
Confédération suisse  
Confederazione Svizzera  
Confederaziun svizra

Swiss Confederation

Federal Department of the  
Environment, Transport, Energy and Communications DETEC  
Federal Office of Civil Aviation FOCA  
Director

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**Directive**

**SMS-002**

## **Safety Management System Assessment Guide**

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Reference / File Record: 72-00-24 / SMS-002


Legal Bases:

- ICAO Annexes 6, 11 and 14
- Artikel 103a der Luftfahrtverordnung (LFV, SR 748.01)  
Sicherheitsmanagementsystem
- Artikel 3 Absatz 1 der Verordnung über den  
Flugsicherungsdienst (VFSD, SR 748.132.1)  
Betriebsvorschriften

# Concept – Grading the Status



## 3.1. Safety performance monitoring and measurement


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### Directive

### Safety Management Assessment Guid

Reference / File Record: 72-00-24 / SMS-002

- Legal Bases:
- ICA
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  - Artil  
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The organization shall develop and maintain the means to verify the safety performance of the organization compared to the safety policy and objectives, and to validate the effective-ness of safety risks controls. The safety reporting procedures related to safety performance and monitoring shall clearly indicate which types of operational behaviors are acceptable or unacceptable, and include the conditions under which immunity from disciplinary action would be considered.	
Score	Criteria
1	Safety objectives are poorly defined and/or not communicated. Resources are not allocated for achieving objectives. Safety performance measures have not been established.
2	<b>(3) less some aspects</b>
3	<ul style="list-style-type: none"> <li>A) There is a formal process to develop and maintain a set of performance pa-rameters to be measured</li> <li>B) Safety objectives, appropriate to the organization, based on size and com-plexity, have been established</li> <li>C) There is a formal process to develop a coherent set of safety goals necessary to achieve overall safety objectives</li> <li>D) Safety objectives and goals are disseminated within the operator</li> <li>E) There is a policy in place that provides immunity from disciplinary action for employees that report safety deficiencies, hazards or occurrences</li> </ul>
4	<b>All of (3) plus some aspects of (5)</b>
5	All of (3), plus all of the following: <ul style="list-style-type: none"> <li>A) Safety objectives are expressed as a top-level statement describing the or-ganization's commitment to achieving improvements in safety</li> </ul>

# Concept – Identifying and closing Gaps and ... Opportunities



FOCA Assessment Guide Criteria (SMS-002/14.9.2009):		Status:
1	Safety objectives are poorly defined and/or not communicated. Resources are not allocated for achieving objectives. Safety performance measures have not been	
2	(3) less some aspects	
3	A) There is a formal process to develop and maintain a set of performance pa-	Formal process must be designed, application
4	B) Safety objectives, appropriate to the organization, based on size and com-	Operational in large BU OK, smaller ones TBD.
5	C) There is a formal process to develop a coherent set of safety goals necessary to achieve overall safety objectives	Im SPI Prozess ist festgehalten, dass nicht ein anderen BU / SPI gehen (Beispiel IT Kosten vs. im Prozess.
6	D) Safety objectives and goals are disseminated within the operator	Transparency (e.g. Intranet SMS SPI site, Prot
7	E) There is a policy in place that provides immunity from disciplinary action for employees that report safety deficiencies, hazards or occurrences	Yes. SAM Policy.
8	4 All of (3) plus some aspects of (5)	
9	5 All of (3), plus all of the following:	
0	A) Safety objectives are expressed as a top-level statement describing the	Evtl. SPI Konzept auch in Corporate Policy for
1	B) Safety objectives and goals are reviewed and updated periodically	Yes, in the Management Evaluation within the /
2	C) Objectives and goals are widely publicized and distributed throughout the	MORE Transparency (e.g. Intranet SMS SPI si
3	considers:	
4	- hazards and risks;	
5	- financial, operational and business requirements;	
6	- views of interested parties	Must formally be considered in the SPI process
7	E) Goals are specific, measurable, agreed to, relevant and time-based	Must formally be considered in the SPI process
8	F) Goals encompass all areas of the organization	Must be considered when deploying entire syst
9	illegal activity, negligence or willful misconduct) are clearly defined and documented	Yes. SAM Policy.
0	H) Personnel express confidence and trust in the organization's reporting-policy	No actions for us - must be verified by SMS Au
1	I) There is concrete evidence that the organization is applying this policy	No actions for us - must be verified by SMS Au

# SMS 3.1 Safety performance monitoring and measurement



5	The operator/approved maintenance organization shall develop and maintain the means to <b>verify the safety performance of the organization</b> compared to the <b>safety policy</b> and objectives, and to <b>validate the effectiveness</b> of safety risks controls. The safety <b>reporting</b> procedures related to safety performance and monitoring shall clearly indicate which types of operational behaviors are <b>acceptable or unacceptable</b> , and include the <b>conditions</b> under which <b>immunity</b> from disciplinary action would be considered.
4	
3	Actions needed to achieve full compliance:
2	<ul style="list-style-type: none"><li>⇒ Establish a formal process to develop and maintain a set of performance parameters to be measured in all areas of the organization (with operational or safety-related flavor).</li><li>⇒ Institutionalize establishing of operational and organizational Safety Performance Indicators (SPI), appropriate to the organization, based on size and complexity, in all areas of SWISS.</li><li>⇒ Ensure these safety objectives and goals are widely disseminated within SWISS and visible to all employees.</li></ul>
1	<ul style="list-style-type: none"><li>⇒ Implementation of documented new process.</li></ul>



# Overall SMS Maturity Level (fictitious example, not SWISS)

