SMS Survey Protocol

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Where does it come from?
Developed by EUROCONTROL
(originally for its own purposes)
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(originally for its own purposes)

EUCOCONTROL Director General’s Decision No XIII/5(2007) establishes that the Agency shall provisionally apply ESARRs to all its safety critical activities.

The SMS Assessment Protocol is a tool that enables EUROCONTROL to systematically assess compliance with the requirements of ESARRs and the adoption of good practices in safety management.

The assessment protocol is not meant to be used for the purposes of inspection, but rather an assessment of the effectiveness and efficiency of the EUROCONTROL Directorate’s management systems, and identifying opportunities for continual improvement.
Structure of the SMS Protocol

1 Policy
2 Planning
3 Organisational structure
4 Safety Regulation and External Standards
5 Safety Assessment and Risk Mitigation
6 Operational Control
7 Competency
8a Infrastructure and Software
8b External Services
9 Safety Documentation
10 Safety Occurrences
11a Health Management
12 Emergency Preparedness
13 Security
14 Safety Monitoring
15 Safety Survey and Review
16 Communications and Review

Each process is divided into component sub-processes.

Each sub-process is divided into a series of management system activities which describe the ESARRs and good practice in each particular sub-process.

The management system activities are presented as questions, which may be scored, enabling easily the measurement of the performance of the management system against the requirements of ESARRs and good practice.
Assessor SMS

Protocol

On-site Interviews
Safety Manager
Safety specialists
Ask for documents

Expectations

Criteria

Findings

Observations

Scoring

Report

Gap magnitude

Improvement plan

Regulatory Framework

SMS components

SMS elements

Entry meeting

Exit meeting
### Guidance

At least one senior manager of the organisation has a specific role relating to safety management - **5 points**.

Senior managers meet periodically to review safety performance and the implementation of the SMS - **5 points**.

Agendas and minutes of recent senior management meetings should be readily available and include safety matters as a topic for discussion.

Senior Management must be committed to providing appropriate resources (human and financial) to enable the achievement of the goals set out for the Safety Management System. Request evidence of safety assessments and other SMS related work being sufficiently funded. Ask about instances when resources initially allocated to safety management have been cut / constrained and the reasons for such decisions.
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1.1.1 Do Senior Managers actively and visibly participate in safety management?

1.1.2 Is safety included in the agenda and minutes of senior management meetings?

1.1.3 Is Senior Management committed to making appropriate resources available to the Safety Management System?
### Scoring: 3 Types

<table>
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<tr>
<th>Question type</th>
<th>Description</th>
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<tr>
<td>Yes / No ‘X/O’</td>
<td>When a question has a yes or no answer, points are awarded on ‘all or nothing’ basis. These questions are marked for example ‘X/O 30’ indicating that 30 points are available in total. Any activity should be at least ‘90% in place’ and have been implemented for at least 3 months in order to be scored. In any other case, zero points are awarded.</td>
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<td>Part / Whole ‘P/W’</td>
<td>When a question has several component answers, partial scores can be awarded. These questions are marked for example ‘part/whole 5/45’, indicating 5 points for the component boxes for each sub-question, with a total of 45 points being available. Any activity should be at least ‘90% in place’ and have been implemented for at least 3 months in order to be scored. In any other case, zero points are awarded.</td>
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<td>Professional Judgement ‘PJ’</td>
<td>Some questions are scored based on ‘professional judgement’, where the auditor must judge the degree of compliance or quality of the system with reference to the scoring guidance. The auditor can award zero to the full points indicated, based on their judgement. The guidance provides assistance for how the question should be scored.</td>
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<td>Percentage ‘%’</td>
<td>When the degree of compliance could be partial, the score is based on percentage of compliance. This is indicated by a ‘%’ symbol followed by the total value, such as ‘% 30’. To calculate the value for each category, multiply the percentage of compliance by the total for the question.</td>
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<td>Frequency ‘Freq’</td>
<td>Some questions aim to assess how often a certain activity is carried out. In these cases, points should be awarded as indicated by the designated frequencies.</td>
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SASI WS03-09
Brussels J7-18 September 2009
Report structure

1. Introduction
   - Scope
   - Methods used already
   - Method used on this case
   - Interviewed persons

2. Findings and recommendations
   - Grouped per area
   - Always linked together (finding and recommendation)*

3. Improvement plan
   - Priorities
   - Suggested way forward

* Recommendations must have an addressee
The rest is practice.....