

An iceberg floating in the ocean. The tip of the iceberg is visible above the water surface, while the much larger, submerged part is visible below. The text is overlaid on the submerged part of the iceberg.

# SMS Survey Protocol

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A photograph of an iceberg floating in the ocean. The tip of the iceberg is visible above the water line, while the much larger, submerged part is visible below. The sky is a clear, pale blue, and the water is a deep, dark blue. The overall tone is somewhat somber and contemplative.

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

# *Where does it come from?*

**(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

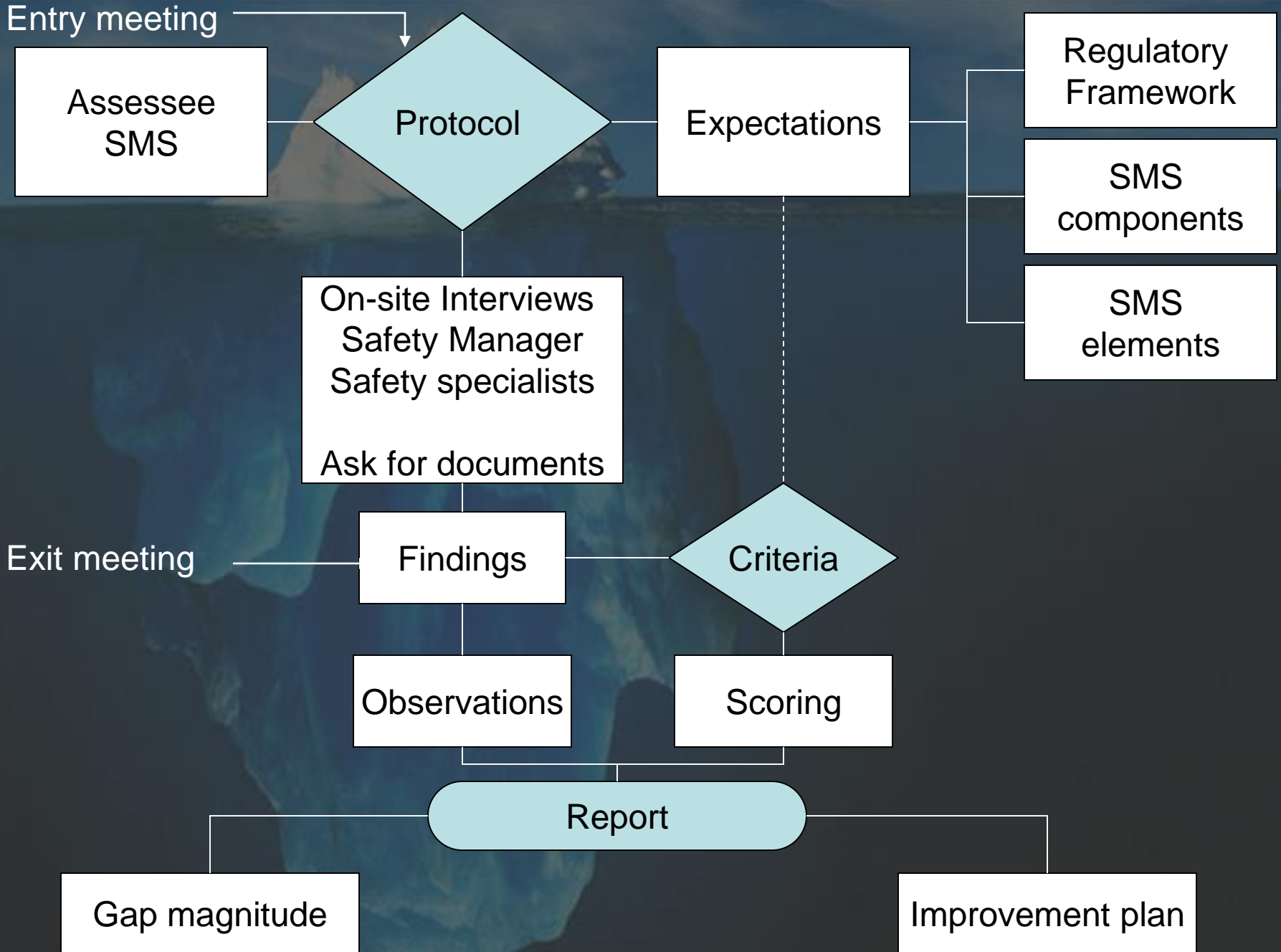
An iceberg floating in the ocean, with the tip above the water and the much larger base submerged. The background is a dark blue sky and sea.

- 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 processes 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.



# ESARR reference

# Expectations

	B	E	F	G	H	I	J	K	LZ	AA
1										<div style="background-color: #4a7ebb; color: white; padding: 5px; text-align: center; font-weight: bold;">Guidance</div>
2		E1	E2	E3	E4	E5	E6	ASMS		
8										
9										
10										
11										
12				5.2.2 d						
13										
14				5.1, 5.1.1a						
15										
16										

# Question(s)

	B	E	F	G	H	I	J	K	L	M	N	O	
1										<b>Questions</b>			
2		<b>E1</b>	<b>E2</b>	<b>E3</b>	<b>E4</b>	<b>E5</b>	<b>E6</b>	<b>ASMS</b>					
8													
9									1.1.1	Do Senior Managers actively and visibly participate in safety management?			
10													
11													
12				5.2.2 d					1.1.2	Is safety included in the agenda and minutes of senior management meetings?			
13													
14				5.1, 5.1.1a					1.1.3	Is Senior Management committed to making appropriate resources available to the Safety Management System?			
15													

## Scoring: 3 Types

Question type	Description
Yes / No 'X/O'	<p>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.</p> <p>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.</p>
Part / Whole 'P/W'	<p>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.</p> <p>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.</p>
Professional Judgement 'PJ'	<p>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.</p>
Percentage '%'	<p>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'.</p> <p>To calculate the value for each category, multiply the percentage of compliance by the total for the question.</p>
Frequency 'Freq'	<p>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.</p>



# 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*

A photograph of an iceberg floating in the ocean. The tip of the iceberg is visible above the water line, while the vast majority of the iceberg is submerged below the surface. The water is a deep blue, and the sky is a lighter blue with some clouds. The text "The rest is practice....." is overlaid in white on the submerged part of the iceberg.

**The rest is practice.....**