



How to Use the Tool

The competency assessment process using the tool involves the following recommended steps:

1. **SMS Inspector Trainee Briefing:** Conducted by the trainer/evaluator, this includes providing the trainee with information about the upcoming SMS evaluation, the objectives of the SMS Inspector competency assessment, and each participant's role.
2. **Formal Preparations:** Includes coordination with the service provider, such as scheduling the SMS evaluation or requesting information.
3. **SMS Evaluation and SMS Competency Assessment:** This stage is essentially an OJT session and requires the trainer/evaluator to deliver both the service provider's SMS assessment and the competency assessment of the trainer/evaluator. The Competency Assessment Tool assesses the competencies of SYSTEMS THINKING and RISK MANAGEMENT, recognizing them as the most important for inspectors working with SMS. The other CASI competencies are common to all inspectors and should be evaluated through other mechanisms.
4. **Conclusion of the SMS Evaluation:** Gradings are: 1-Needs Improvement; 2-Basic Competence; 3-Competent; and 4-Effective. The Assessment Criteria for each of the 4 SMS components and 12 SMS elements are clearly listed as observable behaviours (OBs) and assesses the competencies of SYSTEMS THINKING (ST) and RISK MANAGEMENT(RM), recognizing them as the most important for inspectors working with SMS.
5. **Conclusion of the SMS Inspector Competency Assessment:** The results of the assessment are reviewed, and Remedial Action(s) to address OB(s) for improvement, if needed, are determined.

User Competencies

The tool should be used by SMS Assessor/Evaluator with training and competency in:

- Safety Management Systems based on the ICAO SMS Framework;
- Auditing techniques;
- Interview techniques including communication skills;
- Understanding of the application of risk management;
- Appreciation of the difference between compliance and performance;
- Report writing techniques to allow narrative to be used to summarise the evaluation;
- Understanding of safety culture;
- Understanding of human factors; and
- State Safety Programme and State Safety Objectives.



SMS INSPECTOR COMPETENCY EVALUATION TOOL

ISSUED FOR USE
CA02-AC100-1E

Organisation:	Approval/Certificate Reference(s):	
SMS or MS Manual Revision:	SMS Assessor(s) (Name and Department):	
Scope of Evaluation:	Date of Evaluation:	Evaluation Reference:



1. SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1 HAZARD IDENTIFICATION (Annex 19 element 2.1)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor Comments	Observable Behaviours
	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.						ST1, ST4, ST5, ST10, RM3
	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.						
Assessment Criteria	What Competencies to look for in SMS Inspector who is being evaluated?							
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder’s systems, particularly the SMS and SSP.							
	ST4 - Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).							
	ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							
	ST10 - Understands the impact of the regulatory framework on the safety issues and challenges of the stakeholder.							
	RM3 - Recognizes the role of human and organisational factors.							
	1		2			3		4
STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy; -Does not recognise the essential components of a functional SMS -Does not determine if SMS appropriate for size/scope/complexity of the operation -Unacceptable/poor quality or accuracy -Does not recognise the role of human factors -Does not recognise organisational factors		STRATEGIC THINKING Basic Competence -Lapses in quality and accuracy; -Lapses in recognition of essential components of a functional SMS -Lapses in determining if SMS is appropriate for size/scope/complexity of the operation -Lapses in quality or accuracy -Lapses in recognising HF -Lapses in recognising organisational factors			STRATEGIC THINKING Competent -Acceptable quality and accuracy; -Acceptable recognition of essential components of a functional SMS. -Acceptable determination if SMS is appropriate to size/scope/complexity of operation -Acceptable quality or accuracy -Acceptable recognition of HF -Acceptable recognition of organisational factors		STRATEGIC THINKING Effective -Effective quality and accuracy; - -Effective recognition of essential components of a functional SMS -Effective determination if SMS is appropriate to size/scope/complexity	



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1		2		3		4	
RISK MANAGEMENT Needs Improvement		RISK MANAGEMENT Basic Competence		RISK MANAGEMENT Competent		RISK MANAGEMENT Effective	
-Unacceptable/poor quality or accuracy -Does not recognise the role of human factors -Does not recognise organisational factors		-Lapses in quality or accuracy -Lapses in recognising HF -Lapses in recognising organisational factors		-Acceptable quality or accuracy -Acceptable recognition of HF -Acceptable recognition of organisational factors		-Effective quality and accuracy; -Effective recognition of HF -Effective recognition of organisational factors	
Indicators of compliance and performance		1	2	3	4	SMS Assessor Comments	
Evaluation	1.1.4	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).				ST1, ST4, ST5, ST6, ST11, RM3, RM4, RM5	
	1.1.5	The hazard identification process identifies human performance related hazards.					
	1.1.6	There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.					
	1.1.7	Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).					
What Competencies to look for in the SMS Inspector being evaluated?							
ST1 - Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. ST4 - Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. ST6 - Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. ST11 - Accurately determines whether the root cause(s) of deficiencies results from a single-point or systemic failure(s). RM3 - Recognizes the role of human and organisational factors. RM4 - Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes. RM5 - Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations.							
1		2		3		4	
STRATEGIC THINKING Needs Improvement		STRATEGIC THINKING Basic Competence		STRATEGIC THINKING Competent		STRATEGIC THINKING Effective	
-Unacceptable/poor quality or accuracy; -Fails to recognise the essential components of a functional SMS, Cultural aspects, HF, confidentiality of reporting		-Lapses in quality or accuracy; -Lapses in recognising the essential components of a functional SMS, Cultural aspects, HF, confidentiality of reporting		-Acceptable in quality or accuracy; -Acceptable in recognising the essential components of a functional SMS, Cultural aspects, HF, confidentiality of reporting		-Effective in quality or accuracy; -Effective in recognising the essential components of a functional SMS,	



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	-Fails to determine if SMS appropriate for size/scope/complexity of the operation -Fails to recognise how difference management systems interact, interfaces, HF, organisational factors, root causes and differentiate between single-point failure or systemic failure(s) -Unacceptable/poor quality or accuracy -Does not recognise the role of human factors -Does not recognise organisational factors -Does not understand	-Lapses in determining if SMS appropriate for size/scope/complexity of the operation -Lapses in recognition of how difference management systems interact, interfaces, HF, organisational factors, root causes and differentiate between single-point failure or systemic failure(s) -Lapses in quality or accuracy -Lapses in recognising HF -Lapses in recognising organisational factors	-Acceptable in determining if SMS appropriate for size/scope/complexity of the operation -Acceptable in recognition of how difference management systems interact, interfaces, HF, organisational factors, root causes and differentiate between single-point failure or systemic failure(s) -Acceptable quality or accuracy -Acceptable recognition of HF -Acceptable recognition of organisational factors	- Cultural aspects, HF, confidentiality of reporting -Effective in determining if SMS appropriate for size/scope/complexity of the operation -Effective in recognition of how difference management systems interact, interfaces, HF, organisational factors, root causes and differentiate between single-point failure or systemic failure(s) -Effective quality and accuracy; - Effective recognition of HF -Effective recognition of organisational factors
	1	2	3	4
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Does not recognise the role of human factors -Does not recognise organisational factors -Does not understand the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.	RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in recognising HF -Lapses in recognising organisational factors -Lapses in understanding the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable recognition of HF -Acceptable recognition of organisational factors - Acceptable in understanding the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.	RISK MANAGEMENT Effective -Effective quality and accuracy; - Effective recognition of HF -Effective recognition of organisational factors -Effective in understanding the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.

1.2 SAFETY RISK ASSESSMENT AND MITIGATION (Annex 19 element 2.2)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor comments	Observable Behaviours
	1.2.1	There is a process for the management of risk that includes the analysis and assessment of risk associated with identified hazards expressed in terms of likelihood and severity (or alternative methodology).						ST1, ST2, ST5, RM3, RM4, RM6, RM1, RM7, RM8
	1.2.2	There are criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.						



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What to look for in the SMS Inspector being evaluated?				
Assessment Criteria	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. ST2 -Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. RM3 - Recognizes the role of human and organisational factors. RM4 - Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes. RM6 - Applies appropriate certification requirements and surveillance techniques according to changing levels of risk, analysing critically the organisations safety performance. RM7 – Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause. RM8- Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.			
	1	2	3	4
	STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine if SMS appropriate for size/scope/complexity of the operation	STRATEGIC THINKING Basic Competence -Lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses in determining if SMS appropriate for size/scope/complexity of the operation	STRATEGIC THINKING Competent -Acceptable in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining if SMS appropriate for size/scope/complexity of the operation	STRATEGIC THINKING Effective -Effective in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining if SMS appropriate for size/scope/complexity of the operation
	1	2	3	4
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to understand SRM and SA processes -Fails to evaluate risk mitigation actions for proposed system changes -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in understanding SRM and SA processes -Lapses in evaluating risk mitigation actions for proposed system changes -Lapses in appropriate certification requirements and surveillance techniques according to changing levels of risk -Lapses in determining if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in understanding SRM and SA processes -Acceptable in evaluating risk mitigation actions for proposed system changes -Acceptable in appropriate certification requirements and surveillance techniques according to changing levels of risk -Acceptable in determining if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Effective -Effective quality and accuracy; --- -Effective in understanding SRM and SA processes -Effective in evaluating risk mitigation actions for proposed system changes -Effective in appropriate certification requirements and surveillance techniques according to changing levels of risk -Effective in determining if appropriate remedial or enforcement action is required to address an issue at its root cause.



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						-Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.			
Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor comments	Observable Behaviours	
	1.2.3	The organisation has a process in place to make decisions and apply appropriate and effective risk controls.						ST1, ST2, ST3, ST5, RM3, RM4, RM6, RM1, RM7, RM8	
	1.2.4	Senior management have visibility of medium and high risk hazards and their mitigation and controls.							
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?								
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes. ST5- Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. RM1- Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. RM3- Recognizes the role of human and organisational factors. RM4- Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes. RM6- Applies appropriate certification requirements and surveillance techniques according to changing levels of risk, analysing critically the organisations safety performance. RM7- Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause. RM8- Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.								
	1		2			3		4	
	STRATEGIC THINKING Needs Improvement					STRATEGIC THINKING Competent		STRATEGIC THINKING Effective	
	-Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to determine if SMS appropriate for size/scope/complexity of the operation -Unacceptable/poor quality or accuracy -Fails to evaluate of RA performed by stakeholders and actions to manage hazards		-Unacceptable/poor quality or accuracy -Lapses in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Lapses in evaluating risk mitigation actions for proposed system changes -Lapses in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause.			-Acceptable quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in determining if SMS appropriate for size/scope/complexity of the operation -Acceptable quality or accuracy -Acceptable in RA performed by stakeholders and actions to manage hazards		-Effective quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in determining if SMS appropriate for size/scope/complexity of the operation -Effective quality and accuracy;	



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	to acceptable level including change management, HP and organisational factors. -Fails to evaluate risk mitigation actions for proposed system changes -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.	-Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	to acceptable level including change management, HP and organisational factors. -Acceptable in evaluating risk mitigation actions for proposed system changes -Acceptable in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes	-Effective in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Effective in evaluating risk mitigation actions for proposed system changes -Effective in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes
	1	2	3	4
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to evaluate of RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Fails to evaluate risk mitigation actions for proposed system changes -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Basic Competence -Unacceptable/poor quality or accuracy -Lapses in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Lapses in evaluating risk mitigation actions for proposed system changes -Lapses in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Acceptable in evaluating risk mitigation actions for proposed system changes -Acceptable in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes	RISK MANAGEMENT Effective -Effective quality and accuracy; -Effective in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Effective in evaluating risk mitigation actions for proposed system changes -Effective in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholders implement remedial



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				measures associated with safety issues or proposed changes
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2. SAFETY ASSURANCE (Annex 19 component 3)

2.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT (Annex 19 element 3.1)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	2.1.1	Safety performance indicators (SPIs) linked to the organisation's safety objectives have been defined, promulgated, and are being monitored and analysed for trends.						ST7, ST8, ST9, RM1, RM4
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST7- Uses the appropriate set of metrics to measure and monitor regulatory and organisational safety performance.							
	ST8- Interprets findings from analysis of performance data within the organisational safety performance framework and indicators system.							
	ST9- Assesses the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.							
	RM1-Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors							
	RM4- Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement		STRATEGIC THINKING Basic Competence		STRATEGIC THINKING Competent		STRATEGIC THINKING Effective	
	-Unacceptable/poor use of appropriate set of metrics to measure and monitor regulatory and organisational safety performance; -Fails to interpret findings from analysis of performance data. -Fails to assess the achievement of safety performance objectives using RM principles considering organisational capability and maturity. -Unacceptable/poor quality or accuracy -Fails to accurately evaluate of risk assessment performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Fails to understand relationship b/w SRM and SA processes.		-Lapses in using the appropriate set of metrics to measure and monitor regulatory and organisational safety performance; -Lapses in interpreting findings from analysis of performance data. -Lapses in assessing the achievement of safety performance objectives using RM principles considering organisational capability and maturity. -Lapses in quality or accuracy -Lapses in accurately evaluating risk assessment performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Lapses in understanding relationship b/w SRM and SA processes.		-Acceptable in using the appropriate set of metrics to measure and monitor regulatory and organisational safety performance; -Acceptable in interpreting findings from analysis of performance data. -Acceptable in assessing the achievement of safety performance objectives using RM principles considering organisational capability and maturity. -Acceptable quality or accuracy -Acceptable in accurately evaluating risk assessments performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Acceptable in understanding relationship b/w SRM and SA processes.		-Effective in using the appropriate set of metrics to measure and monitor regulatory and organisational safety performance; -Effective in interpreting findings from analysis of performance data. -Effective in assessing the achievement of safety performance objectives using RM principles considering organisational capability and maturity. -Effective quality or accuracy -Effective in accurately evaluating risk assessments performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Effective in understanding relationship b/w SRM and SA processes.	



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		1	2	3	4				
		RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to accurately evaluate of risk assessment performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Fails to understand relationship b/w SRM and SA processes.	RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in accurately evaluating risk assessment performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Lapses in understanding relationship b/w SRM and SA processes.	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in accurately evaluating risk assessments performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Acceptable in understanding relationship b/w SRM and SA processes.	RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in accurately evaluating risk assessments performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Effective in understanding relationship b/w SRM and SA processes.				
Evaluation	Indicators of compliance and performance			1	2	3	4	SMS Assessor's comments	Observable Behaviours
	2.1.2	Risk mitigations and controls are being verified/audited to confirm they are working and effective.							ST2, ST3, ST6, RM3, RM4, RM6, RM1, RM7, RM8
	2.1.3	Safety assurance takes into account activities carried out by all directly contracted organisations.							
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?								
	ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.								
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.								
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.								
	RM1- Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors.								
RM3- Recognizes the role of human and organisational factors.									
RM4- Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.									
RM6- Applies appropriate certification requirements and surveillance techniques according to changing levels of risk, analysing critically the organisations safety performance.									
RM7- Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause.									
RM8- Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.									
		1	2	3	4				
		STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS;	STRATEGIC THINKING Basic Competence -Lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS;	STRATEGIC THINKING Competent -Acceptable in quality or accuracy evaluation of inter-relationships b/w	STRATEGIC THINKING Effective				



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	-Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to determine how different management systems interact with interfaces, HF and organisational factors		-Lapses in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses in determining how different management systems interact with interfaces, HF and organisational factors		policies, procedures and systems of SMS; -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors		-Effective in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in determining how different management systems interact with interfaces, HF and organisational factors			
	1		2		3		4			
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to evaluate of RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Fails to evaluate risk mitigation actions for proposed system changes -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.		RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Lapses in evaluating risk mitigation actions for proposed system changes -Lapses in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.		RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Acceptable in evaluating risk mitigation actions for proposed system changes -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes		RISK MANAGEMENT Effective -Effective quality and accuracy; -Effective in RA performed by stakeholders and actions to manage hazards to acceptable level including change management, HP and organisational factors. -Effective in evaluating risk mitigation actions for proposed system changes -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes			
Evaluation	Indicators of compliance and performance				1	2	3	4	SMS Assessor’s Comments	Observable Behaviours
	2.1.4	Responsibilities and accountability for ensuring compliance with safety regulations are defined and applicable requirements are clearly identified in organisation manuals and procedures.								ST1, ST2, ST3, ST4, ST6, ST10, ST12, RM3, RM5, RM6, RM7, RM8
	2.1.5	There is an internal audit programme including details of the schedule of audits and procedures for audits, reporting, follow up, and records.								
	2.1.6	Responsibilities and accountabilities for the internal audit process are defined and there is a person or group of persons with responsibilities for internal audits with direct access to the Accountable Manager.								



Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?			
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP.			
	ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.			
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.			
	ST4- Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).			
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.			
	ST10- Understands the impact of the regulatory framework on the safety issues and challenges of the stakeholder.			
	ST12- Assesses the difference between compliance- and performance-based oversight.			
	RM3- Recognizes the role of human and organisational factors.			
	RM5- Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations.			
	RM6- Applies appropriate certification requirements and surveillance techniques according to changing levels of risk, analysing critically the organisations safety performance.			
	RM7- Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause.			
	RM8- Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.			
	1	2	3	4
	STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to recognise the essential components of a functional SMS, confidentiality of safety information -Fails to determine how different management systems interact with interfaces, HF and organisational factors -fails to understand the impact of the regulatory framework on safety issues and challenges of the stakeholder -Fails to assess the difference between compliance-based Vs performance-based oversight.	STRATEGIC THINKING Basic Competence -Lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses in recognising the essential components of a functional SMS, confidentiality of safety information -Lapses in determining how different management systems interact with interfaces, HF and organisational factors -Lapses in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Lapses in assessing the difference between compliance-based Vs performance-based oversight.	STRATEGIC THINKING Competent -Acceptable in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in recognising the essential components of a functional SMS, confidentiality of safety information -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors -Acceptable in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder	STRATEGIC THINKING Effective -Effective in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in recognising the essential components of a functional SMS, confidentiality of safety information -Effective in determining how different management systems interact with interfaces, HF and organisational factors -Effective in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder



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							-Acceptable in assessing the difference between compliance-based Vs performance-based oversight.		-Effective in assessing the difference between compliance-based Vs performance-based oversight	
	1		2		3		4			
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to recognise business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.		RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors - Lapses in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Lapses in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.		RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in recognising the role of HF and organisational factors - Acceptable in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Acceptable in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.		RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in recognising the role of HF and organisational factors - Effective in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Effective in applying appropriate certification requirements and surveillance techniques according to changing levels of risk -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.			
Evaluation	Indicators of compliance and performance				1	2	3	4	SMS Assessor’s comments	Observable Behaviours
	2.1.7	After an audit, there is appropriate analysis of causal factors and corrective/preventive actions are taken.								ST10, ST11, RM3, RM7, RM8



What Competencies to look for in the SMS Inspector being evaluated?				
Assessment Criteria	ST10- Understands the impact of the regulatory framework on the safety issues and challenges of the stakeholder. ST11- Accurately determines whether the root cause(s) of deficiencies results from a single-point or systemic failure(s). RM3- Recognizes the role of human and organisational factors. RM7- Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause. RM8- Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes..			
	1	2	3	4
	STRATEGIC THINKING Needs Improvement	STRATEGIC THINKING Basic Competence	STRATEGIC THINKING Competent	STRATEGIC THINKING Effective
	-Unacceptable/poor quality or accuracy -Fails to understand the impact of the regulatory framework on safety issues and challenges of the stakeholder -Fails to accurately determine whether root-cause(s) of deficiencies results from a one-off or systemic failure(s). -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to recognise business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.	-Lapses in quality or accuracy -Lapses in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Lapses in accurately determining whether root-cause(s) of deficiencies results from a one-off or systemic failure(s). -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Lapses in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	-Acceptable in quality or accuracy -Acceptable in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Acceptable in accurately determining whether root-cause(s) of deficiencies results from a one-off or systemic failure(s). -Acceptable in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Acceptable in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholder implement remedial measures associated with safety issues or proposed changes.	-Effective in quality or accuracy -Effective in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Effective in accurately determining whether root-cause(s) of deficiencies results from a one-off or systemic failure(s). -Effective in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Effective in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholder implement remedial measures associated with safety issues or proposed changes.



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1	2	3	4
RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to recognise business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Lapses in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Competence -Acceptable in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Acceptable in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholder implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Effective -Effective in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Effective in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholder implement remedial measures associated with safety issues or proposed changes.

2.2 THE MANAGEMENT OF CHANGE (Annex 19 element 3.2)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor comments	Observable Behaviours
	2.2.1	The organisation has a process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.						ST1, ST2, ST3, ST5, ST6, RM1, RM2, RM3, RM4, RM5,RM7, RM8
	2.2.2	Human Factor (HF) issues have been considered as part of the change management process and, where appropriate, the organisation has applied the appropriate HF/human-centred design standards to the equipment and physical environment design.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder’s systems, particularly the SMS and SSP.							
	ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.							
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.							
	ST5- Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations.							
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.							



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RM1 – Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors.

RM2- Identifies whether strategic decisions consider risk assessment principles and results.

RM3- Recognizes the role of human and organisational factors.

RM4- Understands the relationship between Safety Risk Management and Safety Assurance processes, and evaluates risk mitigation actions and proposed system changes.

RM5- Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations.

RM7-. Identifies if appropriate remedial or enforcement action is required to address an issue at its root cause.

RM8- Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.

1	2	3	4
STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to recognise business practices or organisational cultures the are potential indicators of increased risk levels considering the influence of HP and limitations -fails to accurately assess how different management systems interact at the interfaces. -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to recognise business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause.	STRATEGIC THINKING Basic Competence -Lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses in recognising business practices or organisational cultures the are potential indicators of increased risk levels considering the influence of HP and limitations -Lapses in accurately assessing how different management systems interact at the interfaces. -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors - Lapses in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	STRATEGIC THINKING Competent -Acceptable in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in recognising business practices or organisational cultures the are potential indicators of increased risk levels considering the influence of HP and limitations -Acceptable in accurately assessing how different management systems interact at the interfaces. -Acceptable quality or accuracy -Acceptable in recognising the role of HF and organisational factors - Acceptable in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause.	STRATEGIC THINKING Effective -Effective in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in recognising business practices or organisational cultures the are potential indicators of increased risk levels considering the influence of HP and limitations -Effective in accurately assessing how different management systems interact at the interfaces. Effective quality or accuracy -Effective in recognising the role of HF and organisational factors - Effective in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause.



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-Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.		-Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	- Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes
1	2	3	4
RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to recognise business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Fails to identify if appropriate remedial or enforcement action is required to address an issue at its root cause. -Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors - Lapses in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Lapses in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in recognising the role of HF and organisational factors - Acceptable in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Acceptable in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in recognising the role of HF and organisational factors - Effective in recognising business practices or organisational cultures as potential indicators of increased levels of risk considering HP and limitation. -Effective in identifying if appropriate remedial or enforcement action is required to address an issue at its root cause. -Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.

2.3 CONTINUOUS IMPROVEMENT OF THE SMS (Annex 19 element 3.3)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor comments	Observable Behaviours
2.3.1	The organisation is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.							ST1, ST2, ST3, ST4, ST5, ST6, ST7, ST8, ST9, ST10, ST11, ST12, RM1, RM6
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP.							
	ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.							
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.							
	ST4- Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).							
	ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							



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- ST6-** Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.
- ST7-** Uses the appropriate set of metrics to measure and monitor regulatory and organisational safety performance.
- ST8-** Interprets findings from analysis of performance data within the organisational safety performance framework and indicators system.
- ST9-** Assesses the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.
- ST10-** Understands the impact of the regulatory framework on the safety issues and challenges of the stakeholder.
- ST11-** Accurately determines whether the root cause(s) of deficiencies results from a single-point or systemic failure(s).
- ST12-** Assesses the difference between compliance- and performance-based oversight.
- RM1-** Recognizes the role of human and organisational factors.
- RM6-** Applies appropriate certification requirements and surveillance techniques according to changing levels of risk, analysing critically the organisations safety performance.

1	2	3	4
STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to recognise the essential components of a functional SMS, confidentiality of safety information -Fails to determine how different management systems interact with interfaces, HF and organisational factors -fails to understand the impact of the regulatory framework on safety issues and challenges of the stakeholder -Fails to assess the difference between compliance-based Vs performance-based oversight. -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk	STRATEGIC THINKING Basic Competence -Lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses in recognising the essential components of a functional SMS, confidentiality of safety information -Lapses in determining how different management systems interact with interfaces, HF and organisational factors -Lapses in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Lapses in assessing the difference between compliance-based Vs performance-based oversight. -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Lapses in applying appropriate certification requirements and surveillance techniques according to changing levels of risk	STRATEGIC THINKING Competent -Acceptable in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in recognising the essential components of a functional SMS, confidentiality of safety information -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors -Acceptable in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Acceptable in assessing the difference between compliance-based Vs performance-based oversight. -Acceptable quality or accuracy -Acceptable in recognising the role of HF and organisational factors	STRATEGIC THINKING Effective -Effective in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in recognising the essential components of a functional SMS, confidentiality of safety information -Effective in determining how different management systems interact with interfaces, HF and organisational factors -Effective in understanding the impact of the regulatory framework on safety issues and challenges of the stakeholder -Effective in assessing the difference between compliance-based Vs performance-based oversight. -Effective quality or accuracy -Effective in recognising the role of HF and organisational factors -Effective in applying appropriate certification requirements and surveillance techniques according to changing levels of risk



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			-Acceptable in applying appropriate certification requirements and surveillance techniques according to changing levels of risk	
	1	2	3	4
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to recognise the role of HF and organisational factors -Fails to apply appropriate certification requirements and surveillance techniques according to changing levels of risk	RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in recognising the role of HF and organisational factors -Lapses in applying appropriate certification requirements and surveillance techniques according to changing levels of risk	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in recognising the role of HF and organisational factors -Acceptable in applying appropriate certification requirements and surveillance techniques according to changing levels of risk	RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in recognising the role of HF and organisational factors -Effective in applying appropriate certification requirements and surveillance techniques according to changing levels of risk



3. SAFETY POLICIES AND OBJECTIVES (Annex 19 component 1)

3.1 MANAGEMENT COMMITMENT (Annex 19 element 1.1)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	3.1.1	There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.						ST1, ST3, ST5, ST6, ST9
	3.1.2	The safety policy includes a statement to provide appropriate resources and the organisation is managing resources by anticipating and addressing any shortfalls.						
	3.1.3	There are policies in place for safety critical roles relating to all aspects of Fitness for Duty (for example, Alcohol and Drugs Policy or Fatigue).						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP.							
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.							
	ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.							
	ST9- Assesses the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational							
	1		2		3		4	
STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to determine how different management systems interact with interfaces, HF and organisational factors -Fails to assess the difference between compliance-based Vs performance-based oversight.		STRATEGIC THINKING Basic Competence -lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses tin determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses in determining how different management systems interact with interfaces, HF and organisational factors -Lapses in assessing the difference between compliance-based Vs performance-based oversight.		STRATEGIC THINKING Competent -Acceptable quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors -Acceptable in assessing the difference between compliance-based Vs performance-based oversight.		STRATEGIC THINKING Effective -Effective quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in determining how different management systems interact with interfaces, HF and organisational factors -Effective in assessing the difference between compliance-based Vs performance-based oversight.		



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Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	3.1.4	There is a means in place for the communication of the safety policy.						ST1, ST2, ST3, ST4, ST6, RM2, RM3
	3.1.5	The Chief Executive and the senior management team promote a positive safety/just culture and demonstrate their commitment to the safety policy through active and visible participation in the safety management system.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP.							
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.							
	ST4 - Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).							
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.							
	RM2- Identifies whether strategic decisions consider risk assessment principles and results.							
	RM3- Recognizes the role of human and organisational factors.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to recognise the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information. -Fails to determine how different management systems interact with interfaces, HF and organisational factors		STRATEGIC THINKING Basic Competence -lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses tin determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses to recognise the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information. -Lapses in determining how different management systems interact with interfaces, HF and organisational factors		STRATEGIC THINKING Competent -Acceptable quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in recognising the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information. -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors		STRATEGIC THINKING Effective -Effective quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Effective in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in recognising the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information. -Effective in determining how different management systems interact with interfaces, HF and organisational factors	



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1		2				3				4		
RISK MANAGEMENT Needs Improvement		RISK MANAGEMENT Basic Competence				RISK MANAGEMENT Competent				RISK MANAGEMENT Effective		
-Unacceptable/poor quality or accuracy -Fails to identify if strategic decisions consider RM principles and results -Fails to recognise the role of HF and organisational factors		-Lapses quality or accuracy -Lapses in identifying if strategic decisions consider RM principles and results -Lapses in recognising the role of HF and organisational factors				-Acceptable quality or accuracy -Acceptable in identifying if strategic decisions consider RM principles and results -Acceptable in recognising the role of HF and organisational factors				-Effective quality or accuracy -Effective in identifying if strategic decisions consider RM principles and results -Effective in recognising the role of HF and organisational factors		
Evaluation	Indicators of compliance and performance					1	2	3	4	SMS Assessor's comments		Observable Behaviours
	3.1.6	The safety policy actively encourages safety reporting.										ST3, ST4, ST6, ST7, RM2, RM3, RM5
	3.1.7	A just culture policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a just culture.										
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?											
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes. ST4 - Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. ST7 - Uses the appropriate set of metrics to measure and monitor regulatory and organisational safety performance. RM2- Identifies whether strategic decisions consider risk assessment principles and results. RM3- Recognizes the role of human and organisational factors. RM5 - Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations.											
	1		2				3				4	
	STRATEGIC THINKING Needs Improvement		STRATEGIC THINKING Basic Competence				STRATEGIC THINKING Competent				STRATEGIC THINKING Effective	
	-Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to recognise the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information.		-Lapses in determining the effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses to recognise the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information.				-Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in recognising the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information.				-Effective in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Effective in recognising the essential components of a functional SMS and their inoperability, culture, HP, confidentiality of safety information.	



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	-Fails to determine how different management systems interact with interfaces, HF and organisational factors -Fails to use appropriate set of metrics to measure and monitor regulatory and organisational safety performance		-Lapses in determining how different management systems interact with interfaces, HF and organisational factors -Lapses in use of appropriate set of metrics to measure and monitor regulatory and organisational safety performance				-Acceptable in determining how different management systems interact with interfaces, HF and organisational factors -Lapses in using appropriate set of metrics to measure and monitor regulatory and organisational safety performance				-Effective in determining how different management systems interact with interfaces, HF and organisational factors -Lapses in using appropriate set of metrics to measure and monitor regulatory and organisational safety performance					
	1		2				3				4					
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to identify if strategic decisions consider RM principles and results -Fails to recognise the role of HF and organisational factors		RISK MANAGEMENT Basic Competence -Lapses quality or accuracy -Lapses in identifying if strategic decisions consider RM principles and results -Lapses in recognising the role of HF and organisational factors -Lapses in recognising business practices or cultures potential indicators of increasing risk levels				RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in identifying if strategic decisions consider RM principles and results -Acceptable in recognising the role of HF and organisational factors -Acceptable in recognising business practices or cultures potential indicators of increasing risk levels				RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in identifying if strategic decisions consider RM principles and results -Effective in recognising the role of HF and organisational factors -Effective in recognising business practices or cultures potential indicators of increasing risk levels					
Evaluation	Indicators of compliance and performance						1	2	3	4	SMS Assessor’s comments				Observable Behaviours	
	3.1.8	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organisation.													ST5, ST6, ST7, ST9, RM2, RM3	
	3.1.9	The State Safety Programme (SSP) is being considered and addressed as appropriate.														
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?															
	ST5- Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.															
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.															
	ST7- Uses the appropriate set of metrics to measure and monitor regulatory and organisational safety performance.															
	ST9- Assesses the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.															
RM2- Identifies whether strategic decisions consider risk assessment principles and results.																
RM3- Recognizes the role of human and organisational factors.																



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1	2	3	4
STRATEGIC THINKING Needs Improvement -Fails to determine whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Fails to Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces -Fails to determine how different management systems interact with interfaces, HF and organisational factors -Fails to assess the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity	STRATEGIC THINKING Basic Competence -Lapses in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Lapses in assessing how different management systems interact with one another across various stakeholders, including interfaces -Lapses in achieving determine how different management systems interact with interfaces, HF and organisational factors -Lapses in the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity	STRATEGIC THINKING Competent -Acceptable in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Acceptable in assessing how different management systems interact with one another across various stakeholders, including interfaces -Acceptable in achieving determine how different management systems interact with interfaces, HF and organisational factors -Acceptable in the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity	STRATEGIC THINKING Effective -Effective in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Effective in assessing how different management systems interact with one another across various stakeholders, including interfaces -Effective in achieving determine how different management systems interact with interfaces, HF and organisational factors -Effective in the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity
1	2	3	4
RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to identify if strategic decisions consider RM principles and results -Fails to recognise the role of HF and organisational factors	RISK MANAGEMENT Basic Competence -Lapses quality or accuracy -Lapses in identifying if strategic decisions consider RM principles and results -Lapses in recognising the role of HF and organisational factors -Lapses in recognising business practices or cultures potential indicators of increasing risk levels	RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in identifying if strategic decisions consider RM principles and results -Acceptable in recognising the role of HF and organisational factors -Acceptable in recognising business practices or cultures potential indicators of increasing risk levels	RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in identifying if strategic decisions consider RM principles and results -Effective in recognising the role of HF and organisational factors -Effective in recognising business practices or cultures potential indicators of increasing risk levels



3.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES (Annex 19 element 1.2)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	3.2.1	An Chief Executive has been appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively.						ST2, ST4, ST5, ST6, ST10, RM2
	3.2.2	The Chief Executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.							
	ST4- Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).							
	ST5- Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							
	ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.							
	ST10 - Understands the impact of the regulatory framework on the safety issues and challenges of the stakeholder.							
	RM2- Identifies whether strategic decisions consider risk assessment principles and results.							
1		2		3		4		
STRATEGIC THINKING Needs Improvement		STRATEGIC THINKING Basic Competence		STRATEGIC THINKING Competent		STRATEGIC THINKING Effective		
-Fails to evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.		-Lapses in evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.		-Acceptable in evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.		-Lapses in evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.		
-Fails to Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).		-Lapses in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).		-Acceptable in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).		-Lapses in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).		
-Fails to determine whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.		-Lapses in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.		-Acceptable in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.		-Lapses in determining whether the stakeholder's management systems		



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	-Fails to assess how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Unacceptable/poor quality or accuracy -Fails to identify if strategic decisions consider RM principles and results		-Lapses in assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Lapses quality or accuracy -Lapses in identifying if strategic decisions consider RM principles and results -Lapses in recognising the role of HF and organisational factors				-Acceptable in assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Acceptable quality or accuracy -Acceptable in identifying if strategic decisions consider RM principles and results -Acceptable in recognising the role of HF and organisational factors				are appropriate for the types of certificates, size and scope/complexity of the operation. -Lapses in assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Effective quality or accuracy -Effective in identifying if strategic decisions consider RM principles and results					
	1		2				3				4					
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to identify if strategic decisions consider RM principles and results		RISK MANAGEMENT Basic Competence -Lapses quality or accuracy -Lapses in identifying if strategic decisions consider RM principles and results -Lapses in recognising the role of HF and organisational factors				RISK MANAGEMENT Competent -Acceptable quality or accuracy -Acceptable in identifying if strategic decisions consider RM principles and results -Acceptable in recognising the role of HF and organisational factors				RISK MANAGEMENT Effective -Effective quality or accuracy -Effective in identifying if strategic decisions consider RM principles and results					
Evaluation	Indicators of compliance and performance						1	2	3	4	SMS Assessor's comments				Observable Behaviours	
	3.2.3	Safety accountabilities, authorities, and responsibilities are defined and documented throughout the organisation and staff understand their own responsibilities.													ST1, ST2, ST3, ST4, ST5, ST6	
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?															
	ST1- Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP.															
	ST2 - Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.															
	ST3- Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes.															
	ST4 - Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).															
	ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.															
ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.																



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1	2	3	4
STRATEGIC THINKING Needs Improvement -Unacceptable/poor quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Fails to accurately evaluate the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Fails to determine effectiveness of implementation of continuous improvement, reactive and proactive processes -Fails to determine if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Fails to recognize the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Fails to determine how different management systems interact with interfaces, HF and organisational factors	STRATEGIC THINKING Basic Competence -Lapses in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Lapses in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Lapses in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Lapses in determining if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Lapses in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Lapses in determining how different management systems interact with interfaces, HF and organisational factors	STRATEGIC THINKING Competent -Acceptable in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in determining if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Acceptable in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors	STRATEGIC THINKING Effective -Acceptable in quality or accuracy evaluation of inter-relationships b/w policies, procedures and systems of SMS; -Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Acceptable in determining effectiveness of implementation of continuous improvement, reactive and proactive processes -Acceptable in determining if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Acceptable in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Acceptable in determining how different management systems interact with interfaces, HF and organisational factors



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3.3 APPOINTMENT OF KEY PERSONNEL (Annex 19 element 1.3)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor’s comments	Observable Behaviours
	3.3.1	A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the Chief Executive.						ST5, ST6
	3.3.2	The organisation has allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							
	ST6 - Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement -Fails to determine if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Fail to accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Basic Competence -Lapses to determine if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Lapses to accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Competent -Acceptable determination if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Acceptable accurate assessments of how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Effective -Effective determination if the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. -Effective accurate assessments of how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.	



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Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	3.3.3	The organisation has established appropriate safety committee(s) that discuss and address safety risks and compliance issues and includes the Chief Executive and the heads of functional areas.						ST2, ST4, ST6, RM1, RM5, RM8
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST2- Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST4- Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. RM1 - Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. RM5- Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. RM8 - Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement -Fails to accurately evaluate the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. - Fails to recognize the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -fails to accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Basic Competence -Lapses to accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. - Lapses to recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Lapses to accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Competent -Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. - Acceptable in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Acceptable in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Effective -Effective in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. - Effective in recognising the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Effective in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.	



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	1	2	3	4
	RISK MANAGEMENT Needs Improvement -Fails to evaluate the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. - Fails to recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -fails to Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Basic Competence -Lapses in evaluating the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. - Lapses in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Competent -Acceptable in evaluating the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. -Acceptable in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Effective -Acceptable in evaluating the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. - Acceptable in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.

3.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING (Annex 19 element 1.4)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	3.4.1	An appropriate emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities, and actions of the various organisations and key personnel.						ST4, ST5
	3.4.2	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST4 – Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system).							
	ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							
	1		2			3		4
	STRATEGIC THINKING Needs Improvement -Fails to recognize the essential components of a functional SMS and their interoperability, cultural aspects, human and		STRATEGIC THINKING Basic Competence -Lapses in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human			STRATEGIC THINKING Competent -Acceptable in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human		STRATEGIC THINKING Effective -Effective in recognizing the essential components of a functional SMS and their interoperability, cultural aspects,



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organisational factors, and the confidentiality of safety information (particularly the reporting system). -Fail to determine whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.	and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Lapses in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation	and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Acceptable in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation	human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Effective in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation
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3.5 SMS DOCUMENTATION (Annex 19 element 1.5)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	3.5.1	The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes and is readily available to all relevant personnel.						ST1, ST2, ST4, ST5
	3.5.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1 – Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. ST2 – Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST4 – Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement		STRATEGIC THINKING Basic Competence		STRATEGIC THINKING Competent		STRATEGIC THINKING Effective	
	-Fails to accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Fails to accurately evaluate the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Fails to recognize the essential components of a functional SMS and their		-Lapses to accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Lapses to accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Lapses to recognizing the essential components of a functional SMS and their		-Acceptable in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach.		-Effective in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Effective in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while	



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	interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Fail to determine whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.	interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Lapses to determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.	-Acceptable in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Acceptable in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.	maintaining an objective, non-punitive, and no-blame approach. -Effective in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). -Effective in determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.
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4. SAFETY PROMOTION (Annex 19 component 4)

4.1 TRAINING AND EDUCATION (Annex 19 element 4.1)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	4.1.1	There is a training programme for SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the organisation's SMS operates.						ST1, ST2, ST5, RM3, RM5
	4.1.2	There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.						
	4.1.3	Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error.						
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1 – Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. ST2 – Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST5 - Determines whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation. RM3 – Recognizes the role of human and organisational factors. RM5 - Recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement		STRATEGIC THINKING Basic Competence		STRATEGIC THINKING Competent		STRATEGIC THINKING Effective	
	-Fails to accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Fails to accurately evaluate the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Fail to determine whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.		-Lapses to accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Lapses to accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Lapses to determining whether the stakeholder's management systems are appropriate for the types of certificates, size and scope/complexity of the operation.		-Acceptable in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Acceptable in determining whether the stakeholder's management systems		-Effective in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Effective in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Effective in determining whether the stakeholder's management systems are	



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	-Unacceptable/poor quality or accuracy -Fails to recognize business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Fails to recognise the role of HF and organisational factors		-Lapses in quality or accuracy -Lapses in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Lapses in recognising the role of HF and organisational factors		are appropriate for the types of certificates, size and scope/complexity of the operation. -Acceptable in quality or accuracy -Acceptable in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Acceptable in recognising the role of HF and organisational factors		appropriate for the types of certificates, size and scope/complexity of the operation. -Effective in quality or accuracy -Effective in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Effective in recognising the role of HF and organisational factors		
	1		2		3		4		
	RISK MANAGEMENT Needs Improvement -Unacceptable/poor quality or accuracy -Fails to recognize business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Fails to recognise the role of HF and organisational factors		RISK MANAGEMENT Basic Competence -Lapses in quality or accuracy -Lapses in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Lapses in recognising the role of HF and organisational factors		RISK MANAGEMENT Competent -Acceptable in quality or accuracy -Acceptable in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Acceptable in recognising the role of HF and organisational factors		RISK MANAGEMENT Effective -Effective in quality or accuracy -Effective in recognizing business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Effective in recognising the role of HF and organisational factors		
Evaluation	Indicators of compliance and performance			1	2	3	4	SMS Assessor’s comments	Observable Behaviours
	4.1.4	There is a process that evaluates the individual’s competence and takes appropriate remedial action when necessary.							ST1, ST2, ST3, RM3, RM8
	4.1.5	The competence of trainers is defined and assessed and appropriate remedial action taken when necessary.							
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?								
	ST1 – Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder’s systems, particularly the SMS and SSP. ST2 – Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST3 - Determines the effectiveness of the implementation of continuous improvement, reactive and proactive processes. RM3 – Recognizes the role of human and organisational factors. RM8 - Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.								



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	STRATEGIC THINKING Needs Improvement	STRATEGIC THINKING Basic Competence	STRATEGIC THINKING Competent	STRATEGIC THINKING Effective
	-Fails to accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Fails to accurately evaluate the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Fail to determine the effectiveness of the implementation of continuous improvement, reactive and proactive processes.	-Lapses to accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Lapses to accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Lapses in determining the effectiveness of the implementation of continuous improvement, reactive and proactive processes.	-Acceptable in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Acceptable in determining the effectiveness of the implementation of continuous improvement, reactive and proactive processes.	-Effective in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. -Effective in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Effective in determining the effectiveness of the implementation of continuous improvement, reactive and proactive processes.
	1	2	3	4
	RISK MANAGEMENT Needs Improvement	RISK MANAGEMENT Basic Competence	RISK MANAGEMENT Competent	RISK MANAGEMENT Effective
	-Fails to ensure that stakeholders implement remedial measures associated with safety issues or proposed changes -Fails to recognise the role of HF and organisational factors	-Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes -Lapses in recognising the role of HF and organisational factors	-Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes -Acceptable in recognising the role of HF and organisational factors	-Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes -Effective in recognising the role of HF and organisational factors



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4.2 SAFETY COMMUNICATION (Annex 19 element 4.2)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	4.2.1	There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organisation to all personnel, as relevant. This includes contracted organisations and personnel where appropriate.						ST4, ST6, ST9, RM3, RM8
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST4- Recognizes the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). ST6- Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. ST9- Assesses the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity. RM3- Recognizes the role of human and organisational factors. RM8 - Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.							
	1		2			3		4
	STRATEGIC THINKING Needs Improvement -Fails to recognize the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). - Fails to accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -fails to assess the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.		STRATEGIC THINKING Basic Competence -Lapses in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). - Lapses in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Lapses in assessing the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.			STRATEGIC THINKING Competent -Acceptable in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). - Acceptable in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Acceptable in assessing the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.		STRATEGIC THINKING Effective -Effective in recognizing the essential components of a functional SMS and their interoperability, cultural aspects, human and organisational factors, and the confidentiality of safety information (particularly the reporting system). - Effective in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. -Effective in assessing the achievement of safety performance objectives using risk management and compliance monitoring principles, considering organizational capability and maturity.



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RISK MANAGEMENT Needs Improvement -Fails to recognize the role of human and organisational factors. - Fails to recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -fails to Ensures that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Basic Competence -Lapses in recognising the role of human and organisational factors. - Fails to recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Lapses in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes.	RISK MANAGEMENT Competent -Acceptable in recognising the role of human and organisational factors. - Fails to recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Acceptable in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes	RISK MANAGEMENT Effective -Effective in recognizing the role of human and organisational factors. - Fails to recognizes business practices or organisational cultures that are potential indicators of increased levels of risk, considering the influence of human performance and limitations. -Effective in ensuring that stakeholders implement remedial measures associated with safety issues or proposed changes



5. INTERFACE MANAGEMENT (Annex 19 Appendix 2 note 2)

Evaluation	Indicators of compliance and performance		1	2	3	4	SMS Assessor's comments	Observable Behaviours
	5.1.1	The organisation has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.						ST1, ST2, ST6, RM1, RM3
Assessment Criteria	What Competencies to look for in the SMS Inspector being evaluated?							
	ST1 – Accurately evaluates the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. ST2 – Accurately evaluates the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. ST6 - Accurately assesses how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors. RM1 - Evaluates the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. RM3 - Recognizes the role of human and organisational factors.							
	1		2		3		4	
	STRATEGIC THINKING Needs Improvement -Fails to accurately evaluate the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. - Fails to accurately evaluate the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -fails to accurately assess how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors.		STRATEGIC THINKING Basic Competence -Lapses in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. - Lapses in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Lapses in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors..		STRATEGIC THINKING Competent -Acceptable in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. - Acceptable in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Acceptable in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors..		STRATEGIC THINKING Effective -Effective in accurately evaluating the inter-relationship between policies, processes and procedures of the stakeholder's systems, particularly the SMS and SSP. - Effective in accurately evaluating the inter-relationship between various systems, including SMS, quality, and compliance of the stakeholder, recognizing how these components interact and interface, while maintaining an objective, non-punitive, and no-blame approach. -Effective in accurately assessing how different management systems interact with one another across various stakeholders, including interfaces and human and organizational factors..	



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	1	2	3	4
	RISK MANAGEMENT Needs Improvement -Fails to evaluate the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. -fails to recognize the role of human and organisational factors.	RISK MANAGEMENT Basic Competence -Lapses in evaluating the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. -Lapses in recognizing the role of human and organisational factors.	RISK MANAGEMENT Competent -Acceptable in evaluating the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. -Acceptable in recognizing the role of human and organisational factors.	RISK MANAGEMENT Effective -Effective in evaluating the appropriateness of risk assessments performed by stakeholders and actions taken to manage hazards to an acceptable level, including change management processes, and considering human performance aspects and organisational factors. -Effective in recognizing the role of human and organisational factors.