



SMS FOR AERODROMES – BLOCK 3

Inspector Worksheets



Canada

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This section explores a variety of inspection worksheets at the system level and the process level. It looks at inspection from the initial certification/implementation phase followed by continuing oversight after the initial implementation.

In addition to TCCA material being presented, we will look at tools available through the Safety Management and International Collaboration Group.



Initial certification/implementation

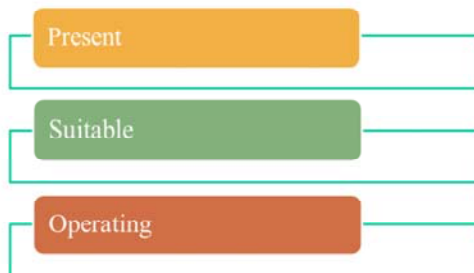
- Before issuing the certificate, the competent authority should make sure that all processes are: “Present” and “Suitable”, so that all the required enablers of a functioning SMS are implemented by the organisation.

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- In this initial certification phase, a large part of the SMS assessment could be carried out by a desktop review of relevant SMS Documentation.
- Carrying this out at the aerodrome provides an opportunity for the inspector to advise and guide the organisation on its SMS implementation and support standardised implementation.



Continuing Oversight



After initial implementation, the organisation should start using the SMS as part of its operations.

The competent authority should ensure that within the first oversight planning cycle the organisation's SMS processes are

An organisation may eventually have “**Effective**” processes, which is the evidence of an effective SMS. In order to check that SMS processes are indeed “Operating” and/or “Effective” the SMS should be re-evaluated on a regular basis to assess how well it is performing. The review should assess all of the items in the assessment tool which can be done by a combination of organisational visits, meetings and desk top reviews.

As an organisation's SMS processes mature in the latter phases of implementation, and moves to ‘Operating’ and ‘Effective’ this may also require the ‘suitability’ criteria to be revisited. Changes to an organisation's approval may also require a reconsideration of the suitability of the SMS processes. So when significant changes take place the competent authority may determine the need to review the existing assessment to ensure it is still appropriate.



Credit for other oversight activities

Valuable information about SMS effectiveness can be gained from other oversight activities. This may include such activities as:

Routine
compliance
audits/inspections

Occurrence
investigations

Meetings with the
organization

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This should be taken into consideration by the inspector through liaison with other inspectors involved in the oversight of the organisation. Competent Authorities may also consider giving credit where an organisation has received accreditation for meeting an industry standard.

Dealing with multiple certificate holders

In the case of an organisation holding multiple approval certificates, the use of the SMS assessment tool should follow the rule “1 organisation = 1 assessment”. Therefore, if one organisation integrates all activities within a single SMS, the assessment should consider the SMS as a whole.

Yet, it may be the case that different teams of inspectors oversee the same SMS with regard to different certificates, and a single assessment may be impracticable. In such case, the different assessments should be shared with the various teams of inspectors, and a common message coming from the competent authorities should be provided.



TCCA PVI WORKSHEET

- 1. Expectations:** A table of all of the expectations that have been established for the scope of the activity. This includes two categories of expectations: compliance and best practices.
- 2. Analysis and Decision Record:** This is to indicate compliance status for each expectation based on results of the pre-site research and on-site observations. This table contains the expectations, applicable designated provisions and regulatory references.
- 3. Findings:** This is for grouping the non-compliances identified on every worksheet within the scope of the surveillance activity to determine findings against system compliance. It also provides space for documenting the internal score.



TCCA PVI WORKSHEET

4. Recommended Follow-Up Actions: This is to record the recommended actions to mitigate risk associated with the non-compliances, based upon a review of the listed considerations.

5. Index of Records: This is to record the RDIMS numbers of documents relevant to the surveillance activity, that are saved separately from this worksheet.



TCCA PVI WORKSHEET

Appendix A – Documentation Review Guide: This provides the format for a documentation review guide. This table correlates the expectations to the enterprise's documentation and becomes a record of the results of the surveillance team's review.

Appendix B – Pre-Site Sampling Plan and On-Site Sampling Record: These documents provide the format for a sampling plan and sampling record. These documents contain the columns to be completed when developing the sampling plan and recording on-site observations.

Appendix C – Interview Questionnaire: This provides sample interview questions and the format for interview questionnaires. This table is designed to record the questions to be addressed during the on-site interviews and the enterprise's responses.



TCCA PROCESS INSPECTION WORKSHEET

Pre-Site: Select and gain an understanding of a process. Analysis etc.

On-Site: Verify the process is functioning and the applicable regulatory requirements have been met.

Post-Site: Document results and recommend further action.



TCCA Process Inspection Worksheet

PROCESS INSPECTION WORKSHEET	
ENTRANCE NAME:	FILE NO. (S)
INSPECTION ROOM NO.:	DATE AND TIME
PROCESS INSPECTOR LAST NAME:	PROCESS INSPECTOR FIRST NAME(S)
APPROVED BY:	

Observations:

1. Pre-Site: Select and gain an understanding of a process.
2. On-Site: Verify the process is functioning and the applicable regulatory requirements have been met.
3. Post-Site: Document results and recommend further action.

Process Level Surveillance

Pre-Site	On-Site	Post-Site
Identify relevant records Interview relevant Research mapping	Trace inputs/outputs Record observations	Record results Information management

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CLICK ON OBJECT TO OPEN THE PDF IN A SEPARATE PROGRAM

Safety Management International Collaboration Group – SMS Evaluation Tool

Coming soon to
www.Skybrary.aero

SAFETY RISK MANAGEMENT (Annex 19 component 2)

1.1 HAZARD IDENTIFICATION (Annex 19 element 2.1)

Indicators of compliance and performance	P	S	O	L	How it is achieved	Comments
1.1.1 There is a confidential reporting system to capture errors, hazards and near misses that is simple to use and accessible to all staff						
1.1.2 There is a confidential reporting system that provides appropriate feedback to the reporter and where appropriate, to the rest of the organisation						
1.1.3 Personnel express confidence and trust in the organisation reporting policy						
What to look for						
<ul style="list-style-type: none"> Review the reporting system for access and ease of use. Check staff trust the reporting system, are familiar with it and know what should be reported. Review how data protection and confidentiality is achieved. Evidence of feedback to reporter, the organisation and third parties. Assess volume and quality of reports - including whether personnel are reporting their own errors and mistakes Review report closure rates. Check availability to contracted organisations and customers to make reports. Review how reports in the system are evaluated. Confirm responsibilities with regards to assessment, analysis, storage and follow-up clearly defined. Check relevant staff are aware of which occurrences should be mandatory. Assess how senior management engage with the outputs of the reporting system. 						
Report	Submit	Operating	Effective			
There is a confidential reporting system to capture mandatory occurrences and voluntary reports and includes a feedback system and stored in a database. The process identifies how reports are assessed, timescales specified and addressed.	The reporting system is accessible and easy to use by all personnel. Responsibilities, timescales and normal for the feedback are clear and meaningful and defined. Data protection and confidentiality is assured.	The reporting system is being used by all personnel. There is evidence to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation. Reports are evaluated, processed, analysed and stored. People are aware and fulfil their responsibilities in respect of the reporting system.	There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner. Personnel express confidence and trust in the organisations reporting policy and process. The reporting system is being used to make better management decisions enabling continuous improvement.			

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SM ICG Description

The Safety Management International Collaboration Group (SM ICG) was founded by the United States Federal Aviation Administration ([FAA](#)), the European Aviation Safety Agency ([EASA](#)) and Transport Canada Civil Aviation and is a joint cooperation between many regulatory authorities for the purpose of promoting a common understanding of [safety management](#) and Safety Management System ([SMS](#))/State Safety Program ([SSP](#)) principles and requirements, facilitating their implementation across the international aviation community.

The current core membership of the SM ICG includes the Aviation Safety and Security Agency (AESA) of Spain, the National Civil Aviation Agency (ANAC) of Brazil, the Civil Aviation Authority of the Netherlands (CAA NL), the Civil Aviation Authority of New Zealand (CAA NZ), the Civil Aviation Authority of Singapore (CAAS), Civil Aviation Department of Hong Kong (CAD HK), the Civil Aviation Safety Authority (CASA) of Australia, the Direction Générale de l'Aviation Civile (DGAC) in France, the Ente Nazionale per l'Aviazione Civile (ENAC) in Italy, the European Aviation Safety Agency (EASA), the Federal Office of Civil Aviation (FOCA) of Switzerland, the Finnish Transport Safety Agency (Trafi), the Irish Aviation Authority (IAA), Japan Civil Aviation Bureau (JCAB), the United States Federal Aviation Administration (FAA) Aviation Safety Organization, Transport Canada Civil Aviation

(TCCA), United Arab Emirates General Civil Aviation Authority (UAE GCAA), and the Civil Aviation Authority of United Kingdom (UK CAA). Additionally, the International Civil Aviation Organization (ICAO) is an observer to this group.

Members of the SM ICG:

Collaborate on common SMS/SSP topics of interest

Share lessons learned

Encourage the progression of a harmonized SMS

Share products with the aviation community

Collaborate with international organizations such as ICAO and civil aviation authorities that have implemented or are implementing SSP/SMS

SMS EVALUATION TOOL

Present (P): There is evidence that the marker is documented within the organisation's SMS Documentation.

Suitable (S): The marker is suitable based on the size, nature, complexity of the organisation and the inherent risk in the activity.

Operating (O): There is evidence that the marker is in use and an output is being produced.

Effective (E): There is evidence that the marker is achieving the desired outcome and has a positive safety impact.

The PSOE level should be considered as progressive; it must first be present, then confirmed as suitable, then it becomes operating and may then be effective. During ongoing assessments the suitability should be reassessed taking into account changes to the organisation and its activities.

An item cannot be considered "Effective" if it is not present because if it is not documented, it cannot be carried out consistently and systematically.

What to look for: This column guides the inspector when looking at each individual feature and is not meant to be a checklist. The items listed are not specific to an individual PSOE level but remind the inspector of areas they may want to consider to look at. Some items in this column may not be relevant depending on the type or nature of the organisation.



Conclusion

- Review of main points
- Final thoughts
- Next learning block

Review of main points

Questions from group or clarifications

Final thoughts

Next learning block after the break: