Name	
Organization	
State	
Job Title	

SA1: Development of a Positive and Proactive Safety Culture		
SA1-1	**A positive and pro-active just, flexible, and informed safety culture (the shared beliefs, assumptions, and values regarding safety) that supports reporting and learning led by management.**	
A	Initiating	Within the organisation, there are significant differences between what is said, what is done, and what is believed. The competent authority may be regarded as being responsible for safety. The organisation determines what safety means and generates some awareness of this throughout the organisation. Individuals may have a different understanding of how their activities contribute to safety.	⦿ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** Individuals within the organisation have a good level of systematic safety management awareness. The organisation is starting to put processes in place for systematic safety management.	⦿ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** A positive safety culture is developing, although it is still immature. Individuals are starting to be involved in systematic safety management.	⦿ *C*
D	Managing & Measuring	**All of Implementing plus:** Staff are proactively involved in planning for and implementing systematic safety management. The organisation operates informed learning and reporting cultures, as well as a just culture with respect to errors in operations.	⦿ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Individuals across the organisation are proactively and constantly striving to improve their approach to systematic safety management. They are supported by measurement and review processes and organisational management. Experiences are openly exchanged internally and externally. Within the organisation, there is a complete alignment between what is said, what is done, and what is believed.	⦿ *E*
Please provide justification for selected answer		

SA1-2	Regular measurement of safety culture and an improvement programme.			
A	Initiating	The organisation does not see the need to have a safety culture measuring mechanism in place.		A
B	Planning/ Initial Implementation	**All of Initiating plus:** The organisation is aware of the need to have periodic measurements of safety culture in place, as well as an improvement plan. However, what will be measured, and when, is still being defined.		B
C	Implementing	**All of Planning/ Initial Implementation plus:** Safety culture is measured and results are available. An improvement plan addresses the need for individuals to be aware of, and support, the organisation's shared beliefs, assumptions and values regarding safety.		C
D	Managing & Measuring	**All of Implementing plus:** The organisation assesses its safety culture on a regular basis and implements improvements to any identified weaknesses. Safety Culture enablers and barriers are identified, and solutions to reduce barriers are being implemented.		D
E	Continuous Improvement	**All of Managing & Measuring plus:** All personnel are pro-active and committed to improving safety. Safety Culture Surveys confirm that, within the organisation, there is a high level of alignment between what is said, what is done, and what is believed. Organisational management approves a continuous improvement plan.		E
Please provide justification for selected answer				

SA1-3	An open climate for reporting and investigation of occurrences.			
A	Initiating	Management believes there are no issues regarding the existing reporting and investigation culture and therefore does not see the need for any activity or dialogue with the staff in this area.		A

B	Planning/ Initial Implementation	**All of Initiating plus:** Discussions between staff and management to define an open reporting and investigation climate are underway. However, there is no agreed policy in place yet.	⊙ **B**
C	Implementing	**All of Planning/ Initial Implementation plus:** Safety data-sharing and publication policies are supported by the staff. Safety data are sufficiently protected from external interference within legal limits.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** Within the organisation, the line between acceptable and unacceptable mistakes is established and known by the staff. Just reporting and investigation culture principles are in place and systematically applied within the organisation.	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** Under certain legal regimes, there is a clear and published policy on how dialogue with judicial authorities and media is established and followed.	⊙ **E**
Please provide justification for selected answer			

SA2: Organisational and Individual Safety Responsibilities			
SA2-1		**An approved, clearly documented, and recognised system for the management of safety. Management structure, responsibilities, accountabilities and authorities are clearly defined and documented.**	
A	Initiating	No formal designation of authorities, responsibilities or accountabilities for the management of safety exists.	⊙ **A**
B	Planning/ Initial Implementation	**All of Initiating plus:** Safety authorities, responsibilities, and accountabilities have been identified but not yet formalised. Line managers assume responsibility for safety.	⊙ **B**
C	Implementing	**All of Planning/ Initial Implementation plus:** Authorities, responsibilities, and accountabilities for the management of safety have been defined and documented. Delineation of responsibility for the development, oversight and implementation of the SMS is clearly understood.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** Procedures are in place to address the need to review safety authorities, responsibilities, and	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** Safety authorities, responsibilities, and accountabilities are periodically reviewed to determine whether they are suitable and effective (i.e., continuous improvement of safety management).	⊙ **E**

Please provide justification for selected answer

SA2-2				
	A clearly defined safety management function that is independent of line management.			
A	Initiating	A safety management function has not yet been appointed to develop the SMS..		⦿ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** A safety management function has been appointed to develop and maintain the SMS.		⦿ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** The safety management function is independent of line management and develops and maintains an effective SMS. The safety manager has access to the resources required for the proper execution and maintenance of the SMS.		⦿ *C*
D	Managing & Measuring	**All of Implementing plus:** The highest organisational level recognises its role in the SMS and actively supports the development, implementation, maintenance, and promotion of the SMS throughout the organisation (including support departments).		⦿ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** There is clear evidence that the highest organisational level plays a pro-active role in the continuous improvement of the SMS.		⦿ *E*
Please provide justification for selected answer				

SA2-3				
	An integrated safety planning process is adopted by the organisation with published and measurable safety goals and objectives for which the executive is accountable.			
A	Initiating	An ad hoc or non existent safety planning process is utilised by the organisation. Safety goals and objectives have not been identified or documented for the implementation of a safety management system.		⦿ *A*

B	Planning/ Initial Implementation	**All of Initiating plus:** Identification of an appropriate SMS has been identified. A compliance gap analysis has been performed and a SMS Implementation Plan developed to meet the applicable safety regulatory requirements.	⊙ **B**
C	Implementing	**All of Planning/ Initial Implementation plus:** The requirements expressed in the SMS Implementation Plan have been completed. The SMS meets the regulatory requirements, but may not incorporate best practices.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** The Organisation Safety Plan is published on a periodic basis with specific accountable and measurable safety management goals and targets.	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** The Organisation Safety Plan goals and objectives are developed and prioritized based on organisation safety risks which have been identified through trend analysis, risk assessment processes and identified system safety deficiencies. Where appropriate (considering ANSP size and complexity), the organisation is committed to share and implement ATM safety management international best practices.	⊙ **E**
Please provide justification for selected answer			

SA2-4		**Clear understanding and acceptance of safety management responsibilities by all staff and contractors. Commitment to continuous improvement to safety.**	
A	Initiating	Knowledge of the principles underpinning SMS amongst all staff and contractors is negligible.	⊙ **A**
B	Planning/ Initial Implementation	**All of Initiating plus:** All staff and contractors apply rules and procedures to their tasks in the knowledge that some of the rules and procedures need improvement. All staff and contractors are only partially aware of their roles in the SMS.	⊙ **B**
C	Implementing	**All of Planning/ Initial Implementation plus:** All staff and contractors are aware of how their actions impact the safety of the wider operation and how the actions of others impact safety.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** All staff and contractors across the organisation are actively promoting and improving safety. All staff and contractors take pro-active day-to-day action to have rules and procedures changed where they identify a safety benefit by the change.	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** The organisation regularly reviews and assesses documented safety management responsibilities.	⊙ **E**

Please provide justification for selected answer			

SA3 Timely Compliance with International Obligations.				
SA3-1		**A formal SMS that meets all applicable safety requirements.**		
A	Initiating	There is no SMS in place. There may be deviations from safety requirements.		○ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** The SMS is partially implemented, but it is not yet effective; it does not yet meet the safety requirements.		○ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** The essential parts of the SMS are implemented, and the organisation meets the safety requirements.		○ *C*
D	Managing & Measuring	**All of Implementing plus:** The SMS is fully implemented and effective. Operations are monitored regularly to identify deviations.		○ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Where applicable, the organisation is committed to going beyond compliance and operating at the highest international safety standard.		○ *E*
Please provide justification for selected answer				

SA3-2		**An organisation that strives to go beyond compliance, takes into account the need to ensure, in a timely manner, that there are no inconsistencies with European or national requirements or international safety standards.**		
A	Initiating	There is little awareness of the regional or international safety standards.		○ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** There is an awareness of the European or national requirements or international safety standards. Work has started in some areas.		○ *B*

C	Implementing	**All of Planning/ Initial Implementation plus:** European or national requirements or international safety standards are known and met as required.	◉ *C*
D	Managing & Measuring	**All of Implementing plus:** There is a process in place to address the need for timely and consistent compliance with European or national requirements or international safety standards.	◉ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** The organisation has a structured mechanism to address the need for ongoing and consistent compliance with European or national requirements or international safety standards. It contributes to a European or national or international dialogue to improve these requirements or standards.	◉ *E*
Please provide justification for selected answer			

SA4: Safety Standards and Procedures			
SA4-1	**Clearly defined and documented safety standards and procedures.**		
A	Initiating	Some safety and safety management procedures exist, but they are not complete. Operations manuals do not contain any specific safety management procedures.	◉ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** The documentation of SMS processes and procedures has started and is progressing as planned.	◉ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** The documentation of the essential parts of the SMS processes and procedures is complete. The processes and procedures ensure that the organisation is compliant with all applicable safety and regulatory requirements.	◉ *C*
D	Managing & Measuring	**All of Implementing plus:** There is clear evidence that the safety and safety management documentation is readily available to all personnel in the organisation. This documentation details safety and safety management processes and procedures that meet or exceed the applicable safety and regulatory requirements.	◉ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Processes are in place and are being applied to give effect to the organisation's commitment to continuously improve safety and safety management processes and procedures.	◉ *E*
Please provide justification for selected answer			

SA4-2		Staff know about the safety and safety management requirements and standards, which are regularly reviewed, assessed, and maintained.		
A	Initiating	Staff have limited knowledge of SMS processes and procedures. There is no formal process that maintains the SMS, nor is there an identified authority (or authorities) responsible for the updates.		A
B	Planning/ Initial Implementation	**All of Initiating plus:** A process to maintain all safety and safety management procedures exists, but its initial implementation is ad-hoc and not fully effective. The authority (or authorities) responsible for the updates are partially identified.		B
C	Implementing	**All of Planning/ Initial Implementation plus:** The process to maintain all safety and safety management procedures is documented and practised. Procedures are kept up-to-date on an ad-hoc basis.		C
D	Managing & Measuring	**All of Implementing plus:** There is a formal process in place to periodically review safety and safety management procedures and ensure that they remain relevant, up-to-date, and effective. The authority (or authorities) responsible for the updates are completely identified.		D
E	Continuous Improvement	**All of Managing & Measuring plus:** Changes within the organisation that could affect safety and/or the safety management framework are subjected to formal review.		E
Please provide justification for selected answer				

SA4-3		Emergency/contingency response procedures and an emergency/contingency response plan that documents the orderly and efficient transition from normal to emergency operations and return to normal operations.		
A	Initiating	The organisation has sound primary Air Traffic Management systems but does not have redundant capabilities or back-up systems.		A

B	Planning/ Initial Implementation	**All of Initiating plus:** There are procedures and some redundant capabilities and resources to cope with abnormal and unexpected situations.	⊙ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** All primary systems have redundant capabilities, and emergency/contingency response procedures have been developed, documented, and distributed to appropriate staff. The emergency/contingency response plan is properly coordinated with the emergency/contingency response plans of those organisations it must interface with during the provision of its services.	⊙ *C*
D	Managing & Measuring	**All of Implementing plus:** Primary Air Traffic Management systems are reliable and have redundant capabilities and back-up systems. The emergency/contingency response plan and procedures have been rehearsed through desktop or operational exercises.	⊙ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** The emergency/contingency response planning processes and emergency/contingency procedures and plans are regularly exercised and revised to keep them up-to-date.	⊙ *E*
Please provide justification for selected answer			

SA5: Competency			
SA5-1	**Staff, and contractors (where appropriate) are trained, competent in safety and safety management, and where required, licensed.**		
A	Initiating	Competent staff and contractors (where appropriate) are provided on an ad-hoc basis for safety and safety management activities. There are no formal competency methods (including proficiency, licensing, and training).	⊙ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** Competent staff, and contractors (where appropriate) are provided and allocated based on limited planning and only for a limited number of positions related to operations and safety management activities. Competency methods are being developed.	⊙ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** Competency methods have been designed and are applied. An annual planning process for training is in place.	⊙ *C*

D	Managing & Measuring	**All of Implementing plus:** There is a process for the training provider(s) to receive feedback on the effectiveness of training programmes; based on feedback, the training programmes are revised to improve effectiveness.	⊙ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Competency methods (including proficiency, licensing, and training) are periodically reviewed and improved with industry best practices adopted. Training plans cover safety and SMS activities and allow for the improvement of staff skills and competency.	⊙ *E*

Please provide justification for selected answer

SA6: Risk Management			
SA6-1	**A continuing risk management process that identifies, assesses, classifies, and controls all identified safety risks within the organisation, including potential future risks.**		
A	Initiating	There is no formal risk management process in place.	⊙ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** The principles of risk management are documented and understood. There is an approved plan in place to implement the risk management process.	⊙ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** There is an approved and structured process in place for the assessment of current and potential safety risks, but it is not yet mature. Training in risk assessment is ongoing.	⊙ *C*
D	Managing & Measuring	**All of Implementing plus:** There is clear evidence that safety risk management is embedded within the organisation and identified safety risks are managed and controlled.	⊙ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Methods are in place to predict future safety risks and to mitigate these risks. The risk management processes are reviewed and improved on a periodic basis. The organisation develops best practice guidelines that it shares with other ANSPs.	⊙ *E*

Please provide justification for selected answer

		SA7: Safety Interfaces		
SA7-1		**Effectively managed safety-related internal interfaces (e.g. quality management system, security, and environment).**		
A	Initiating	The relationships between various different internal interfaces are defined; however, the interfaces operate in isolation.		A
B	Planning/ Initial Implementation	**All of Initiating plus:** Internal safety-related interfaces are managed on an informal or ad-hoc basis.		B
C	Implementing	**All of Planning/ Initial Implementation plus:** Internal safety-related interfaces are managed with a solid understanding of the boundaries and relationships between the interfaces.		C
D	Managing & Measuring	**All of Implementing plus:** Safety-related internal interfaces are coordinated, and relationships are managed through interface agreements (e.g., Letters of Agreement (LoAs), Memoranda of Understanding (MoUs), Service-Level Agreements (SLAs)).		D
E	Continuous Improvement	**All of Managing & Measuring plus:** A process is in place to regularly identify weaknesses in agreed interface arrangements (LoAs/MoUs/SLAs etc)		E
Please provide justification for selected answer				

SA7-2		**The effective management of external interfaces with a safety impact (e.g., MIL, airspace users, airports).** **Formalised processes and procedures dealing with external agreements, services, and supplies (e.g., cross-border Letters of Agreement).** **(NB: for certain organisations MET, CNS and/or AIS are internal interfaces of the Organisation).**		
A	Initiating	There are a limited number of agreements in place.		A
B	Planning/ Initial Implementation	**All of Initiating plus:** Safety-related external interfaces are managed on an informal or ad-hoc basis. Draft contractual arrangements are being prepared and negotiated for all safety-related external interfaces. Some elements are already formalised and implemented.		B
C	Implementing	**All of Planning/ Initial Implementation plus:** Safety requirements are specified and documented in appropriate agreements.		C

D	Managing & Measuring	**All of Implementing plus:** Activities with safety-related external interfaces are coordinated and relationships are managed through documented agreements. Safety requirements within contractual agreements are systematically reviewed and revised as necessary.	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** External services and suppliers are surveyed/audited and systematically monitored to identify deviations from the documented arrangements.	⊙ **E**
Please provide justification for selected answer			

SA8: Safety reporting, investigation and improvement			
SA8-1 **A continuing organisation-wide process to report and investigate safety occurrences and risks.**			
A	Initiating	There is an informal system in place for reporting safety occurrences and risks, but reports are not reviewed systematically. The reporting system is not organisation-wide. Investigation is done on an ad-hoc basis and with little or no feedback.	⊙ **A**
B	Planning/ Initial Implementation	**All of Initiating plus:** There is a plan to formalise the existing reporting and investigation system. There is commitment from management to allocate resources to implement this system. The reporting system is wide-spread but does not yet cover the whole organisation. Feedback is given on an ad-hoc basis.	⊙ **B**
C	Implementing	**All of Planning/ Initial Implementation plus:** The system in place is commensurate with the size of the organisation. The organisation has a complete and formal system that records all reported information relevant to the SMS, including incidents and accidents. Corrective and preventive actions are taken in response to event analysis.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** Identified safety-related risks and deficiencies are actively and continuously monitored and reviewed for improvement.	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** Personnel who report safety occurrences, risks and problems are empowered to suggest corrective actions, and there is a feedback process in place.	⊙ **E**
Please provide justification for selected answer			

SA8-2		An organisation-wide means to record and disseminate lessons learned.		
A	Initiating	Safety lessons learned are known only to those who experience them.		⊙ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** There is an intention to develop a means to record and share lessons learned. This may already happen, but only on an ad-hoc basis.		⊙ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** The process for sharing safety lessons learned is systematic and operational and the majority of data is shared with appropriate personnel.		⊙ *C*
D	Managing & Measuring	**All of Implementing plus:** All safety lessons learned are systematically shared across the organisation at all appropriate levels. Corrective actions are taken to address lessons learned.		⊙ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** There is clear evidence that the internal lessons learned dissemination process is embedded across the organisation at all levels and is periodically reviewed.		⊙ *E*
Please provide justification for selected answer				

SA8-3		Appropriate safety information and knowledge is shared with Industry stakeholders. Information disclosure is compliant with agreed publication and confidentiality policies/agreements.		
A	Initiating	Safety data and information are treated as confidential. There are no plans to release it in any way to any industry stakeholders.		⊙ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** Safety data and information are shared internally, but the organisation is reluctant or unwilling to share data with industry stakeholders.		⊙ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** Safety data and information is shared internally, nationally, and with international bodies when it is required by regulation.		⊙ *C*

D	Managing & Measuring	**All of Implementing plus:** There is a clear and published policy that encourages the proactive sharing of safety-related information with other parties.	⦿ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Safety data and information are actively shared internally, nationally, with recognised international bodies, and with other industry stakeholders. The organisation has a process in place to receive and act on safety data and information from external stakeholders.	⦿ *E*
Please provide justification for selected answer			

SA9: Safety Performance Monitoring			
SA9-1	**An established and active monitoring system that uses and tracks suitable safety indicators and associated targets (e.g., lagging and leading indicators).**		
A	Initiating	There are no indicators, thresholds, or formal monitoring system in place to measure safety achievements and trends.	⦿ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** There is a plan to implement a monitoring system. A limited set of indicators has been implemented.	⦿ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** The safety monitoring system has been implemented and documented. Indicators and targets have been set: limited to meeting the safety requirements.	⦿ *C*
D	Managing & Measuring	**All of Implementing plus:** Additional indicators are also defined and monitored to meet both organisational and local safety objectives. All indicators are tracked against thresholds/targets on a regular basis. Trends are analysed for safety improvement purposes.	⦿ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Safety indicators covering all aspects of the system/operations are mature and used to measure safety improvement. There are comprehensive metrics in place to measure and monitor indicators and thresholds throughout the system.	⦿ *E*
Please provide justification for selected answer			

SA9-2		**Methods to measure safety performance, which is compared within and between ANSPs.**		
A	Initiating	Ad-hoc safety performance data related to individual incidents is available, but there is no systematic approach for measuring safety performance.	◉ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** The implementation of some qualitative and quantitative techniques in certain parts of the organisation has started. However, there is insufficient data to analyse.	◉ *B*
C	Implementing	**All of Planning/ Initial Implementation plus:** Qualitative techniques are in place, and the implementation of quantitative techniques has started.	◉ *C*
D	Managing & Measuring	**All of Implementing plus:** Safety performance is measured using statistical and other quantitative techniques. Internal comparative analysis is done, and external comparative analysis has begun.	◉ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** The reporting, operational safety survey and SMS auditing programmes are integral parts of the management and operational processes. Results are used to drive further safety improvements across the organisation. Internal and external comparative analysis is well-established.	◉ *E*
Please provide justification for selected answer			

SA9-3		**A general public knowledgeable of the ANSP's performance through routine publication of achieved safety levels and trends.**		
A	Initiating	Safety-related performance information is not made available to the public under any circumstances.	◉ *A*
B	Planning/ Initial Implementation	**All of Initiating plus:** A limited amount of safety-related performance information is made available, but only to selected authorities.	◉ *B*

C	Implementing	**All of Planning/ Initial Implementation plus:** High-level safety-related performance information is made available according to applicable requirements.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** Safety performance information not governed by applicable requirements is also made available to the public.	⊙ **D**
E	Continuous Improvement	**All of Managing & Measuring plus:** The organisation voluntarily makes available appropriate safety-related performance information to the general public. The achieved safety levels and trends are transparent to the general public.	⊙ **E**
Please provide justification for selected answer			

SA10: Operational Safety Surveys and SMS Audits			
SA10-1	**Internal and independent (external) operational safety surveys and SMS audits.**		
A	Initiating	There is no plan to conduct systematic operational safety surveys and SMS audits. Operational safety surveys, SMS audits, and gap assessments are conducted on an ad-hoc basis (e.g., when deficiencies in the system or in working arrangements are found).	⊙ **A**
B	Planning/ Initial Implementation	**All of Initiating plus:** There is a plan in place to formalise the conduct of systematic operational safety surveys and SMS audits. A limited number of operational safety surveys and SMS audits have been carried out.	⊙ **B**
C	Implementing	**All of Planning/ Initial Implementation plus:** Internal operational safety surveys and SMS audits are conducted on a periodic basis. Based on the output of operational safety surveys and SMS audits, a process is in place that requires the development and implementation of appropriate improvement plans.	⊙ **C**
D	Managing & Measuring	**All of Implementing plus:** Internal or external operational safety surveys and SMS audits are carried out in a systematic way. There is a process in place to monitor, analyse trends, and identify areas that require follow-up operational safety surveys or SMS audits. Follow-up operational safety surveys, SMS audits, and gap assessments are conducted in all areas affecting operational safety and the SMS. Operational safety surveys and SMS audits are actively reviewed to assess opportunities for system improvement.	⊙ **D**

E	Continuous Improvement	**All of Managing & Measuring plus:** Independent (external) operational safety surveys and SMS audits are periodically conducted. The outputs from operational safety surveys and SMS audits are incorporated as appropriate into operations or the SMS. There is a process in place that requires external data (e.g. pilot performance trend information) to be considered when selecting areas to be subject to operational safety surveys and SMS audits.	*E*

Please provide justification for selected answer	

SA11: Adoption and Sharing of Best Practises			
SA11-1	**A structured approach exists to promote safety, its standing within the organisation and lessons learned through application of the SMS.**		
A	Initiating	There is no structured approach to promote safety and its management within the organisation. The organisation has the capability to identify lessons learnt and promote them but on an ad-hoc basis.	*A*
B	Planning/ Initial Implementation	**All of Initiating plus:** Ad-hoc processes are in place to gather and then promote information on safety, lessons learnt and the SMS. Some initial implementation has begun. Some internal best practises are spread across units within the organisation, but there is no systematic structure for internal safety promotion.	*B*
C	Implementing	**All of Planning/ Initial Implementation plus:** An organisational approach has been established to promote safety, lessons learned and the SMS.	*C*
D	Managing & Measuring	**All of Implementing plus:** Formal methods are in place to capture safety knowledge and promote it internally. The standing of safety and its management is a consistent and expected feature in internal communication.	*D*
E	Continuous Improvement	**All of Managing & Measuring plus:** Staff are encouraged to share lessons learned in order that the lessons can be promoted across the organisation. Strategies to promote safety and its management are developed by senior levels in the organisation and are being implemented. Other industries' initiatives in relation to internal safety promotion are periodically reviewed with the approach being modified on the basis of the information gathered.	*E*

Please provide justification for selected answer

SA11-2		A structured approach to gather information on operational safety and SMS best practises from the industry.	
A	Initiating	There is no structured approach to gather best practises from the industry. The organisation has the capability to identify and adopt industry best practises on an ad-hoc basis.	⦿ A
B	Planning/ Initial Implementation	**All of Initiating plus:** There is an ad-hoc structure in place to gather information on operational safety and SMS best practises. Some initial implementation has begun. Some internal best practises are spread across units within the organisation, but there is no systematic structure for the adoption of best practises.	⦿ B
C	Implementing	**All of Planning/ Initial Implementation plus:** A structure has been established to identify applicable operational safety and SMS best practises from the industry.	⦿ C
D	Managing & Measuring	**All of Implementing plus:** Industry best practises are periodically reviewed to provide the most current information, which is then assessed for applicability, and adopted as appropriate.	⦿ D
E	Continuous Improvement	**All of Managing & Measuring plus:** All relevant best practises are readily accessible to appropriate personnel. The organisation actively participates in developing industry best practises.	⦿ E
Please provide justification for selected answer			

SA11-3		Sharing of safety and SMS-related best practises with industry stakeholders.	
A	Initiating	There are no plans to release and share best practises with industry stakeholders.	⦿ A
B	Planning/ Initial Implementation	**All of Initiating plus:** Sharing of best practises takes place in response to requests for assistance from industry stakeholders.	⦿ B
C	Implementing	**All of Planning/ Initial Implementation plus:** Best practises are shared with industry stakeholders as required by regulation.	⦿ C

D	Managing & Measuring	**All of Implementing plus:** Best practises are actively shared with industry stakeholders. Sharing of safety-related best practises with industry has demonstrated improved safety performance.	◉ *D*
E	Continuous Improvement	**All of Managing & Measuring plus:** SMS-related best practises are pro-actively shared with industry stakeholders with the aim of improving SMS standards.	◉ *E*

Please provide justification for selected answer

Signed:	
Name:	
Date, place:	
Contact Telephone:	
e-Mail:	