###### SMS Implementation Planning Tool

SMS Implementation Planning Tool

Background

This SMS implementation planning tool is designed for Australian air operator certificate (AOC) holders, and relevant aerial work certificate (AWC) holders that are required to implement a Safety Management System (SMS) under the provisions of Subpart 119.F of CASR, Division 138.B.6 of CASR, and the deferred SMS transition requirements of CASA EX87/21. This tool is designed to assist AOC and AWC holders prepare to develop and implement an SMS in accordance with the legislation related to SMS. The implementation planning tool is designed for the certificate holder to:

* + Conduct a gap analysis between practices and systems that are already utilised within the organisation against the SMS regulatory requirements.
  + Develop their SMS implementation plan.
  + Identify personnel, resources and tasks required for SMS implementation.
  + Create a timeline for each SMS implementation process, from submission of SMS implementation plan (3 April 2023) through to submission of SMS exposition content (3 June 2024).

Certificate holders are encouraged to utilise the SMS implementation planning tool to provide CASA with a completed SMS implementation plan by 3 April 2023[[1]](#footnote-1). A carefully considered SMS implementation plan will assist certificate holders develop an SMS framework that CASA will evaluate in alignment with the implementation questions contained in this implementation plan.

When working through this implementation planning tool, certificate holders are encouraged to consider that an SMS is not simply the development of exposition content to satisfy regulatory compliance requirements. The SMS exposition content is the foundation and framework policy document for the organisation’s SMS; it explains who is responsible for safety management, describes what safety management processes exist, how safety management processes function in the organisation, and when safety management processes take place.

The implementation plan is the first step on the path to developing the exposition. A fully developed SMS can take a number of years to mature into a fully functional organisational safety system that incorporates personnel, management, culture (safety and just culture), technology, processes, and procedures. Therefore, CASA takes a staged SMS evaluation process. There will be a review of the implementation plan with feedback provided. Later, there will be an evaluation of the exposition SMS content which will be focused on determining if SMS components are both PRESENT and SUITABLE, and scaled for the size, nature, and complexity of the organisation. Then at later dates, post-implementation, the SMS will be evaluated if it is OPERATING (SMS elements are being used) and EFFECTIVE (SMS achieving desired outcomes).

Instructions

An SMS implementation plan is to provide a description of people, resources, tasks, and processes required, and an indicative timeline of the tasks and responsibilities for your organisation’s SMS implementation. The SMS implementation plan and achieving SMS implementation must be developed with the commitment of the organisation’s Accountable Manager, (e.g., Chief Executive Officer, Chairperson of board, partner, or the proprietor) in collaboration with other organisation managers or key personnel responsible for the organisation to deliver its services.

It is fundamental that the implementation plan should consider the organisation’s SMS design to meet the specific needs of the organisation in terms of size, complexity, and operating environment, without placing unnecessary burden on the organisation. There is no 'one size fits all' method for SMS implementation, and SMS implementation should be aligned with the organisation’s unique operational context.

Description of organisation

A starting point for the SMS implementation plan is a description of the organisation, key personnel, type of aviation operations, and operating environment (Refer to Form B1). When developing the implementation plan, consider how the SMS will integrate into the organisation when taking into account the organisation’s services, people, processes, facilities, equipment, and external[[2]](#footnote-2) or internal [[3]](#footnote-3)interfaces, and how these can affect the organisation’s aviation safety.

Based on the organisation description, the certificate holder should develop SMS policy, processes, and procedures that establish its own SMS requirements that are scaled to suit the size, nature, and complexity the organisation and its operations.

Implementation plan - gap analysis

Once the organisation’s description is completed, conduct a gap analysis utilising the gap analysis tool contained in this Appendix. A gap analysis is used to identify the gap/s between current organisational processes and those required for SMS compliance. The gap analysis is useful to identify existing systems, processes, or practices, and how these can be formally integrated into the SMS, and to identify any missing SMS elements. It is important to consider, that for an organisation with no existing SMS, that many of the regulatory required SMS components and elements may not exist. This should not be viewed in a negative sense, but with the view of the organisation adopting a structured approach in SMS implementation, which will assist in reaching regulatory compliance when SMS exposition content is evaluated by CASA. Importantly, as the SMS matures, the achievement of measurable safety performance, and the positive flow-on effects into other business areas, such as reliability, quality and reputation should be evident.

When performing the SMS gap analysis and implementation planning, it is important to maintain focus that while the SMS must be appropriate for the organisation’s size, and the nature and complexity of its operations, the regulatory requirements are that the SMS components and elements comprising an SMS are the same regardless of the size of the organisation[[4]](#footnote-4). By following this SMS implementation planning tool methodically, will assist in implementation of an SMS that will be reviewed against the regulatory requirements.

Structured implementation planning allows for prioritising the different SMS components and elements over time and will deliver a far more effective SMS. The time period from submission of the implementation plan (3 April 2023) to providing CASA with the required SMS exposition content (3 June 2024) is an 14-month period. The work for the implementation of various SMS elements can be structured into numerous step-by-step phases over the 14-month period. Implementation work does not have to be conducted in a linear sequence, with numerous tasks for SMS implementation being able to be overlapped and performed concurrently. Additionally, while communication is a discrete element of an SMS, to be effective in the implementation of any new system, good organisational wide communication throughout implementation is often essential.

Please complete the following form as an overview of your organisation’s SMS.

Form B1: Safety Management System (SMS) Implementation Plan

|  |
| --- |
| Safety Management System (SMS) Implementation Plan |
| Operator name (as appears on AOC) |
| Operator ARN:  AOC Number: |
| CASR Parts Operating Under (all that apply):   * Part 119 * Part 121 * Part 133 * Part 135 * Part 138 * Part 142 |
| Organisation description |
|  |
| Existing systems/procedures identified to support safety management |
|  |
| Identified external and internal interfaces |
|  |
| Identified organisational (internal) and operational (external) hazards  Note: Consider the organisation’s top 3-5 risks and provide sample of external/internal hazards. |
|  |
| Implementation planning timeline (18-months)  Note: List number of phases for SMS implementation tasks and dates related to each phase. |
|  |

Table 4: SMS Implementation Plan Timeline Example

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SMS Components and Elements** | **Regulations** | **Phase 1** | **Phase 2** | **Phase 3** |
| 1. Safety Policy and Objectives | 119.190(2)(a) |  |  |  |
| 1.1 Management commitment | 119.190(2)(a)(i) | xx/xx/20xx |  |  |
| 1.2 Safety accountabilities and responsibilities | 119.190(2)(a)(ii) | xx/xx/20xx |  |  |
| 1.3 Appointment of key safety personnel | 119.190(2)(a)(iii) | xx/xx/20xx | xx/xx/20xx |  |
| 1.4 Coordination of emergency response plan | 119.190(2)(a)(iv) |  | xx/xx/20xx |  |
| 1.5 SMS Documentation | 119.190(2)(a)(v) |  | xx/xx/20xx |  |
| 2. Safety Risk Management | 119.190(2)(b) |  |  |  |
| 2.1 Hazard identification | 119.190(2)(b)(i) | xx/xx/20xx | xx/xx/20xx | xx/xx/20xx |
| 2.2 Safety risk assessment and mitigation | 119.190(2)(b)(ii) | xx/xx/20xx | xx/xx/20xx | xx/xx/20xx |
| 3. Safety Assurance | 119.190(2)(c) |  |  |  |
| 3.1 Safety performance monitoring and measurement | 119.190(2)(c)(i) |  |  | xx/xx/20xx |
| 3.2 The management of change | 119.190(2)(c)(ii) | xx/xx/20xx |  |  |
| 3.3 Continuous improvement of the safety management system | 119.190(2)(c)(iii) |  |  | xx/xx/20xx |
| 4. Safety Promotion | 119.190(2)(d) |  |  |  |
| 4.1 Safety training and education | 119.190(2)(d)(i) | xx/xx/20xx |  |  |
| 4.2 Safety communication | 119.190(2)(d)(ii) |  | xx/xx/20xx |  |
|  |  |  |  |  |
| Flight Data Analysis Program: Air transport operators in aeroplanes with MTOW greater than 27,000kg; or rotorcraft with MTOW greater than 7,000kg or maximum operational passenger seat configuration of more than 9 seats | CASR 119.195 |  |  |  |

Table 5a: Safety Policy and Objectives - Management Commitment

**Gap Analysis**

**1.0 Safety Policy and Objectives**

1.1 Management Commitment (continued)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
|  | 119.190(1)  138.140  142.260  142.265 | Does the organization have a safety management system that is appropriate for the size, the nature and complexity of its operations? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Sections 3, 4 |
|  | 119.190(2)(a)  138.145(a)  142.265(2)(b) | Does the safety management system include a safety policy signed by the accountable manager containing: |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 5.1  [SMS 1 – SMS FOR AVIATION – A Practical Guide: Safety Management System Basics](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 1.1.1 | 119.190(2)(a)(i)  138.145(a)(i)  142.265(2)(b)(i) | Management’s commitment to and the responsibility for safety, including a commitment to continuous improvement, observing all applicable legal requirements and standards, and including best practices? |  |  |  |
| 1.1.2 |  | A statement to provide appropriate resources and affirm that the organisation is managing resources by anticipating and addressing shortfalls? |  |  |  |
| 1.1.3 |  | Policies for safety critical roles relating to all aspects of Fitness for Duty (e.g., Alcohol and Drugs Policy, Fatigue policy)? |  |  |  |
| 1.1.4 |  | Is the safety policy visible and communicated to all personnel and other relevant entities? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required”

Planning, Tasks, Processes required:

Table 5b: Safety Policy and Objectives - Management Commitment

**Gap Analysis**

**1.0 Safety Policy and Objectives**

1.1 Management Commitment (continued)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 1.1.5 | 119.190(2)(a)(i)  138.145(a)(i)  142.265(2)(b)(i) | Does the Accountable Manager and senior management promote a positive safety culture / just culture and visibly demonstrate commitment to the safety policy through active participation in the safety management system? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 5.1  [SMS 1 – SMS FOR AVIATION – A Practical Guide: Safety Management System Basics](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 1.1.6 |  | Does the safety policy actively encourage safety reporting? |  |  |  |
| 1.1.7 |  | Is there a just culture policy and principles that clearly identifies acceptable and unacceptable behaviours to promote a just culture? |  |  |  |
| 1.1.8 |  | Does the safety policy contain safety objectives that are suitable for the size and complexity of the organisation and are the safety objectives communicated throughout the organisation? |  |  |  |
| 1.1.9 |  | Does the safety policy consider State Safety Program (SSP) objectives? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 6: Safety Policy and Objectives - Safety Accountabilities and Responsibilities

Gap Analysis

1.0 Safety Policy and Objectives

1.2 Safety Accountabilities and Responsibilities

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 1.2.1 | 119.130(1)(b)  119.160(2)(b)  119.190(2)(a)(ii)  138.145(a)(ii)  142.180(1)  142.265(2((b)(ii) | Is an Accountable Manager appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 5.2  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 1.2.2 |  | Is the Accountable Manager fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation? |  |  |  |
| 1.2.3 |  | Are safety accountabilities, authorities, and responsibilities throughout the organisation defined and documented for staff to understand their own responsibilities? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 7: Safety Policy and Objectives - Appointment of Key Personnel

Gap Analysis

1.0 Safety Policy and Objectives

1.3 Appointment of Key Personnel

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 1.3.1 | 119.190(2)(a)(iii)  138.145(a)(iii)  142.265(2)(b)(iii) | Has a competent Safety Manager who is responsible for the implementation and maintenance of the SMS been appointed with a direct reporting line to the Accountable Manager? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 5.3  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 1.3.2 |  | Has the organisation allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and safety promotion? |  |  |  |
| 1.3.3 |  | Has the organisation established appropriate safety committee(s) that discuss and address safety risks and compliance issues and include(s) the Accountable Manager and other heads of functional areas? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 8: Safety Policy and Objectives - Coordination of Emergency Response Planning

Gap Analysis

1.0 Safety Policy and Objectives

1.4 Coordination of Emergency Response Planning

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 1.4.1 | 119.190(2)(a)(iv)  138.145(a)(iv)  142.265(2)(b)(vii) | Has an appropriate emergency response plan (ERP) been developed and distributed that defines procedures, roles, responsibilities, and actions of key personnel and various organisations? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 5.4  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 1.4.2 |  | Is the ERP periodically tested for adequacy, and the results reviewed to improve its effectiveness? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 9: SMS Documentation

Gap Analysis

1.0 Safety Policy and Objectives

1.5 SMS Documentation

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 1.5.1 | 119.190(2)(a)(v)  138.145(a)(v)  142.265(2)(b)(viii) | Does the SMS documentation include policies and processes that describe the organisation’s safety management system and processes, and is the documentation readily available to all relevant personnel? |  |  | AC 119-01 v2.0 Section 5.5  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 1.5.2 |  | Is SMS documentation, including SMS related records regularly reviewed and updated with appropriate version control in place? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 10: Safety Risk Management - Hazard Identification

Gap Analysis

2.0 Safety Risk Management

2.1 Hazard Identification

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation Question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
|  | 119.190(2)(b)  138.145(b)  142.265(2)(c) | Does the safety management system include a safety risk management process that includes the following? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 6.2  [SMS 3 – SMS FOR AVIATION – A Practical Guide: Safety Risk Management](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 2.1.1 | 119.190(2)(b)(i)  138.145(b)(i)  142.265(2)(c)(i) | Is there are confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff? |  |  |  |
| 2.1.2 |  | Is there are confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation? |  |  |  |
| 2.1.3 |  | Do personnel express confidence and trust in the organisation’s reporting system? |  |  |  |
| 2.1.4 |  | Is there a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external)? |  |  |  |
| 2.1.5 |  | Does the hazard identification process identify human performance related hazards? |  |  |  |
| 2.1.6 |  | Is there a process in place to analyse safety data and safety information to look for trends and gain useable management information? |  |  |  |
| 2.1.7 |  | Are safety investigations carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened)? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 11: Safety Risk Management - Safety Risk Assessment and Mitigation

Gap Analysis

2.0 Safety Risk Management

2.2 Safety Risk Assessment and Mitigation

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 2.2.1 | 119.190(2)(b)(ii)  138.145(b)(ii)  142.265(2)(c)(ii) | Is there 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)? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 6.3  [SMS 3 – SMS FOR AVIATION – A Practical Guide: Safety Risk Management](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 2.2.2 |  | Is there a criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified? |  |  |  |
| 2.2.3 |  | Does the organisation have a process in place to make decisions and apply appropriate and effective risk controls? |  |  |  |
| 2.2.4 |  | Does senior management have visibility of medium and high-risk hazards, as well as their mitigation and controls? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 12: Safety Assurance - Safety Performance Monitoring and Measurement

Gap Analysis

3.0 Safety Assurance

3.1 Safety Performance Monitoring and Measurement

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance Material Reference |
|  |  |  | Yes/No |  |  |
|  | 119.190(2)(c)  138.145(c)  142.265((2)(d) | Does the safety management system include a safety assurance system that includes the following? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 7.1  [SMS 4 – SMS FOR AVIATION – A Practical Guide: Safety Assurance](https://www.casa.gov.au/sites/default/files/2021-06/safety-management-systems-book-4-safety-assurance.pdf) |
| 3.1.1 | 119.190(2)(c)(i)  138.145(c)(i)  142.265(2)(d) | Are safety performance indicators (SPIs) linked to the organisation’s safety objectives, defined, promulgated, monitored, and analysed for trends? |  |  |  |
| 3.1.2 |  | Are risk mitigations and controls constantly verified/audited to confirm they are working and effective? |  |  |  |
| 3.1.3 |  | Does safety assurance take into account activities carried out by all directly contracted organisations? (External interfaces) |  |  |  |
| 3.1.4 |  | Are responsibilities and accountability for ensuring compliance with safety regulations defined, and applicable requirements clearly identified in organisation manuals and procedures? |  |  |  |
| 3.1.5 |  | Is there an internal audit program that includes details of the schedule of audits, procedures for audits, reporting, follow-up, and record management? |  |  |  |
| 3.1.6 |  | Are responsibilities and accountabilities for the internal audit process defined, and does the person, or group of persons with responsibilities for internal audits have direct access to the accountable manager? |  |  |  |
| 3.1.7 |  | After an audit, is there appropriate analysis of causal factors, and corrective/preventive actions taken? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 13: Safety Assurance - Management of Change

Gap Analysis

3.0 Safety Assurance

3.2 Management of Change

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 3.2.1 | 119.190(2)(c)(ii)  138.145(c)(ii)  142.265(2)(d)(i)(C) | Does the organisation have a process to identify whether changes have an impact on safety, and to manage any identified risks in accordance with existing risk management processes? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 7.2  [SMS 4 – SMS FOR AVIATION – A Practical Guide: Safety Assurance](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 3.2.2 |  | Are Human Factor (HF) issues considered as part of the change management process and, where appropriate, does the organisation apply appropriate HF / human-centered design standards to equipment and physical environment design? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 14: Safety Assurance - Continuous Improvement of the SMS

Gap Analysis

3.0 Safety Assurance

3.3 Continuous Improvement of the SMS

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 3.3.1 | 119.190(2)(c)(iii)  138.145(c)(iii)  142.265(2)(d)(i)(D) | Does the organisation continuously monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 7.3  [SMS 4 – SMS FOR AVIATION – A Practical Guide: Safety Assurance](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 15: Safety Promotion - Training and Education

Gap Analysis

4.0 Safety Promotion

4.1 Training and Education

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
|  | 119.190(2)(d)  138.145(d)  142.265(2)(e) | Does the safety management system include a safety training and promotion system that includes the following? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 8.2  [SMS 5 – SMS FOR AVIATION – A Practical Guide: Safety Promotion](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |
| 4.1.1 | 119.190(2)(d)(i)  138.145(d)(i)  142.265(2)(e)(i) | Is there a training programme for SMS in place, which includes initial and recurrent training? Does the training cover individual safety duties (i.e., roles, responsibilities, and accountabilities) and how the organisation’s SMS operates? |  |  |  |
| 4.1.2 |  | Is there a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training? |  |  |  |
| 4.1.3 |  | Does training include human and organisational factors, including just culture and non-technical skills with the intent of reducing human error? |  |  |  |
| 4.1.4 |  | Is there a process that evaluates an individual’s competence and takes appropriate remedial action when necessary? |  |  |  |
| 4.1.5 |  | Is the competence of trainers defined and assessed, and appropriate remedial action taken when necessary? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 16: Safety Promotion - Safety Communication

Gap Analysis

4.0 Safety Promotion

4.2 Safety Communication

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 4.2.1 | 119.190(2)(d)(ii)  138.145(d)(ii)  142.265(2)(e)(ii) | Is there a process to determine what safety-critical information needs to be communicated and how it is communicated throughout the organisation to all relevant personnel, including contracted organisations and personnel where appropriate? |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 8.3  [SMS 5 – SMS FOR AVIATION – A Practical Guide: Safety Promotion](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  AC 119-01 v2.0 Safety management systems for air transport operations: Section 4.1  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  [SMS 7 – SMS FOR AVIATION – A Practical Guide: SMS scaling for size and complexity](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |

5.0 SMS – Interface Management

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
| 5.1 | 119.190(2)(d) | Does the organisation identify and document the relevant internal and external interfaces and the critical nature of such interfaces? (Note: an internal interface may be an internal business unit, and external interface may be a contracted organisation). |  |  | AC 119-01 v2.0 Safety management systems for air transport operations: Section 8.3  [SMS 5 – SMS FOR AVIATION – A Practical Guide: Safety Promotion](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  AC 119-01 v2.0 Safety management systems for air transport operations: Section 4.1  [SMS 2 – SMS FOR AVIATION – A Practical Guide: Safety Policy and Objectives](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  [SMS 7 – SMS FOR AVIATION – A Practical Guide: SMS scaling for size and complexity](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system) |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 17: Flight Data Analysis Program (FDAP)

Gap Analysis

6.0 Flight Data Analysis Program (FDAP)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 6.1 | 119.195(3)(b)(i),(ii)  142.265(4)(b) | Is the flight data analysis program managed within the organisation, or provided by another appropriate person? |  |  | AC 119-04 v1.0 Flight Data Analysis Programmes (FDAP) for air transport operations |
| 6.2 | 119.195(3)(a)  142.265(4)(a) | Does the flight data analysis program regularly record and analyse operational flight data of individual and aggregated operations for the purpose of improving the safety of flight operations? |  |  |  |
| 6.3 | 119.195(3)(c)(i)(ii)(iii)  142.265(4)(c)(i) | Does the flight data analysis program ensure that the identity of an identified person who is the source of data is protected from disclosure to anyone other than those whose duties are relevant to such operations? |  |  |  |
| 6.4 | 119.195(3)(d)  142.265(4)(c)(ii) | Does the flight data analysis program ensure that no punitive action in relation to the data is taken by the organisation against an identified person? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

Table 18: Implementation Plan

Gap Analysis

7.0 Implementation Plan

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Reference | Legislation reference | Implementation question | An existing procedure, policy, process is present | Manual reference or document | Guidance material reference |
|  |  |  | Yes/No |  |  |
| 7.1 |  | Is there an SMS implementation plan to target resource allocation? |  |  | AC 119-01 v2.0 Sections 2, 3, 4  [SMS for Aviation - a practical Guide: Book 1 SMS basics](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system)  [SMS for Aviation - a practical guide: Book 8 SMS resource kit](https://www.casa.gov.au/search-centre/safety-kits/resource-kit-develop-your-safety-management-system). |
| 7.2 |  | Has a gap analysis been undertaken to identify existing and missing SMS elements? |  |  |  |
|  |  | Are priorities for SMS implementation based on identified risks? |  |  |  |

**Implementation Planning**

Accountable Manager:

Phase:

Responsible person(s):

Target Phase Completion Date:

Resources required:

Planning, Tasks, Processes required:

1. Required by the rules within CASA EX87/21 which enables the deferment of SMS for some Part 119 and Part 138 of CASR operators. [↑](#footnote-ref-1)
2. External interfaces: An organisation or entity the certificate holder utilises to provide support/services to the organisation's aviation activities, e.g., external maintenance providers, contracted training and checking, flight examiners, fuel suppliers, aviation ground services, airport operator, air traffic control provider. [↑](#footnote-ref-2)
3. Internal interfaces: An internal business unit that supports the certificate holder’s aviation activities, e.g., maintenance department, accounting department, scheduling and dispatch section, operations (rostering). [↑](#footnote-ref-3)
4. See Subpart 119.F and Division 138.B.6 of CASR. [↑](#footnote-ref-4)