

COMPLIANCE MATRIX: CANSO Standard of Excellence in Safety Management Systems 2018

Ref	CANSO Item	Compliance Statement (SMS Reference)
Appendix A		
1. Development of a Positive and Proactive Safety Culture		
	- General SMS principles applicable to each study area	Safety Policy
	- General principles for SMS framework implementation	The Safety Policy reflects the organisations commitment to safety through a systems thinking approach. The Safety Policy is signed by the Accountable Executive on behalf of the organisation. The Safety Policy introduces a set of SMS Core Objectives which are used to describe the organisations Safety Objectives. The Safety Objectives are used as the structure for SMS implementation across the organisation. This was designed this way to help communication of the Safety Policy across the organisation through more detailed guidance and support.
	- General principles for performance monitoring	
1.1	A positive and proactive, flexible, and informed safety culture (the shared beliefs, assumptions, and values regarding safety) that supports reporting and learning led by management	
1.2	A just and open climate for reporting and investigation of occurrences NB: Thorough reporting and investigation must include the complete process from notification, data gathering, reconstruction, analysis, safety recommendation and implementation of remedial actions, up to final reporting, exchange of lessons learned and effective monitoring.	Just Culture Policy The Safety Policy is supported by a Just Culture Policy which provides clear view on activities that are unacceptable within the organisation.
1.3	Regular measurement of safety culture and an improvement programme.	Safety Objectives 5-3: The safety culture (including a Just Culture) within the organisation is periodically examined and actions taken to improve. - Survey Organisational Safety Culture Climate Process
2. Safety Policy		
2.1	The safety policy of the organisation presents the organisation's commitment to both safety and its resourcing. The priority of safety within the organisation is also articulated.	Safety Policy The Safety Policy reflects the organisations commitment to safety through a systems thinking approach. The Safety Policy is signed by the Accountable Executive on behalf of the organisation. The Safety Policy introduces a set of SMS Core Objectives which are used to describe the organisations Safety Objectives. The Safety Objectives are used as the structure for SMS implementation across the organisation. This was designed this way to help communication of the Safety Policy across the organisation through more detailed guidance and support.
2.2	The safety policy addresses key attributes of the organisation's approach to safety. These attributes will most likely include culture, visible endorsement, communication and safety reporting.	Just Culture Policy The Safety Policy is supported by a Just Culture Policy which provides clear view on activities that are unacceptable within the organisation. Document Management The Safety Policies are periodically reviewed along with all SMS processes.
3. Safety Accountabilities		
3.1	3.1 An approved, clearly documented, and recognised system for the management of safety. Management structure, responsibilities, accountabilities and authorities are clearly defined and documented.	Organisational Safety Arrangements Accountable Executive is designated and accountabilities defined. Safety Manager is designated and accountabilities defined.
3.2	3.2 A clearly defined safety management function/safety manager that is independent of line management.	Safety Accountability Chain is defined for organisation. Accountabilities for other Managers in accountability chain are designed and accountabilities allocated
3.3	3.3 Clear understanding and acceptance of safety management accountabilities and responsibilities by all relevant staff and contractors.	General responsibilities for employees and contractors defined. Safety Objective 5-1: Safety accountabilities and responsibilities for staff (and contractors) are allocated, appropriately discharged and maintained. - Allocate Safety Accountability to Managers Process - Communicate Safety Responsibilities to Employees and Contractors Process
4. Coordination of Emergency Response Plan		
4.1	4.1 Emergency response procedures and an emergency response plan that documents the orderly and efficient transition from normal to emergency operations and return to normal operations.	Safety Objectives 1-2: Service plans are in place to manage emergency situations and they are coordinated with interfacing organisations. The Emergency Response Plan (ERP) is referenced as part of the organisations SMS and is used as important context and input in to the organisations safety risk management activities. Note: The ERP is a business document and not part of the SMS documentation. Evidence of the ERP should be within the busines functions.
5. SMS Documentation		
5.1	5.1 A formal SMS that meets all applicable safety and regulatory requirements	Safety Objective 6-2: SMS documents are defined, systematically reviewed, updated and archived and, where appropriate, communicated to authorities.
5.2	5.2 Clearly defined and documented safety standards and procedures.	- Document Control and Records Management is managed as part of the Quality Management System Process.
5.3	5.3 Safety management documents are regularly reviewed, assessed, and maintained.	Document Management The structure of the SMS material is defined along with the arrangements for Process Ownership which details accountabilities and responsibilities. Processes The complete set of management processes that support safety management implementation are defined. Each process records the defined quality records that must be managed under the SMS record management activity.
6. Compliance with International Obligations		
6.1	An organisation that takes into account the need to ensure, in a timely manner, that there are no inconsistencies with regional/ international safety standards.	Safety Objective 6-4: SMS documentation demonstrates compliance with all international standards, national regulatory requirements, and industry good practice. Compliance with Regulations and Good Practice The organisation has evidence of its satisfaction of regulatory requirements and objectives outlined in good practice.

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7. Safety Risk Management		
7.1	Hazards to operations are reported and assessed.	<p>Safety Objectives</p> <p>1-3: Hazards, and associated consequences, for the scope of delivered services are identified and documented.</p> <ul style="list-style-type: none"> - Conduct Safety Risk Assessments Process <p>4-2: Hazards associated with the scope of the change to the service are identified and documented.</p> <ul style="list-style-type: none"> - Assess Safety Impact of Change Process - Conduct Safety Risk Assessments Process <p>Hazards associated with the service are identified proactively using a safety risk assessment process at the service level. Hazards, or the impact on existing hazards, introduced as a result of change are also identified following the same process.</p> <p>Note: The Reporting of Events from employees is NOT considered a hazard identification activity although it does contribute to the understanding of contributing factors in addition to our understanding of historical performance.</p>
7.2	Assessed risks are mitigated or controlled.	<p>Safety Objectives</p> <p>1-4: Safety controls are in-place to mitigate all hazards associated with the service and the residual risk is accepted by management.</p> <ul style="list-style-type: none"> - Conduct Safety Risk Assessment Process <p>4-3: Safety controls are in-place, and are effective, to mitigate all hazards associated with the change to the service and the residual risk is accepted by management.</p> <ul style="list-style-type: none"> - Assess Safety Impact of Change Process - Conduct Safety Risk Assessment Process <p>Hazards associated with the service are analysed to determine their safety risk level. The impact of change on the Safety Risk Level is also reviewed following the same process.</p>
7.3	Risk controls are monitored for effectiveness, and remedial action taken if controls are not working effectively.	<p>Safety Objectives</p> <p>1-5: Safety performance monitoring indicators and associated targets supporting service delivery are identified.</p> <ul style="list-style-type: none"> - Conduct Safety Risk Assessments Process <p>Safety performance monitoring indicators are identified based on a safety risk assessment of the services the organisations offer. The indicators are defined based on the success (controls/mitigations) and failure (hazardous events/system deficiencies) elements of the safety risk model. The indicators are used to verify the performance of the safety risk controls.</p> <p>2-4: Safety performance monitoring data is collated, reviewed and analysed with respect safety performance indicators and targets to identify trends in performance.</p> <ul style="list-style-type: none"> - Analyse Safety Performance Process. <p>The organisations safety performance is verified by analysing trends in performance and, where possible, comparing safety performance indicators to predetermined targets.</p>
8. Safety by Design		
8.1	Design addresses the whole system, people, procedures, airspace and equipment.	<p>Safety Policy</p> <p>The Safety Policy of the organisation and support Just Culture is based on systems thinking principles. The design of the SMS contributes the most significant part of our approach to Safety by Design.</p>
	Systems contain features to ensure they operate safely and support the operator's decisionmaking process.	<p>Safety Objectives</p>
	Equal weight is given to the success and failure case approaches	
9. Safety Interfaces		
9.1	Effectively managed safety related internal interfaces (e.g. quality management system, security, and environment).	<p>Safety Objective</p> <p>6-3: The SMS is managed as part of an integrated business management system.</p> <p>The SMS is designed as part of an integrated business management system. This has resulted in the design of processes that have appropriately managed interfaces with safety related process areas. This is shown in specific processes from other areas supporting compliance to the organisations Safety Objectives or through specific detailed process interfaces within the Process Maps for each Process.</p>
9.2	The effective management of external interfaces with a safety impact (e.g., military, airspace users, airports).	<p>Safety Objectives</p> <p>1-6: Safety dependencies between stakeholders are identified and adequately managed.</p> <ul style="list-style-type: none"> - Agree Stakeholder Dependencies Process
	Formalised processes and procedures dealing with external agreements, services, and supplies (e.g., cross-border letters of agreement).	
10. Fatigue-related Risk Management		
10.1	A data-driven means by continuously monitoring and managing fatigue-related safety risk that aims to ensure relevant personnel are performing at adequate levels of alertness.	Fatigue Risk Management System is not covered in the scope of the SMS.
11. Safety Reporting, Investigation and Improvement		
11.1	11.1 A continuing organisation-wide process to report and investigate safety occurrences and risks.	<p>Safety Objectives</p> <p>2-1: Safety events, incidents and occurrences and normal working observations are reported by employees.</p> <ul style="list-style-type: none"> - Report Mandatory Occurrences Process - Report Voluntary Safety Information Process <p>2-2: Incidents are investigated, and the findings documented and communicated to stakeholders.</p> <ul style="list-style-type: none"> - Investigate Safety Events Process - Investigate Special Events Process
12. Operational Safety Surveys and SMS Audits		

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12.1	Internal and independent (external) operational safety surveys and SMS audits.	<p>Safety Objectives</p> <p>5-4: The effectiveness of safety management system activities are independently reviewed, and near and long-term actions are planned and implemented.</p> <ul style="list-style-type: none"> - Conduct Audits and Reviews Process <p>SMS effectiveness is reviewed as part of the business wide process management system and is done as part of the integrated audit activities.</p>
13. Safety Performance Monitoring and Measurement		
13.1	An established and active monitoring system that uses and tracks suitable safety indicators and associated targets (e.g., lagging and leading indicators).	<p>Safety Objectives</p> <p>1-5: Safety performance monitoring indicators and associated targets supporting service delivery are identified.</p> <ul style="list-style-type: none"> - Conduct Safety Risk Assessments Process <p>Safety performance monitoring indicators are identified based on a safety risk assessment of the services the organisations offer. The indicators are defined based on the success (controls/mitigations) and failure (hazardous events/system deficiencies) elements of the safety risk model. The indicators are used to verify the performance of the safety risk controls.</p>
13.2	Methods to measure safety performance, which is compared within and between ANSPs.	<p>Safety Objectives</p> <p>2-5: Safety performance is benchmarked against other similar external service providers.</p> <p>Note: The approach should be agreed with sector trade organisation where appropriate.</p>
14. Management of Change		
14.1	Documentation and reporting mechanisms are in place to assure that internal and external stakeholders are provided with assurance about the means by which safety risks which may be introduced during and/or following implementation of change are managed and mitigated.	<p>Safety Objectives</p> <p>All Safety Objectives defined under SMS Core Objective 4</p> <p>4-1: All planned changes are identified, described and assessed for its safety impact to the service.</p> <p>4-2: Hazards associated with the scope of the change to the service are identified and documented.</p> <p>4-3: Safety controls are in-place, and are effective, to mitigate all hazards associated with the change to the service and the residual risk is accepted by management.</p> <p>4-4: Planned and unplanned activities (maintenance, installation, commissioning, transition and decommissioning) are managed to ensure no adverse impact on delivery of services.</p> <p>4-5: Safety cases for changes are developed, where appropriate, to demonstrate to all stakeholders that the change introduced will be acceptably safe in-service.</p> <ul style="list-style-type: none"> - Assess Safety Impact of Changes Process - Conduct Safety Risk Assessments Process - Develop Safety Case for Changes Process <p>SMS Core Objective 4 provides a structured approach to assess and manage the safety impact of change dependent on the significance of the change.</p>
15. Continual Improvement of the SMS		
15.1	An integrated planning process drives the continual improvement of the SMS.	<p>Safety Objectives</p> <p>5-4: The effectiveness of safety management system activities are independently reviewed, and near and long-term actions are planned and implemented.</p> <ul style="list-style-type: none"> - Conduct Audits and Reviews Process
15.2	A structured approach to gather and share information on operational safety and SMS best practices from the industry.	<p>SMS effectiveness is reviewed as part of the business wide process management system and is done as part of the integrated audit activities. Sharing and exchange of lessons learned on SMS implementation is conducted with external organisations within the industry and also in other related industries.</p> <p>3-2: Safety improvement actions are identified through exchange of information with external stakeholders</p> <ul style="list-style-type: none"> - Identify Safety Improvement Actions Process
16. Training and Education		
16.1	Staff, and contractors where appropriate, that are educated and trained, in safety and safety management, and where required, licensed. Note this objective is primarily focused on ATC, Engineering and Senior staff who have the ability to affect the safety of the operational service.	<p>Safety Objectives</p> <p>5-2: Safety staff, and contractors, are competent (qualified, trained and continuously monitored) to perform their responsibilities.</p> <ul style="list-style-type: none"> - Assess Competency of Safety Personnel
16.2	Staff are competent to conduct their obligations under the SMS.	<p>Role and Groups</p> <p>Managing the competence of employees and contractors in the organisation is based on a Role based approach. A Competency Framework has been created to support employees along with a learning and development catalogue.</p>
17. Safety Communication		
17.1	Staff are informed about safety and safety management standards which are relevant to their position.	<p>Safety Objectives</p> <p>6-1: The SMS documentation is published in a format that ensures staff can access SMS information relevant to their position.</p> <ul style="list-style-type: none"> - The SMS is Role based that allows employees to access information directly connected to their position in the organisation and their responsibilities.
17.2	An organisationwide means to record and disseminate lessons learned and safety critical information.	
17.3	Appropriate safety information and knowledge is shared with industry stakeholders. Information disclosure is compliant with agreed publication and confidentiality policies/ agreements.	<p>5-5: The safety management system is actively promoted to internal and external stakeholders (where appropriate and approved).</p> <ul style="list-style-type: none"> - Communicate Safety Information
17.4	A general public knowledgeable of the ANSP's performance through routine publication of achieved safety levels and trends. (Information disclosure complies with the requirements of ICAO Annex 13 Attachment E)	<p>5-6: Safety management groups are in place to provide appropriate safety management decisions and guidance.</p> <p>The SMS working practices, improvements, lessons from events, and other information identified as important to employees are communicated to employees. Safety groups and committees are also in place at all levels of the organisation to support communication.</p>