

COMPLIANCE MATRIX: ICAO ANNEX 19 Appendix 2 (2nd Edition)		
Ref	ICAO Requirement	Compliance Statement (SMS Reference)
1 Safety Policy and Objectives		
1.1 Management commitment		
1.1.1	The service provider shall define its safety policy in accordance with international and national requirements. The safety policy shall:	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.
a)	reflect organizational commitment regarding safety, including the promotion of a positive safety culture;	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.
b)	include a clear statement about the provision of the necessary resources for the implementation of the safety policy;	
c)	include safety reporting procedures;	
d)	clearly indicate which types of behaviours are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply;	
e)	be signed by the accountable executive of the organization;	
f)	be communicated, with visible endorsement, throughout the organization; and	
g)	be periodically reviewed to ensure it remains relevant and appropriate to the service provider.	Document Management The Safety Policies are periodically reviewed along with all SMS processes.
1.1.2	Taking due account of its safety policy, the service provider shall define safety objectives. The safety objectives shall:	SMS Framework An SMS Framework is defined that sets out the organisations SMS Core Objectives.
a)	form the basis for safety performance monitoring and measurement as required by 3.1.2;	Safety Policy The Safety Policy confirms and commits to these SMS Core Objectives through the Accountable Executive.
b)	reflect the service provider's commitment to maintain or continuously improve the overall effectiveness of the SMS;	Safety Objectives Safety Objectives are defined for each SMS Core Objective. They reflect the organisations commitment to maintain or continuously improve the overall effectiveness of the SMS. SMS Core Objective 3 details the basis for safety performance within the organisation.
c)	be communicated throughout the organization; and	
d)	be periodically reviewed to ensure they remain relevant and appropriate to the service provider.	
1.2 Safety Accountabilities and responsibilities		
The service provider shall:		
a)	Identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization, for the implementation and maintenance of an effective SMS;	Organisational Safety Arrangements Accountable Executive is designated and accountabilities defined. Safety Accountability Chain is defined for organisation. Accountabilities for other Managers in accountability chain are defined and accountabilities allocated General responsibilities for employees and contractors defined.
b)	clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management;	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
c)	Identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization;	
d)	document and communicate safety accountability, responsibilities and authorities throughout the organization; and	
e)	define the levels of management with authority to make decisions regarding safety risk tolerability.	Safety Objective 1-4: Safety controls are in-place to mitigate all hazards associated with the service and the residual risk is accepted by management. - Conduct Safety Risk Assessment Process The Risk Classification Scheme defines the levels of management with authority to make decisions regarding safety risk tolerability. Those individuals are referred to within the SMS as Safety Risk Owners.
1.3 Appointment of key safety personnel		
The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.		
Organisational Safety Arrangements Safet Manager is designated and accountabilities defined.		
Safety Objectives 5-1: Safety accountabilities and responsibilities for staff (and contractors) are allocated, appropriately discharged and maintained. - Allocate Safety Accountability to Managers Process		
1.4 Coordination of emergency response planning		
The service provider required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.		
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 business functions.		
1.5 SMS documentation		
1.5.1 The service provider shall develop and maintain an SMS manual that describes its:		
a)	safety policy and objectives;	Safety Objective SMS documents are defined, systematically reviewed, updated and archived and, where appropriate, communicated to authorities. - Document Control and Records Management is managed as part of the Quality Management System Process.
b)	SMS requirements;	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.
c)	SMS processes and procedures; and	
d)	accountability, responsibilities and authorities for SMS processes and procedures;	
1.5.2	The service provider shall develop and maintain SMS operational records as part of its SMS documentation.	Safety Objective 6-2: SMS documents (processes, templates and records) are defined, systematically reviewed, updated and archived and where appropriate communicated to authorities. - Document Control and Records Management is managed as part of the Quality Management System Process. Document Management Document Control and Records Management is conducted in line with ISO9001 2015.
2 Safety Risk Management		
2.1 Hazard Identification		
2.1.1	The service provider shall develop and maintain a process to identify hazards associated with its aviation products or services.	Safety Objectives 1-3: Hazards, and associated consequences, for the scope of delivered services are identified and documented. - Conduct Safety Risk Assessments Process
2.1.2	Hazard identification shall be based on a combination of reactive and proactive methods.	4-2: Hazards associated with the scope of the change to the service are identified and documented.
2.2 Safety risk assessment and mitigation		
The service provider shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards.		
Safety Objectives 1-4: Safety controls are in-place to mitigate all hazards associated with the service and the residual risk is accepted by management. - Conduct Safety Risk Assessment Process 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. - Assess Safety Impact of Change Process - Conduct Safety Risk Assessment Process 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.		
3 Safety Assurance		
3.1 Safety performance monitoring and measurement		
3.1.1	The service provider shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.	Safety Objectives 1-5: Safety performance monitoring Indicators and associated targets supporting service delivery are identified. - Conduct Safety Risk Assessments Process 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.
3.1.2	The service provider's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organization safety objectives.	Safety Objectives 2-4: Safety performance monitoring data is collated, reviewed and analysed with respect safety performance indicators and targets to identify trends in performance. - Analyse Safety Performance Process. The organisations safety performance is verified by analysing trends in performance and, where possible, comparing safety performance indicators to predetermined targets.
3.2 The management of change		
The service provider shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.		
Safety Objectives All Safety Objectives defined under SMS Core Objective 4 4-1: All planned changes are identified, described and assessed for its safety impact to the service. 4-2: Hazards associated with the scope of the change to the service are identified and documented. 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. 4-4: Planned and unplanned activities (maintenance, installation, commissioning, transition and decommissioning) are managed to ensure no adverse impact on delivery of services. 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. - Assess Safety Impact of Changes Process - Conduct Safety Risk Assessments Process - Develop Safety Case for Changes Process SMS Core Objective 4 provides a structured approach to assess and manage the safety impact of change dependent on the significance of the change.		
3.3 Continuous improvement of the SMS		

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	- The service provider shall monitor and assess the effectiveness of its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.	Safety Objectives 5-4: The effectiveness of safety management system activities are independently reviewed, and near and long-term actions are planned and implemented. - Conduct Audits and Reviews Process SMS effectiveness is reviewed as part of the business wide process management system and is done as part of the integrated audit activities.
3 Safety Promotion		
4.1 Training and education		
4.1.1	The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties.	Safety Objectives 5-2: Safety staff, and contractors, are competent [qualified, trained and continuously monitored] to perform their responsibilities. - Assess Competency of Safety Personnel
4.1.2	The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.	Role and Groups
4.2 Safety communication		
	The service provider shall develop and maintain a formal means for safety communication that:	Safety Objectives 6-1: The SMS documentation is published in a format that ensures staff can access SMS information relevant to their position. - The SMS is Role based that allows employees to access information directly connected to their position in the organisation and their responsibilities.
a)	ensures personnel are aware of the SMS to a degree commensurate with their positions;	5-5: The safety management system is actively promoted to internal and external stakeholders (where appropriate and approved). - Communicate Safety Information
b)	conveys safety-critical information;	
c)	explains why particular actions are taken to improve safety; and	
d)	explains why safety procedures are introduced or changed.	