



**Civil Aviation Authority of Sri Lanka**

# **MANUAL FOR THE OVERSIGHT OF SAFETY MANAGEMENT SYSTEM OF THE AIR TRAFFIC SERVICE PROVIDER**

**2<sup>nd</sup> Edition - 2026**

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# MANUAL FOR THE OVERSIGHT OF SAFETY MANAGEMENT SYSTEM OF THE AIR TRAFFIC SERVICE PROVIDER

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## Foreword

The CAASL is the State's regulatory agency charged with the responsibility of ensuring the compliance of international safety standards published by ICAO in discharging Air Navigation Services to international and Domestic Air traffic flow that takes place through the Colombo Flight Information Region (FIR). Air Navigation Services that comprises Air Traffic Services; Communication, Navigation and Surveillance services; Meteorological services for air navigation; and Aeronautical Information Services are essential services that are to be provided ensuring safety of flights.

ICAO Annex 19 – Safety Management describes the provisions related to States' safety management responsibility and integrates the eight critical elements of a State safety oversight system with the SSP framework elements into a streamlined set of SARPs. Accordingly, the Regulations on Civil Aviation Safety Management No. 01 of 2018 provides requirements for the effective implementation of State Civil Aviation Safety Programme of Sri Lanka in conformity with the Standards and Recommended Practices contained in Annex – 19. ICAO Annex 11 – Air Traffic Services requires the States, as part of their State Safety programme, Air Traffic Service providers to implement a Safety Management System acceptable to the State.

The CAASL has developed this guidance material to complement the process of compliance to the above stated SARPs. The guidance in this document is expected to aid the Air Navigation Services Inspectorate of CAASL to discharge effective safety oversight of the Safety Management System in the provision of Air Traffic Service in Sri Lanka.

This document will also serve as a reference guide for Air Traffic Service Provider (ATSP) to develop their own specific practices and procedures in the context and will also provide additional guidance on implementing and maintaining the safety requirements in Air Traffic Services within Sri Lanka.

As an organization which set standards to the industry personnel, the CAASL has always been taking a professional approach and being exemplary in the discharging of its regulatory obligations and services. Accordingly, this office expects all those professionals involved in the safety oversight in that sphere would make an effective usage of this guidance Manual.

Capt. Daminda Rambukwella  
Director General of Civil Aviation and Chief Executive Officer  
Civil Aviation Authority of Sri Lanka  
12.01.2026

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## Abbreviations

ALoSP	Acceptable level of safety performance
ATS	Air traffic services
CAASL	Civil Aviation Authority of Sri Lanka
CAI	Civil Aviation Inspector
DDG ASR	Deputy Director General (Aeronautical Services Regulations)
DGCA	Director General of Civil Aviation
ERP	Emergency response plan
ICAO	International Civil Aviation Organization
SARPs	Standards and Recommended Practices
SCAI	Senior Civil Aviation Inspector
SMM	Safety Management Manual
SMS	Safety Management System(s)
SPI	Safety performance indicator
SPT	Safety performance target
SRM	Safety risk management
SSP	State Safety Programme



## Definitions

When the following terms are used in the manual, they have the meanings indicated below.

**Acceptable level of safety performance (ALoSP).** The level of safety performance agreed by State authorities to be achieved for the civil aviation system in a State, as defined in its State safety programme, expressed in terms of safety performance targets and safety performance indicators.

**Accountable Manager.** A single, identifiable person having responsibility for the effective and efficient performance of the service provider's SMS.

**Change management.** A formal process to manage changes within an organization in a systematic manner, so that changes which may impact identified hazards and risk mitigation strategies are accounted for, before the implementation of such changes.

**Defences.** Specific mitigating actions, preventive controls or recovery measures put in place to prevent the realization of a hazard or its escalation into an undesirable consequence.

**Errors.** An action or inaction by an operational person that leads to deviations from organizational, or the operational person's, intentions or expectations.

**\*Hazard.** A condition or an object with the potential to cause or contribute to an aircraft incident or accident.

**Risk mitigation.** The process of incorporating defences, preventive controls or recovery measures to lower the severity and/or likelihood of a hazard's projected consequence.

**Safety.** The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.

**\*Safety data.** A defined set of facts or set of safety values collected from various aviation-related sources, which is used to maintain or improve safety.

*Note. — Such safety data is collected from proactive or reactive safety-related activities, including but not limited to:*

- a) accident or incident investigations;
- b) safety reporting;
- c) continuing airworthiness reporting;
- d) operational performance monitoring;
- e) inspections, audits, surveys; or
- f) safety studies and reviews.

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**Safety information.** Safety data processed, organized or analysed in a given context so as to make it useful for safety management purposes.

**Safety management system (SMS).** A systematic approach to managing safety, including the necessary organizational structures, accountability, responsibilities, policies and procedures.

**Safety objective.** A brief, high-level statement of safety achievement or desired outcome to be accomplished by the State safety programme or service provider's safety management system.

*Note.* — *Safety objectives are developed from the organization's top safety risks and should be taken into consideration during subsequent development of safety performance indicators and targets.*

**Safety oversight.** A function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.

**Safety performance.** A State's or service provider's safety achievement as defined by its safety performance targets and safety performance indicators.

**Safety performance indicator.** A data-based parameter used for monitoring and assessing safety performance.

**Safety performance target.** The State or service provider's planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives.

**Safety risk.** The predicted probability and severity of the consequences or outcomes of a hazard.

**State safety programme (SSP).** An integrated set of regulations and activities aimed at improving safety.

**Surveillance.** The State activities through which the State proactively verifies through inspections and audits that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State.

**System.** An organized, purposeful structure that consists of interrelated and interdependent elements and components, and related policies, procedures and practices created to carry out a specific activity or solve a problem.

**Trigger.** An established level or criteria value for a particular safety performance indicator that serves to initiate an action required, (e.g., an evaluation, adjustment or remedial action).

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# 1 Chapter 1 – Introduction

## 1.1 Purpose of the Manual

This Manual contains the Procedures and Processes that the Civil Aviation Authority of Sri Lanka (CAASL) will follow to accept the Safety Management System (SMS) of the Air Traffic Service (ATS) Provider. It has been prepared as a guidance tool for the Inspectors of CAASL responsible for the initial acceptance and continuous surveillance of the Air Traffic Service provider's SMS.

The information contained in this Manual reflects the current regulatory requirements, procedures, and processes against which the Civil Aviation Authority will assess the SMS of the Air Traffic Service Provider. These requirements and the procedures are subject to change with any amendment to the ICAO Annex 19, Doc. 9859 and local Regulations.

CAASL Implementing Standards 070 – Framework for a Safety Management System, provides requirements for the Air Traffic Service provider, Training organizations, Airline operators, Maintenance organizations and Aerodrome operator of Sri Lanka, in the implementation of applicable standards and recommended practices (SARPs) in respective ICAO Annexes pertaining to the establishment of Safety Management System.

This Manual can also be used by the Air Traffic Service Provider to assess the effectiveness and conduct a self-assessment on the status of implementation of their own SMS for the purpose of continuous improvement.

## 1.2 CAASL Regulatory Framework & Enforcement

The Civil Aviation Safety Management Regulations No.1 of 2018, ensures the effective implementation of the State Safety Program through the compliance of the ATS Provider by establishing and maintaining a Safety Management System which is acceptable to DGCA and continuous monitoring of its effectiveness.

CAASL Implementing Standards 070 - Framework for a Safety Management System (SMS) has been promulgated, for the purpose of giving effect to the Civil Aviation Authority Safety Management Regulations no. 1 of 2018 and elaborating the requirements to be satisfied for the establishment and maintenance of Safety Management System in conformity with the latest amendment to Annex 19 and the SMS framework elements outlined in Appendix 2 to Annex 19.

Under the Civil Aviation Aeronautical Service Provider (Air Navigation and Aviation Security) Licensing Regulations No. 01 of 2023, the Third Schedule, Section A — Terms and Conditions, Regulation (6) stipulates that a licensee, where required, shall establish and maintain an effective safety management system which is acceptable to the Director General in compliance with the applicable requirements.

The applicable requirements established by the Director General are set out in Implementing Standards 075 – Requirements to be Satisfied for Obtaining an Air Traffic Service Provider Competency Certificate, under Chapter 3, sub section 3.1.2 of the Organizational Requirements (section 3.1).

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CAASL Implementing Standards 025 – Compliance to Annex 11, Chapter 2.29, requires the ATS Provider to have in place a Safety Management System (SMS), in accordance with CAASL Regulatory Requirements specified in IS 070 and any significant safety-related change to the ATS system, including the implementation of new processes and procedures, introductions of new equipment, facilities and systems etc. shall only be effected after a safety risk assessment that has demonstrated an acceptable level of safety has been met and users/ stakeholders have been consulted. When appropriate, the ATS provider shall ensure that adequate provision is made for post-implementation monitoring to verify that the defined level of safety continues to be met.

ATS Provider is required to comply with such requirements invariably and the DGCA will take appropriate enforcement action when those requirements are not complied with.

### 1.3 Oversight Responsibility

Duties and responsibilities of the Inspectors responsible for SMS oversight activities are discussed in Chapter 2 of this Manual.

The term **Inspectors** hereafter in this Manual refers to Civil Aviation Authority personnel authorized to carry out SMS oversight of Air Traffic Service Provider.

The term **SMS oversight** hereafter used in this Manual is intended to cover the **Initial SMS acceptance** and **Continuous Surveillance** to verify the ATS Provider continues to meet the applicable requirements.

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## Chapter 2 – Duties and Responsibilities

Director Air Navigation Services is responsible to the Director General of Civil Aviation through Deputy Director General Aeronautical Services Regulations for all Regulatory and Administrative functions of the ANS Section of CAASL, including SMS. In addition, Senior Civil Aviation Inspector – ATM (OPS), Senior Civil Aviation Inspector ATM – (SP), Civil Aviation Inspector – ATM (OPS), Civil Aviation Inspector – (SP) are responsible for conducting the oversight activities of the ATS Provider’s SMS.

A detailed description of the nature and scope of the work to be performed by the ANS Inspectors and their knowledge & skill requirements are given in Chapter 2.2 of the SLCAP 2300 – Air Navigation Services Inspectors’ Handbook. This chapter elaborates **the additional SMS specific job descriptions** of the Inspectors responsible for SMS oversight activities mentioned above.

### Nature and scope of duties specific to SMS oversight

#### 2.1 Director Air Navigation Services (DANS)

DANS is required to assist the Director General of Civil Aviation to fulfil his responsibilities in accepting the ATS Provider’s Safety Management System and conducting regular monitoring to ensure that International and local regulatory requirements are complied. To ascertain the above, DANS shall perform the duties and functions, which include, but not limited to the following.

- (a) Initiating the developments/ amendments to Primary Aviation Legislation required to regulate the Safety Management System of the Air Traffic Service Provider in Sri Lanka.
- (b) Develop Implementing Standards where necessary and amend existing Regulations as may be necessary to maintain required safety in the provision of Air Traffic Services in Sri Lanka.
- (c) Ensure relevant SARPS contained in ICAO Annexes related to safety are incorporated in relevant Implementing Standards and updated as necessary.
- (d) Ensure Guidance Materials and other technical guidance materials issued by ICAO from time to time in respect of Safety Management are locally embraced and updated as necessary, to guide the ATS Provider with necessary information for effective implementation of SMS.
- (e) Ensure Guidance Materials for the SMS oversight activities are developed to guide the respective ANS Inspectors.
- (f) Identify training needs and develop SMS Training Programme and ensure that all Inspectors responsible for SMS oversight activities are adequately trained to perform their job functions entrusted to them, to the standards expected by CAASL and maintain their training records.



- (g) Ensure the availability of office Procedures in respect of SMS oversight activities of the ATS Provider.
- (h) Ensure the required job guidance, Checklists and other related forms are available for the proper conduct of SMS Inspections.
- (i) Ensure the written Procedures, checklists and job guidance are reviewed and updated regularly to have the most updated information necessary.
- (j) Ensure the ATS Provider is assessed to grant acceptance for his SMS in accordance with applicable local and international regulations and other relevant directives issued by the DGCA.
- (k) Ensure SMS inspections are conducted regularly, analyzed, and follow up actions are taken as necessary.
- (l) Coordinate with the Legal Division of CAASL to take necessary enforcement actions in accordance with available regulations and CAASL Enforcement Policy Manual for the safety violations or deviations made.

## **2.2 Senior Civil Aviation Inspector – ATM (SP) & Senior Civil Aviation Inspector – ATM (OPS)**

- (a) Assist DANS to initiate the developments/ amendments to Primary Aviation Legislation required to regulate the Safety Management System of the Air Traffic Service Provider in Sri Lanka.
- (b) Assist DANS to develop Implementing Standards where necessary and amend existing Regulations as may be necessary to maintain required safety in the provision of Air Traffic Services in Sri Lanka.
- (c) Incorporate relevant SARPS contained in ICAO Annexes related to safety in relevant Implementing Standards and update as necessary.
- (d) Develop Guidance Materials to guide the ATS Provider with necessary information for effective implementation of SMS.
- (e) Develop Guidance Material for the conduct of SMS oversight to guide the ANS Inspectors responsible for SMS surveillance.
- (f) Assist DANS to develop SMS Training Programme, participate in SMS Training facilitated by CAASL and maintain training records properly.
- (g) Develop office Procedures in respect of SMS oversight activities of the ATS Provider.

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- (h) Develop job guidance, Checklists and other related forms required for the proper conduct of SMS Inspections.
- (i) Review and update the written Procedures, checklists, and job guidance regularly to have the most updated information necessary.
- (j) Establish State SPIs and SPTs related to Air Navigation Services and evaluate/ accept the SPIs and SPTs developed by the ANSP.
- (k) Assist DANS to assess the ATS provider for granting SMS acceptance in accordance with applicable local and international regulations and other relevant directives issued by the DGCA.
- (l) Conduct Regular SMS inspections, analyze the outcome and take follow up actions.
- (m) Assist DANS to take enforcement actions for the safety violations or deviations made in accordance with available CAASL regulations.

### **2.3 Civil Aviation Inspector – ATM (SP) & Civil Aviation Inspector – ATM (OPS)**

- (a) Assist Senior Civil Aviation Inspectors (SCAIs) to initiate the developments/ amendments to Primary Aviation Legislation required to regulate the Safety Management System of the Air Traffic Service Provider in Sri Lanka.
- (b) Assist SCAIs to develop Implementing Standards where necessary and amend existing Regulations as may be necessary to maintain required safety in the provision of Air Traffic Services in Sri Lanka.
- (c) Assist SCAIs in the process of incorporating relevant SARPS contained in ICAO Annexes related to safety in relevant Implementing Standards and updated as necessary.
- (d) Assist SCAIs to develop Guidance Materials to guide the ATS Provider with necessary information for effective implementation of SMS.
- (e) Assist SCAIs to develop Guidance Material for the conduct of SMS oversight to guide the ANS Inspectors responsible for SMS surveillance.
- (f) Participate in SMS Training facilitated by CAASL and maintain training records properly.
- (g) Assist SCAIs in the process of developing, review, and update office Procedures in respect of SMS oversight activities of the ATS Provider.

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- (h) Assist SCAs to establish State SPIs and SPTs related to Air Navigation Services and evaluate/ accept the SPIs and SPTs developed by the ANSP.
- (i) Assist SCAs to develop, review and update Checklists and other related forms available for the proper conduct of SMS Inspections.
- (j) Assist DAs to assess the ATS provider for granting SMS acceptance in accordance with applicable local and international regulations and other relevant directives issued by the DGCA.
- (k) Conduct Regular SMS inspections, analyze the outcome and take follow up actions.

## Chapter 3 – Inspector Training

Inspector credentials is a mandatory pre – requisite, that an Inspector shall earn to carry out the Inspections related to Air Navigation Services in respective subject fields.

Inspector Training specified in this chapter shall denote the required training to enable the providing of such Inspector credentials to carry out SMS regulatory functions.

The generic qualification process of the ANS Inspectors is explained in the Chapter 4 of the ANS Training Programme.

### 3.1 SMS Training Policy

The Air Navigation Services section of CAASL being the section responsible for conducting oversight activities of the Safety Management System of the ATS Provider understands the obligation to develop highly competent work force for conducting SMS surveillance related activities to oversee the compliance of ATS Provider on established Regulations.

### 3.2 Our Commitment

Properly trained ANS inspectors, investigators and supporting staff are the core personnel required for an effective implementation of safety oversight programmes to ensure the safe and efficient provision of Air Traffic Services.

ANS section of CAASL is committed for the development of a highly skilled and competent workforce through the implementation of a comprehensive training programme in a timely manner. It is the intent that all staff responsible for SMS oversight are fully trained in the essential job descriptions, knowledge and skills required to accomplish the CAASL mission and fulfill International and local requirements related to safety in Air Traffic Control.

### 3.3 Training requirements of ANS Inspectors responsible for the oversight of ATS Provider’s SMS

SMS oversight activities include surveys, audits, inspections conducted for the initial acceptance and continuous monitoring of the SMS of the ATS Provider. In addition, analysis conducted to find the root cause of the deficiencies/ findings, evaluation of Corrective Action Plans (CAPs) submitted by the ATS Provider, follow up actions to review the progress of the CAP implementation and enforcement actions are also included in the process of SMS oversight. Effective implementation of these tasks requires the intervention of highly qualified personnel during different phases of this continuous process.

#### 3.3.1 Basic Training

Basic training requirements for ANS Inspectors are mentioned in the ANS Training Programme. Additionally, the ANS Inspectors responsible for SMS oversight activities shall have the basic SMS competencies as minimum.

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**Basic SMS Competencies** means having a basic understanding of SMS and can outline the key elements and components of SMS. Familiar with the basic safety concepts and the ICAO framework. Understands the importance of the organizational role of the Service Provider's SMS.

**The SMS Training Plan Outline** developed by the Safety Management International Collaboration Group (SMICG) is given in the section 3.4 of this Chapter. This guidance will be used when developing Annual Training Plan of the ANS Section, related to SMS Training. The course contents of all mentioned trainings shall be congruent with the ICAO standards.

### 3.3.2 Recurrent/ refresher Training

Inspectors are also required to undergo periodic recurrent/ refresher training for the continuous development of the knowledge and skills need for the effective oversight of ATS SMM.

### 3.3.3 Advanced Training

Periodic advanced training in SMS will enable the ANS inspectors to maintain a high level of knowledge and expertise to encounter their duties and responsibilities in a re effective and efficient manner. Advanced SMS training requirements have been identified and prioritized in the ANS Training Programme.

### 3.3.4 Training Records

The Training records of the Inspectors responsible for SMS oversight are retained in a separate system established for maintaining the records related to SMS training. Individual Inspectors are responsible for maintaining such training records in their personal training files.

### 3.3.5 Re – qualification Training

An Inspector who has not been part of the SMS Surveillance programme for more than 1 (one) year shall conduct at least 2 (two) inspections under supervision prior to execute his privileges again as an Inspector which involves oversight activities in ATS SMS.

## 3.4 SMS Inspector Training Programme outline

This section describes the guidance provided by the Safety Management International Collaboration Group (SMICG) in their Manuals of **Safety Management System Inspector Competency Guidance** and **Training Program Outline for Inspector SMS Competency** to develop Inspector competencies for SMS oversight of ATS Provider.

The SMS Training Program outlined here includes pre – requisites (prior to entering SMS training) mentioned in 3.4.2, learning objectives (3.4.3) and topics to be covered when developing training plans to build these SMS competencies.

### 3.4.1 SMS Competencies

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The core SMS competencies for Inspectors tasked with accomplishing oversight activities of ATS Safety Management System, recommended by the Safety Management International Collaboration Group (SMICG) includes.

1. Management Systems
2. Regulatory Framework and intent
3. Oversight Techniques
4. Organizational Safety Performance
5. Organizational Safety Culture
6. Confidentiality of sensitive information
7. Communication Skills
8. System Interactions and Interfaces
9. Analytical Skills
10. Decision-making Skills
11. Open-mindedness
12. Assertiveness
13. Teamwork
14. Judgment
15. Human and Organizational factors
16. Safety-critical implications

### 3.4.2 Pre-existing competencies recommended for Inspectors prior to entering an SMS training.

SMICG recommended Competency	Core SMS competency ref.
Participated in training and has demonstrated experience in regulatory surveillance activities.	3
Understands legislation and regulations regarding data disclosure and protection.	6
Written communication skills, including the ability to write detailed technical reports.	7
Experience and ability to communicate effectively in a complex technical environment.	
Interpersonal, oral, and written communication skills, including the ability to liaise effectively at a senior level and influence outcomes both internally and with external organizations.	
Ability to adequately manage conflict and confrontation in a work environment	10
Ability to use logic and analysis to arrive at appropriate conclusions from relevant information and assumptions.	
Ability to infer, categorize, organize, and connect related concepts.	
Ability to exercise judgment, intelligence and discretion in making decisions.	
Demonstrates skills that can help identify decision alternatives.	
Ability to envision possible future consequences of alternative solutions.	
Ability to collaborate, communicate, cooperate, learn, negotiate and listen to ensure effective group decision-making.	

Skilled in managing emotions and perception issues to ensure objectivity in stressful decision situations.	
Ability to determine what factors contribute to a situation allowing for focusing on an appropriate solution.	
Ability to find proof or objective evidence thoroughly.	12
Ability to state opinions firmly without either aggressively threatening or submissively accepting the opinions of others.	
Able to collaborate and cooperate to achieve a common goal.	13
Ability to employ cooperative behavior to resolve interpersonal problems and optimize member interaction.	
Ability to build trust and respect among team members.	
Ability to receive and offer constructive feedback to other team members.	
Ability to work with specialists from other technical disciplines.	14
Ability to recognize and mitigate personal biases and emotional involvement when conducting inspections.	
Ability to justify and document major decisions based on observable signals.	

### 3.4.3 Overview of the SMS Training Program

The SMS Training Program for a progressive accumulation of Inspector SMS Competency is defined under four stages as mentioned below.

Stage	Training Category	Learning Objectives
1	Safety Management Concepts	<ul style="list-style-type: none"> <li>➤ To explain what a management system is.</li> <li>➤ To identify how safety is integrated into an organization's management system.</li> <li>➤ To recognize the potential safety impacts of interfaces between an organization SMS and other organizations.</li> <li>➤ To recognize the potential safety impacts of interfaces between systems within an organization.</li> <li>➤ To recognize risks to safety, related to human and organizational factors.</li> <li>➤ To recognize the impact of an organization's safety culture on its safety performance.</li> </ul>
2	Regulatory Framework	<ul style="list-style-type: none"> <li>➤ To describe the applicable international standards, State legislation, and regulations related to aviation safety management.</li> <li>➤ To explain the intent of State legislation and regulations related to aviation safety management.</li> <li>➤ To recognize the relationship of the State Safety Programme (SSP) with SMS requirements.</li> <li>➤ To apply State policies and procedures with respect to SMS.</li> <li>➤ To explain the principles of prescriptive and performance-based requirements.</li> </ul>
3	SMS Components	
	Safety Policy and Objectives	<ul style="list-style-type: none"> <li>➤ To distinguish the accountability and responsibilities of the Accountable Manager, Senior Management, and key safety personnel.</li> </ul>

		<ul style="list-style-type: none"> <li>➤ To discern how management commitment to an organization's SMS is reflected in the safety policy and evidenced by their actions throughout the organization.</li> <li>➤ To identify how organizations set and measure safety objectives.</li> <li>➤ To validate an organization's emergency response plan coordination process.</li> <li>➤ To evaluate an organization's SMS documentation system.</li> </ul>
	Safety Risk Management	<ul style="list-style-type: none"> <li>➤ To evaluate an organization's safety reporting system and investigation process.</li> <li>➤ To assess an organization's hazard identification processes.</li> <li>➤ To assess the effectiveness of an organization's risk management process.</li> </ul>
	Safety Assurance	<ul style="list-style-type: none"> <li>➤ To analyze an organization's means to measure safety performance.</li> <li>➤ To evaluate how an organization assesses its safety performance compared with its safety objectives.</li> <li>➤ To assess an organization's change management process.</li> <li>➤ To explain the relationship between quality assurance and safety assurance.</li> <li>➤ To evaluate how an organization assesses the effectiveness of its SMS, to continuously improve the SMS.</li> </ul>
	Safety Promotion	<ul style="list-style-type: none"> <li>➤ To evaluate an organization's safety communication, training, and education processes.</li> </ul>
4	SMS Evaluation	<ul style="list-style-type: none"> <li>➤ To recognize different approaches for implementing and achieving an effective SMS.</li> <li>➤ To plan an assessment of an organization's SMS.</li> <li>➤ To demonstrate interviewing skills of all levels of organizational personnel involved in the SMS.</li> <li>➤ To obtain objective evidence where possible and exercise judgment when necessary to reach conclusions about an organization's SMS.</li> <li>➤ To explain the allowable use and control of information obtained from an organization's SMS</li> <li>➤ To identify systemic deficiencies in an organization.</li> <li>➤ To assess the effectiveness of an SMS and discern whether the SMS is appropriate for the size and complexity of the organization.</li> </ul>

### 3.4.4 SMS Training Program in details

Stage 1: Safety Management Concepts			
No	Learning Objective	Key Learning Points	SMS competency ref.
1	To explain what a management system is	Definition of management system Management systems typically include: <ul style="list-style-type: none"> <li>➤ Organizational structure</li> <li>➤ Framework for establishing accountability—responsibility and authority.</li> <li>➤ Processes for setting goals and determining requirements</li> <li>➤ Processes for delivery of the organization's product/ services.</li> </ul>	1



		<ul style="list-style-type: none"> <li>➤ A means of controlling and assuring compliance with the requirements (including corrective action processes).</li> <li>➤ Processes for communicating and assuring necessary competencies.</li> </ul>	
2	To identify how safety is integrated into an organization's management system	<ul style="list-style-type: none"> <li>➤ Purpose of SMS.</li> <li>➤ Integration of management processes with technical and safety processes.</li> <li>➤ Application of safety management to operational/technical functions of the organization</li> </ul>	1
3	To recognize the potential safety impacts of interfaces between an organization's SMS and other organizations	<ul style="list-style-type: none"> <li>➤ Interfaces—and potential impacts—between other organizations.</li> <li>➤ Communication and agreements between organizations such as access to reporting systems and joint risk assessments.</li> <li>➤ Identification of hazards from external sources.</li> <li>➤ Risk acceptance.</li> <li>➤ Safety assurance.</li> </ul>	8
4	To recognize the potential safety impacts of interfaces between systems within an organization	<ul style="list-style-type: none"> <li>➤ Interfaces—and potential impacts—between systems within an organization</li> <li>➤ Systems include functional area systems and those related to organization management systems (ex. QMS, Security Management System etc.).</li> </ul>	8
5	To recognize human and organizational factors/related risks to safety	<ul style="list-style-type: none"> <li>➤ High-level key aspects of human and organizational factors considerations: <ul style="list-style-type: none"> <li>• Communications</li> <li>• Leadership</li> <li>• Human performance models (e.g., SHELL, 5M)</li> <li>• Situational awareness</li> <li>• Decision-making</li> <li>• Fatigue and fatigue risk management</li> <li>• Human error and error management</li> <li>• Workload and task design</li> </ul> </li> </ul>	8, 15
6	To recognize the impact of an organization's safety culture on its safety performance	<ul style="list-style-type: none"> <li>➤ Definition of safety culture and its components: risk, just, reporting, learning, informed and flexible cultures and their impact on personnel behaviors at various levels of the organization.</li> <li>➤ Different types of national, ethnic, and professional cultures and how they may affect the safety culture of an organization.</li> <li>➤ Importance of the safety policy and safety leadership to foster a positive safety culture.</li> <li>➤ Importance of an open reporting environment and its impact on the effectiveness of a management system.</li> <li>➤ Possible reduction of reporting due to sanctions applied by authorities against the organization based on reported data.</li> <li>➤ Benefits of a Just Culture: <ul style="list-style-type: none"> <li>• Increased safety reporting;</li> <li>• Trust building; and</li> </ul> </li> </ul>	5, 6, 15



		<ul style="list-style-type: none"> <li>• More effective safety and operational management.</li> <li>➤ Punishment vs. Learning.</li> <li>➤ Definition of the boundary between ‘Acceptable behavior’ and ‘Unacceptable Behavior’.</li> <li>➤ Identification of processes and policies that support a just culture.</li> </ul>	
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**Stage 2: Regulatory Framework**

No	Learning Objective	Key Learning Points	SMS competency ref.
1	To describe the applicable international standards, State legislation, and regulations related to aviation safety management	<ul style="list-style-type: none"> <li>➤ ICAO Annex 19 Standards and Recommended Practices (SARPs).</li> <li>➤ National Regulations for SMS.</li> <li>➤ SMS applicability (Which organizations does it apply to?).</li> <li>➤ Effective dates.</li> </ul>	2
2	To explain the intent of State legislation and regulations related to aviation safety management	<ul style="list-style-type: none"> <li>➤ National guidance material for SMS.</li> <li>➤ Acceptable means of compliance guidance.</li> </ul>	2
3	To recognize the relationship of the State Safety Programme (SSP) with SMS requirements	<ul style="list-style-type: none"> <li>➤ Relationship between SSP and SMS.</li> <li>➤ The interaction between an organization’s SMS and the SSP.</li> </ul>	2
4	To apply State policies and procedures with respect to SMS	<ul style="list-style-type: none"> <li>➤ National SMS policy and procedures.</li> <li>➤ (Acceptance/ certification, oversight/ surveillance etc.).</li> <li>➤ National enforcement policies and how they may differ in respect to SMS.</li> <li>➤ State’s approach to SMS implementation (use of implementation plans and timescales for implementation)</li> </ul>	2
5	To explain the principles of prescriptive and performance-based requirements	<ul style="list-style-type: none"> <li>➤ Principles of prescriptive requirements and performance-based requirements.</li> <li>➤ Verification of compliance using prescriptive and performance-based requirements.</li> </ul>	1, 3

**Stage 3.1: SMS Component 1 - Safety Policy and Objectives**

No	Learning Objective	Key Learning Points	SMS competency ref.
1	To distinguish the accountability and	<ul style="list-style-type: none"> <li>➤ Safety performance roles and responsibilities of:               <ul style="list-style-type: none"> <li>(a) Accountable Manager</li> <li>(b) Senior Management</li> <li>(c) Safety Manager</li> <li>(d) Safety Committees</li> </ul> </li> </ul>	1



	responsibilities of the Accountable Manger, senior management, and key safety personnel	<ul style="list-style-type: none"> <li>➤ Safety accountability vs. responsibility (delegation).</li> <li>➤ Level(s) of management with authority to make decisions regarding safety risk tolerability.</li> <li>➤ Accountable Manager in organizations holding multiple certificates</li> </ul>	
2	To discern how management commitment to an organization’s SMS is reflected in the safety policy and evidenced by their actions throughout the organization	<ul style="list-style-type: none"> <li>➤ Safety policy: <ul style="list-style-type: none"> <li>• Defines the organization’s commitment to safety, including the promotion of a positive safety culture.</li> <li>• Identifies the obligations of staff to use the safety reporting system.</li> <li>• Describes what is unacceptable behavior (including circumstances under which disciplinary action would not apply).</li> <li>• Commits to provide sufficient resources to manage safety (financial, human, material, and equipment).</li> </ul> </li> <li>Organizational structure appropriate to the size and complexity of the organization.</li> <li>➤ Management commitment and active support (alignment of the organization’s activities to the safety policy, allocation of resources, management reviews, dashboards, safety meeting attendance).</li> <li>➤ Periodic review of safety policy.</li> </ul>	N/A
3	To identify how organizations set and measure safety objectives	<ul style="list-style-type: none"> <li>➤ Safety objectives: <ul style="list-style-type: none"> <li>• Reflect the organization’s commitment to continuously improve the effectiveness of their SMS.</li> <li>• Are communicated throughout the organization and periodically reviewed.</li> </ul> </li> <li>➤ Safety performance management reflects the State.</li> <li>➤ SSP or other regional safety plans (if available).</li> <li>➤ Relationship between safety objectives, safety performance targets, and safety performance indicators</li> </ul>	4
4	To validate an organization’s emergency response plan coordination process	<ul style="list-style-type: none"> <li>➤ Requirement by the State to establish and maintain Emergency Response Plans (ERP).</li> <li>➤ Coordination of ERPs with the organization’s affected external interfaces</li> </ul>	N/A
5	To evaluate an organization’s SMS documentation system	<ul style="list-style-type: none"> <li>➤ SMS documentation system includes: <ul style="list-style-type: none"> <li>(a) SMS Manuals—to describe SMS policies, processes, procedures, and accountabilities. <ul style="list-style-type: none"> <li>• Integration of SMS manual with other required documentation, need for document controls, periodic reviews</li> </ul> </li> <li>(b) SMS Records—outputs of the SMS processes and procedures (examples of records: meeting minutes, safety data, safety reports, hazard logs, risk registers, safety risk assessments, etc.) <ul style="list-style-type: none"> <li>• Retention of records</li> </ul> </li> </ul> </li> </ul>	1, 11

Stage 3.2: SMS Component 2 - Safety Risk Management			
No	Learning Objective	Key Learning Points	SMS competency ref.
1	To evaluate an organization's safety reporting system and investigation process	<ul style="list-style-type: none"> <li>➤ Mandatory and voluntary reporting systems               <ul style="list-style-type: none"> <li>• Perimeter of mandatory and voluntary reporting systems: accessibility to third parties.</li> </ul> </li> <li>➤ Maturity of reporting—types of reports (i.e., first-, second-, third generation reports: “He has done something wrong,” “Something may go wrong,” “I have done something wrong,” etc.)</li> <li>➤ Internal investigation of safety events.               <ul style="list-style-type: none"> <li>• Prioritization of safety investigations</li> </ul> </li> <li>➤ Causal analysis process and outputs               <ul style="list-style-type: none"> <li>• Various models of causal analysis: Bow-Tie, Fishbone Diagram, 5 Whys, etc.</li> </ul> </li> <li>➤ Timely corrective and preventive actions.</li> <li>➤ Validation of effectiveness in preventing recurrence.               <ul style="list-style-type: none"> <li>• Recurrence indicates ineffective corrective action</li> </ul> </li> </ul>	9, 16
2	To assess an organization's hazard identification processes	<ul style="list-style-type: none"> <li>➤ Definition of and relationship between hazards and consequences.</li> <li>➤ Methods of hazard identification (reactive, proactive).               <ul style="list-style-type: none"> <li>• Use of multiple sources of hazard identification</li> <li>• Hazard identification is ongoing</li> </ul> </li> <li>➤ Examples of typical hazards for aviation sectors.</li> <li>➤ Hazards related to interfaces.</li> <li>➤ Hazards related to human factors.</li> <li>➤ Organizational hazards.</li> <li>➤ Collection and analysis of hazards.</li> </ul>	16
3	To assess the effectiveness of an organization's risk management process	<ul style="list-style-type: none"> <li>➤ Definitions and concepts related to risk management.</li> <li>➤ Risk management process (analysis, assessment, and control of the safety risks associated with identified hazards)</li> <li>➤ Risk management techniques, tools, models, methods.</li> <li>➤ Tolerable level of risk and risk control prioritization.</li> <li>➤ Safety-critical implications in risk management include:               <ul style="list-style-type: none"> <li>• Failing to identify latent hazards within the organization, which could lead to unacceptable levels of risk</li> <li>• Under-rating risk (based on what happened or has happened in the past, not what could have happened)</li> <li>• Assessing risk in isolation (not involving staff with practical knowledge of the activity being assessed)</li> <li>• Assessing only the most severe outcome (which is usually also the least probable, while a less severe but more probable risk scenario could result in a higher risk rating)</li> <li>• Awareness of vulnerability in underlying assumptions when determining probability and severity</li> </ul> </li> </ul>	9, 16
Stage 3.3: SMS Component - Safety Assurance			
No	Learning Objective	Key Learning Points	SMS competency ref.
1	To analyze an	<ul style="list-style-type: none"> <li>➤ Definitions related to safety performance</li> </ul>	4, 9

	organization's means to measure safety performance <b>(what)</b>	<ul style="list-style-type: none"> <li>• Safety performance relates to the organization's contribution to aviation safety</li> </ul> <p>Indicators: Types of indicators, use of indicators, characteristics of effective indicators, possible unintended effects of using indicators and targets</p> <p>Data: Types of data, sources of data, quality of data, characteristics of data, limitations of data, data collection methods</p> <p>Data analysis: Tools, capability, trends</p> <ul style="list-style-type: none"> <li>➤ Measuring what is important rather than what is easy to measure</li> </ul> <p>Results: Input into management review process, action taken</p>	
2	To evaluate how an organization assesses its safety performance compared with its safety objectives <b>(how)</b>	<ul style="list-style-type: none"> <li>➤ Links and robustness of the safety performance cycle:</li> <li>➤ Set objectives, targets and indicators – Determine sources of data - Gather and analyze data - Monitor performance indicators - Measure safety performance - Input into management review - Assess results and take action - Validate corrective action effectiveness – Review objectives and targets - etc.</li> <li>➤ Effectiveness looks at whether: <ul style="list-style-type: none"> <li>• The process is documented</li> <li>• Safety data is collected; what sources of data the organization is using; the quality of the data used for safety indicators; how accessible safety reporting systems are</li> <li>• Safety data is analyzed; what analytical capability the organization has; what tools are used</li> <li>• Information is extracted; what trends are detected; how indicators are used as input into the management review process</li> <li>• Alert levels and alerting triggers are appropriate and activated</li> <li>• Indicators are understood, and results are communicated; feedback to submitters using the reporting systems</li> <li>• Information drives corrective action or further improvement in safety performance targets; which management decisions are made</li> <li>• Indicators are periodically reviewed for appropriateness and pertinence</li> </ul> </li> </ul>	4, 9
3	To assess an organization's change management process	<ul style="list-style-type: none"> <li>➤ Recognizing which changes, in isolation or combination, may have a safety impact. <ul style="list-style-type: none"> <li>• Changes which may affect the level of safety risk associated with the organization's aviation products, infrastructure/system, management, operation, or services provided.</li> </ul> </li> <li>➤ Recognizing the impact of internal and external change <ul style="list-style-type: none"> <li>• Identifying and managing the safety risks that may arise from those changes.</li> </ul> </li> <li>➤ Effectiveness of existing risk controls/mitigations.</li> <li>➤ Introduction of new hazards.</li> </ul>	1
4	To explain the	<ul style="list-style-type: none"> <li>➤ Defining quality assurance and safety assurance.</li> </ul>	1, 8



	relationship between quality assurance and safety assurance	<ul style="list-style-type: none"> <li>➤ Safety assurance complements quality assurance to validate the effectiveness of safety risk controls.</li> <li>➤ Interaction between quality assurance and safety assurance.</li> <li>➤ Basic characteristics of QMS and differences with SMS.</li> </ul>	
5	To evaluate how an organization assesses the effectiveness of its SMS, to continuously improve the SMS	<ul style="list-style-type: none"> <li>➤ What effectiveness means</li> <li>➤ External/internal review processes (audits, surveys, safety performance indicators (SPIs), lessons learned, etc.) <ul style="list-style-type: none"> <li>• Outcomes feeding back into the SMS Link with the safety performance cycle</li> <li>• Recognizing a change in safety performance and taking action</li> </ul> </li> <li>➤ Senior management review of the effectiveness of the SMS</li> </ul>	1

**Stage 3.4: SMS Component 4 - Safety Promotion**

No	Learning Objective	Key Learning Points	SMS competency ref.
1	To evaluate an organization's safety communication, training, and education processes	<ul style="list-style-type: none"> <li>➤ <b>Training and Competency:</b> <ul style="list-style-type: none"> <li>• Competency definition and competency assessment</li> <li>• Training needs analysis (includes contracted personnel), including ongoing (recurrent) training</li> <li>• Training methodology appropriate to the material and the individual</li> <li>• Training will vary between different roles in the organization</li> <li>• Competency of trainers (external providers or internally delivered)</li> <li>• Effectiveness of safety training program is monitored</li> <li>• Training documentation and records</li> </ul> </li> <li>➤ <b>Safety Communication:</b> <ul style="list-style-type: none"> <li>• Identification of relevant safety information sources (internal and external, including from interfacing organizations)</li> <li>• Communication of safety information (internal, and external to other affected organizations)</li> <li>• Methods of communication (appropriate to target audience)</li> </ul> </li> </ul>	1, 11

**Stage 4: SMS Evaluation**

No	Learning Objective	Key Learning Points	SMS competency ref.
1	To recognize different approaches to implementing and achieving an effective SMS	<ul style="list-style-type: none"> <li>➤ Various approaches to implement SMS</li> <li>➤ SMS procedures should be customized to each organization</li> <li>➤ Extending a single SMS over multiple activities requiring an approval/certificate</li> <li>➤ Integration of SMS with existing management system</li> </ul>	1, 11
2	To plan an assessment of an organization's SMS	<ul style="list-style-type: none"> <li>➤ Team management, work scheduling, planning effective interviews, and sampling, etc.</li> <li>➤ Researching safety intelligence, safety record, enforcement record and documentation of the organization</li> <li>➤ The authority's policies, processes, procedures, and tools for the assessment of an organization's SMS</li> </ul>	3



3	To demonstrate interviewing skills of all levels of organizational personnel involved in the SMS	<ul style="list-style-type: none"> <li>➤ Adaptation of questions according to the roles and responsibilities of the individual (consider flow of communication across the organization).</li> <li>➤ Use of probing questions/cascading questions.</li> <li>➤ Cross-checking responses from various sources.</li> </ul>	7
4	To obtain objective evidence where possible and exercise judgment when necessary to reach conclusions about an organization's SMS	<ul style="list-style-type: none"> <li>➤ Cross-checking of information from different sources.</li> <li>➤ Seeking confirmation of doubts and concerns.</li> <li>➤ Gathering objective evidence to support evaluation activities.</li> <li>➤ Use of subjective judgment to assess effectiveness rather than just compliance.</li> </ul>	14
5	To explain the allowable use and control of information obtained from an organization's SMS	<ul style="list-style-type: none"> <li>➤ State legal framework and regulator policies for protection and release of organization information (appropriate vs. inappropriate usage or disclosure).</li> <li>➤ Appropriate information to take into the regulator's possession (what is evidence?).</li> <li>➤ Potential impact of data release or inappropriate usage, including inadvertent disclosure.</li> <li>➤ State responsibility to determine the most appropriate action to address safety issues arising from sensitive information accessed (e.g., internal reporting systems).</li> </ul>	6
6	To identify systemic deficiencies in an organization	<ul style="list-style-type: none"> <li>➤ Systems thinking (i.e., beyond how the organization presents itself through its manuals, to understand their system and processes)</li> <li>➤ Definition of systemic.</li> <li>➤ Difference between systemic and individual deficiencies.</li> <li>➤ Systemic deficiencies at an organizational level</li> </ul>	3, 8
7	To assess the effectiveness of an SMS and discern whether the SMS is appropriate for the size and complexity of the organization	<ul style="list-style-type: none"> <li>➤ Typical markers of organizational complexity</li> <li>➤ Application of the State SMS evaluation tool to assess an SMS, including scalability</li> <li>➤ Acceptance criteria taken into account for the assessment and the expectation for different levels of performance (Present, Suitable, Operating, Effective)</li> <li>➤ How well the SMS processes are applied to technical processes</li> <li>➤ What is compliance? "Simple compliance" (are they complying?) vs. "effective compliance" (how they are complying, how compliance will be maintained, is the output as expected?).</li> </ul>	1, 11

Refer Appendix I for the Training Programme of an ATS SMS Inspector

## Chapter 4 – SMS Acceptance & Competence Requirement

### 4.1 Initial Acceptance of ATS SMS

Initial Acceptance of ATS SMS includes Safety Management Manual (SMM) acceptance and an on – site Audit to verify what is mentioned in the SMM are present and suitable. The ATS provider shall apply to the Director General of Civil Aviation for the acceptance of the Safety Management System with a printed copy of his Safety Management Manual. (Ref. Chapter 4.4.1 of Implementing Standards 070 – Framework for a Safety Management System)

#### (a) Acceptance of the SMM

The actions required for the acceptance of SMM are as follows.

- 4.1.1 Before granting the Manual acceptance, the Inspectors must be satisfied that the SMS of the ATS Provider has been established in accordance with the local and ICAO requirements as mentioned below.

The ATS provider’s Safety Management Manual shall describe:

- (a) Safety policy and objectives
- (b) Reference to any applicable regulatory SMS requirements
- (c) System description
- (d) Safety accountabilities and key safety personnel
- (e) Voluntary and mandatory safety reporting system processes and procedures
- (f) Hazard identification and safety risk assessment processes and procedures
- (g) Safety investigation procedures
- (h) Procedures for establishing and monitoring safety performance indicators
- (i) SMS training processes and procedures and communication
- (j) Safety communication processes and procedures
- (k) Internal audit procedures
- (l) Management of change procedures
- (m) SMS documentation management procedures; and
- (n) where applicable, coordination of emergency response planning

- 4.1.2 A checklist for evaluating the ATS providers SMS Manual is given in Appendix A.
- 4.1.3 A formal letter should be issued to the service provider’s Accountable Manager to indicate that the SMS Manual has been reviewed and accepted by the CAA.
- 4.1.4 It is important for the sample acceptance letter to indicate the version of SMS Manual that was reviewed during the acceptance process. To ensure proper accountability, records, including a controlled copy of the SMS Manual shall be recorded.
- 4.1.5 Upon acceptance of the ATS SMM, an on – site audit will be conducted to check whether the elements that have been described in the Manual are **Existing & Suitable** (suitable based on the size, nature, complexity of the organization and the inherent risk in the activity). In this phase, a comprehensive assessment shall be carried out by a desktop review of the SMS Documentation.



- 4.1.6 Assessment of the Initial acceptance phase shall be carried out by a team comprised by ANS Inspectors headed by an SMS trained person occupying the position of Director or above of the CAASL.

The Team Leader shall have successfully completed the following Training as minimum to be eligible for leading the team and conducting the initial acceptance assessments.

- Basic SMS Concepts
- Training on SMS and SSP Implementation
- Train the Trainer Course

Rest of the team members shall have successfully completed Trainings on Basic SMS concepts as minimum.

- 4.1.7 Initial acceptance for the ATS SMS shall be made by the Director General of Civil Aviation. Before the acceptance, the Director General of Civil Aviation shall be satisfied that the SMS of the ATS organization has been established in accordance with the requirements given in the Implementing Standard 70 and other applicable regulations.

- 4.1.8 Acceptance of the SMS shall be valid for a period of one year.

- 4.1.9 Amendments to keep the SMS Manual updated and current shall be submitted to the CAA for acceptance.

- 4.1.10 After the CAA Inspector has reviewed the amendments to SMS Manual, the service provider should be notified whether the amendments are accepted.

- 4.1.11 An application for the renewal of the acceptance shall be forwarded to the Director General of Civil Aviation with new changes introduced to the SMS (if any) during the year, before the expiration of the validity period of acceptance.

- 4.1.12 The Director General of Civil Aviation may suspend or cancel the acceptance of an SMS if there are reasonable grounds to believe that the SMS is not operating in accordance with the requirements given in the Implementing Standard 070 and other applicable regulations.

- 4.1.13 Fees for the acceptance, renewal, and amendment of the SMM shall be levied in accordance with the CAASL Fees and Charges Regulations.

## 4.2 Validation Process

In the case where the service provider is just initiating its SMS, the service provider may not have enough data to develop meaningful Safety Performance Indicators (SPIs) and Safety Performance Target (SPTs). In this case, the CAA Inspector might consider accepting them later in the implementation phase.

Once the service provider has collected enough safety data, the service provider proceeds to select and define its SPIs and set its SPTs. Usually, these SPIs and SPTs are subsequently added into the SMS Manual or in other separate documents. Accordingly, the SPIs/ SPTs and accepted SMS of the ATS Provider will be evaluated at regular intervals for the evidence of operating and effectiveness as mentioned below.

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A checklist is used to assess the compliance and effectiveness of the SMS against the generic SMS requirements based on the latest Editions of ICAO Annex 19, ICAO Doc.9859 (Safety Management Manual), Civil Aviation Safety Management Regulations No. 01 of 2018 and CAASL Implementing Standards 070 (Framework for Safety Management). It is set out using the 12 elements of the ICAO SMS Framework. Each item shall be reviewed to determine whether it is **Present, Suitable, Operating** or **Effective**, using the definitions and guidance set out in the checklist.

This checklist shall be used by the Inspectors responsible for conducting ATS SMM inspections to evaluate and record the results of the assessment.

Note – for an example, an item to be **present** the evidence is likely to be documented only, whereas for assessing whether it is **operating**, it shall have records/ evidence that an output is being produced.

### 4.3 Renewal of SMS acceptance

Following initial acceptance, the ATS Provider shall integrate and apply the Safety Management System as an integral part of its operational activities. The oversight authority shall ensure that within the first oversight planning cycle (within the three years after granting the approval) the organization's SMS processes are **Present, Suitable and operating** (operational and an output is being produced).

The organization may eventually have **Effective** (achieving the desired outcome and has a positive safety impact) processes, which is the evidence of an effective SMS. In order to check that SMS processes are indeed **operating**, and **Effective** the SMS shall be re-evaluated on a regular basis to assess how well it is performing. The review shall assess all the items used in the assessment checklist which can be conducted by a combination of organizational visits, meetings, and desk top reviews.

As the organization's SMS processes mature and it moves to **Operating** and **Effective** stages, this may also require the suitability criteria to be revisited. Changes to the organization's approval may also require a reconsideration of the suitability of the SMS processes. So, when significant changes take place within the ATS Provider's organization the Inspectors shall determine the need to review the safety assessment conducted by the ATS Provider to ensure it is still appropriate.

Guidance for evaluating the Safety Assessments conducted by the ATS Provider is given in Appendix C.1

During the renewal process of SMS acceptance, the Inspectors shall ensure that all processes mentioned in the checklist are **Operating** and the processes of hazard identification, risk assessment and mitigation, management of change and compliance monitoring are **Effective**.

Regular Assessments for the renewal of SMS acceptance shall only be conducted by the ANS Inspectors<sup>1</sup> credentialed by the Director General of Civil Aviation having successfully completed Basic SMS Training as minimum.

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Note 1 – Qualification process of the ANS Inspectors is given in Chapter 4 of the ANS Training Programme.

Checklist for the initial acceptance & renewal is given in Appendix B.2

#### 4.4 Continuous oversight

The main objective of the SMS surveillance inspections is to ensure that the Acceptable Level of Safety Performances (ALoSP) defined by the State for identified high risk categories of aircraft accidents have been achieved and maintained by the ATS Provider.

The Surveillance plan of the ANS section for each calendar year is prepared by the Director – Air Navigation Services (DANS) in consultation with the Inspectors of the ANS section at the beginning of the year.

The ANS surveillance plan includes SMS inspections, and audits considering the activities taking place within the ATS organization. Once developed it is forwarded for the approval of the DGCA.

It is the responsibility of each Inspector to conduct SMS Inspections as per the approved surveillance plan. Changes to the scheduled dates due to unavoidable circumstances shall be approved by the DDG-ASR through DANS. Changes and reasons for such changes shall be clearly documented, and those inspections shall be conducted in the closest date to the scheduled date.

#### 4.5 Planning and Preparation for Inspections

Before the inspection is conducted the Inspectors are required to prepare for the inspection properly.

- (a) The preparation process should include
  - Referring previous inspection reports and Corrective Action Plans (CAPs) received from the ATS Provider.
  - Identifying deficiencies observed in previous inspections and corrective actions taken by the ATS provider to correct those deficiencies.
  - Identifying special areas to be inspected which need special attention.
- (b) Inspectors should refresh themselves with the previous recommendations of the CAASL to check whether those recommendations are implemented.
- (c) Inspectors should be familiar with all applicable local and ICAO requirements related to SMS.
- (d) Inspectors should be thorough with the documents need to be available at the place of inspection.
- (e) If the Inspector intends meeting the Accountable Manager or the Safety Manager to clarify certain issues, that should be informed to the Head of the Section, the date/time of the

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inspection and the officers needs to be present at the inspection at least three days before the inspection.

#### 4.6 Conducting the Inspection

- (a) Meet the Head of the Section, Safety Manager, SMS Safety Officer, or the relevant Senior Officer in charge of the section and identify with credentials, before the inspection is conducted and make necessary arrangements for the inspection.
- (b) Use appropriate check list for the inspection and record all evidence observed during the inspection.
- (c) Checklist of the ATS SMS Inspections (continuous oversight) is given in Appendix D.2
- (d) At the end of the inspection brief the Head of the Section, Safety Manager, or the relevant Senior Officer of the findings (deficiencies and appreciations).

#### 4.7 Inspection Report

- (a) Use the softcopy of the Inspection Checklist given in Appendix D.2
- (b) Each SMS inspection should be given a unique Inspection Report Reference number.
- (c) Use only the Abbreviations given in the check list to complete the form.
- (d) Indicate any comments/ notes in the space provided at the end of the checklist in clear language.
- (e) If the observation is **Satisfactory (S)**, **Improvements Needed (I)** or **Unsatisfactory (U)**, it is essential to provide comments/ notes to explain why it is unsatisfactory and what improvements are needed.
- (f) The inspectors shall categorize their findings/observations as follows:  
U-shall denote Non-compliance or Non- adherence to ICAO SARPs, CAASL Implementing Standards or provisions of Manuals approved by the DGCA (areas where a finding is raised are described in section 4.8)
- (g) I - Improvements needed or some more efforts are required to bring into satisfactory level.
- (h) The Inspection report should be prepared within five working days from the date of the inspection and forwarded to the DANS for review.
- (i) Inspection Checklist along with the Inspection Report form<sup>3</sup> should be sent to the ATS Provider within seven working days of the Inspection.
- (j) Update the Inspection Database.

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Note 3 – Template of Inspection Report Form is given in Appendix E

## 4.8 Findings and observations

Observations should be used to identify areas for continuous improvement and encourage a positive safety culture.

For the initial acceptance of ATS SMS all the processes shall be **present** and suitable. If any are not, then the approval should not be granted. Once the SMS is accepted, if a process is found not to be operating to an acceptable level, during CAASL regular SMS Inspections, a finding\* shall be raised.

Where a checklist item is found not to be effective the Inspectors may consider issuing an observation to give rise to suggested improvements. (Observations do not require implementation of corrective actions but are included and formalized within the Audit/ Inspection report). However, findings should not be issued if the process is operational and an output is being produced but the desired outcome is yet to be achieved.

\* A finding – a non-conformity with a particular standard, which should be resolved to re-establish conformity.

3 distinct parts of a Finding:

- The requirement, or specific reference to the requirement
- The clear statement of the non-compliance
- Objective evidence that supports the statement of non-compliance based on the requirement.

A finding shall be raised in situations when the ANSP

- Is non-compliant with a Standard specified in Primary or Secondary Regulations
- Is non-compliant with practices/ procedures specified in approved Manuals
- Is non-compliant with ICAO recommendations that have been informed by the CAASL in writing
- Is non-compliant with any other directives issued by the DGCA
- Fails to implement the CAPs submitted for previous Findings
- Absence of evidence or records of mandatory implementation.

## 4.9 Inspection Follow – up process

The Inspection Report, along with the Completed Checklist, Corrective Action Request form(s) (Appendix F.1 -individual Corrective Action Requests for each finding identified during the inspection) and any other necessary documents as applicable, shall be forwarded to the ATS Provider within 7 days from the Inspection. Providing the detailed comments of the Inspection will assist the ATS Provider in continuous improvement of SMS and supports a positive safety culture at a State level.

The ATS Provider is required to develop corrective action plans (CAPs) for each finding.

The ATS Provider shall submit the Corrective Action Plans (CAPs) to CAASL for evaluation within 14 days of the receipt of Inspection Report.

A sample Corrective Action Request Form is given in Appendix F.1

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#### 4.9.1 Evaluation of Corrective Action Plans

Inspectors should evaluate ATS Provider's CAPs for their ability to resolve identified deficiencies.

Guidance for evaluating the Corrective Action Plans (CAPs) is given in Appendix F.2

The evaluation of the CAP for acceptance or rejection shall be carried out by the Inspectors, and progress of CAP implementation shall be monitored during follow-up inspections. Accordingly, the Corrective Action Evaluation and Tracking Form (attached in Appendix F.3) shall be completed and forwarded to the ANSP within 10 working days from the date of receipt of the CAP from the ANSP.

For deficiencies that pose imminent safety risks, there may be no time for providing and accepting a written CAP. In such cases the ATS provider may proceed to implement corrective action and notify the CAASL of the action taken.

##### Acceptance of CAPs

For a CAP to be acceptable, it must have:

- a defined set of actions, which fully addresses the finding
- an implementation timeline that is reasonable & commensurate to risk
- a definite action office(s) responsible for each action item for its implementation.

CAPs that do not meet the above requirement should be rejected & the ATS Provider should be informed.

Upon rejection, the ATS Provider is required to provide a fresh CAP.

Failure to submit an acceptable CAP by the ATS Provider may result in the deficiency being referred for enforcement action.

Where the CAP is acceptable the ATS Provider should be informed as such.

Further guidance on evaluating the CAPs of ATS Provider is given in Attachment F

##### Corrective Action Plan follow-up

Implementation of the CAPs shall be monitored continuously through the regular SMS Inspections and additional oversight visits depending on the safety criticality of the finding.

Inspectors should monitor whether the accepted CAPs are implemented within the stipulated timelines.

The Inspectors shall keep track of all CAPs submitted by the ATS Provider and follow up on their implementation.

In regular surveillance activity and/or ad-hoc inspections, inspectors shall review all pending CAPs and assess their level of implementation.



Where the inspection findings are of a minor nature and no direct threat exists only an administrative follow-up may be acceptable. All other findings require on-site follow-up.

### Tracking of CAPs and closure of Findings

Responsibilities of the Inspectors:

- Ensure corrective action plans are received within the appropriate time.
- Ensure the CAPs addressing the most critical findings are prioritized.
- Ensure that each proposed corrective action rectifies the root cause of the finding to prevent its recurrence.
- Determine the ATS Provider has developed a reasonable timetable for their corrective action plans.
- Determine for each corrective action plan item whether the follow-up is to be administrative or on-site.
- Monitor the progress of the corrective action plans during regular or ad-hoc inspections.
- Ensure all completed CAP forms and corrective action tracking forms, together with any supporting documentation are recorded properly.
- Advise the D/ANS when all corrective actions have been completed.



## Appendix A - Checklist for evaluating the ATS providers SMS Manual

Safety Management System of Air Traffic Service Provider Checklist for Safety Management Manual Acceptance			
Use S for Satisfactory, I for Improvement needed, U for Unsatisfactory and N/A for Not Applicable as appropriate			
1 Safety policy & objectives			
Ref.	ICAO Requirement	Observation	SMM Reference/comments
Does the ATS Provider's Safety Policy,			
1.1	Reflect organizational commitment regarding safety, including the promotion of a positive safety culture?		
1.2	Include a clear statement about the provision of the necessary resources for the implementation of the safety policy?		
1.3	Include commitment to the management of safety risks?		
1.4	Include a commitment to comply with applicable regulatory requirements?		
1.5	Include a commitment to encourage employees to report safety issues without reprisal?		
1.6	Clearly indicate which types of behaviors are unacceptable related to the ATS and include the circumstances under which disciplinary action would not apply?		
1.7	Provide management guidance for setting safety objectives?		
1.8	Has the safety policy been signed by the accountable Manager of the organization?		
1.9	Has the policy been communicated, with visible endorsement, throughout the organization?		
1.10	Does it include the requirement for reviewing periodically to ensure it remains relevant and appropriate to the ATS service provider?		
Safety objectives of the ATS Provider:			
1.11	Are the Safety objectives of the ATS Provider, high-level statements which reflect the organization's safety priorities?		
1.12	Do they address its most significant safety risks?		
1.13	Does it define what the ATS Division intends to achieve in terms of safety?		

1.14	Does it form the basis for safety performance monitoring and measurement (SPIs/ SPTs should link with the Objectives)?		
1.15	Does it include the requirement for reviewing periodically to ensure they remain current?		
<b>2 Reference to any applicable regulatory SMS requirements</b>			
Ref.	ICAO Requirement	Observation	SMM Reference/comments
2.1	Does it give reference to the applicable Regulations specified in Annex 19, ICAO Doc. 9859 Safety management Manual, CAASL Implementing Standards 70?		
<b>3 System Description</b>			
Ref.	ICAO Requirement	Observation	SMM Reference/comments
3.1	Has a System Description been included in the Manual?		
<b>4 Safety accountabilities and key safety personnel</b>			
Ref.	ICAO Requirement	Observation	SMM Reference/comments
4.1	Has the ATS provider identified an Accountable Manager who, irrespective of other functions, is accountable on behalf of the organization for the implementation and maintenance of an effective SMS?		
4.2	Does the Manual clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management?		
4.3	Has it documented 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?		
4.4	Does it define the levels of management with authority to make decisions regarding safety risk tolerability?		
4.5	Has the ATS provider identified the role of a Safety Manager who is responsible for the implementation and maintenance of the SMS?		
4.6	Does it define under the responsibilities of Safety Manager; -the responsibility for reviewing SMS documentation? -organizing Safety committee meetings & internal audits? -implementation of Safety Reporting system? -ensuring the prompt collection and analysis of safety data and the distribution of related safety information on safety risks, mitigation & control actions within the organization?		

4.7	Does the Manual define the lines of safety accountability throughout the organization and their preferred communication methods in an organizational chart?		
4.8	Does the Manual include the requirement of appointing a Safety committee & establishment of TOR?		

### 5 Voluntary and Mandatory safety reporting system processes and procedures

Ref.	ICAO Requirement	Observation	SMM Reference/comments
5.1	Does the Manual describe the establishment of Voluntary & Mandatory Reporting Systems?		
5.2	Has a responsible person (Safety Manager) been appointed for implementing Safety reporting system, handling the safety reports and submitting reportable events that require CAA notification as required by the applicable ISs?		
5.3	Does it clearly state that reported information will be used solely to support the enhancement of Safety, providing appropriate protections to encourage people to report what they see or experience?		
5.4	Does the Manual define what incidents are required to be reported as mandatory?		
5.5	Does the Manual ensure safety reporting systems is readily accessible to all personnel (either paper-based or web-based)?		
5.6	Does it ensure the Voluntary safety reporting system is confidential and the role of custodian is restricted to Safety Manager & personnel responsible for Safety Investigations?		
5.7	Does it ensure anybody who submits a safety report receives feedback on what decisions or actions have been taken?		
5.8	Does the Manual ensure Reports on significant incidents are forwarded to CAASL as required by the applicable Implementing Standards?		

### 6 Hazard identification and safety risk assessment processes and procedures.

Ref.	ICAO Requirement	Observation	SMM Reference/comments
6.1	Does the ATS provider has processes to identify hazards associated with the services?		
6.2	Is it based on a combination of reactive and proactive methods?		
6.3	Has it documented the identified hazards and their potential consequences?		

6.4	Has the ATS provider developed processes to ensure analysis, assessment and control of the safety risks associated with identified hazards (the process may include predictive methods of safety data analysis)?		
6.5	Has a safety risk assessment model and procedures been developed to determine what safety risks are acceptable or unacceptable and to prioritize actions?		
6.6	Does the Manual include the process of documenting SRM outputs (maintaining of the Hazard Log, associated consequences, Risk Index Analysis, mitigation actions taken, revised Risk Index)?		

### 7 Safety Investigation procedures

Ref.	ICAO Requirement	Observation	SMM Reference/comments
7.1	Does the Manual contain a clearly defined procedure for conducting safety investigations as a part of their SMS to support hazard identification & risk assessment processes?		
7.2	Does it define the distinction between accident and incident investigations under Annex 13 (for which the State is responsible) and ATS provider's safety investigations?		
7.3	Does the Manual define the decision-making approach of what to investigate and the scope of the investigation?		
7.4	Has a single person or a team as Investigator(s) with the support from expertise of subject areas and safety, been appointed?		
7.5	Does the defined process of Safety Investigation include the following key points as minimum; <ul style="list-style-type: none"> <li>➤ Root cause analysis?</li> <li>➤ Immediate interviews with people involved?</li> <li>➤ Establishing timelines of key events?</li> <li>➤ Including the actions of the people involved?</li> <li>➤ Review of any policies and procedures related to the activities?</li> <li>➤ Review of any decisions made related to the event?</li> <li>➤ Identifying any risk controls that were in place that should have prevented the event occurring?</li> <li>➤ Reviewing safety data for any previous or similar events?</li> <li>➤ Conclusion - clearly defined findings and recommendations that eliminate or mitigate safety deficiencies?</li> </ul>		

### 8 Procedures for establishing and monitoring safety performance indicators (Safety Assurance)

Ref.	ICAO Requirement	Observation	SMM Reference/comments
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<b>8.1 Internal Audits</b>			
8.1.1	Does the Manual include a procedure for conducting Internal safety audits to verify the effectiveness of the SMS?		
8.1.2	Is there a description of the Internal Audit program (in terms of criteria, scope, frequency and methods, what processes are used to select the auditors, requirement that individuals shall not audit their own work, procedures for assignment of responsibilities, planning and conduct of audits, reporting results and maintaining records etc.)?		
8.1.3	Has an Audit checklist been developed?		
<b>8.2 Safety Performance Monitoring</b>			
8.2.1	Have Safety Performance Indicators (SPIs), as the parameters of safety objectives been defined?		
8.2.2	Do the SPIs link with the safety objectives already established?		
8.2.3	Does the Manual define the criteria for determining SPIs?		
8.2.4	Has Safety Targets been established (should be realistic, context specific and achievable when considering the resources available)?		
8.2.5	Does the Manual describe how to set Safety Triggers and monitor?		
<b>9 SMS training processes and procedures</b>			
Ref.	ICAO Requirement	Observation	SMM Reference/comments
9.1	Has the ATS provider developed a safety training programme that ensures, the personnel are trained and competent to perform their SMS duties? Does the training programme include initial and recurrent training requirements to maintain competencies?		
<b>10 Safety Communication processes and procedures</b>			
Ref.	ICAO Requirement	Observation	SMM Reference/comments
10.1	Does the ATS provider have an effective program for the timely promotion of safety issues, including things like safety newsletters, notices, bulletins, briefings or training courses?		
<b>11 Management of change procedure</b>			
Ref.	ICAO Requirement	Observation	SMM Reference/comments



11.1	Does the Manual define the triggers for the formal change process?		
11.2	Does it define activities that need to be included in the change management process (in details)?		

**12 SMS documentation management procedures**

Ref.	ICAO Requirement	Observation	SMM Reference/comments
12.1	<p>Does the ATS provider's SMS documentation include the compilation and maintenance of the following operational records substantiating the existence and ongoing operation of the SMS?</p> <p>a) hazards/ Risk registers and Details of Risk analysis;            b) SPIs and related charts;            c) record of completed safety risk assessments;            d) SMS internal audit records;            e) records of SMS safety training records;            f) SM safety committee meeting minutes;            g) SMS implementation plan (during the initial implementation); and            h) Gap analysis to support implementation plan.</p>		

## Appendix B.1 – Guidance for the Initial Acceptance & Renewal of ATS Provider SMS

Safety Management System of Air Traffic Service Provider Checklist for Initial Acceptance & Renewal			
Definitions used in the checklist			
Present	Documented within the organization's SMS Documentation and existing.		
Operating	Operational and an output is being produced.		
Effective	Evidence available that the element is achieving the desired outcome and has a positive safety impact.		
Suitable	Suitable based on the size, nature, complexity of the organisation and the inherent risk in the activity.		
<b>1.</b>	<b>Safety Policy and Objectives</b>		
<b>1.1</b>	<b>Management Commitment</b>		
1.1.1	There is a safety policy, signed by the Accountable Manager which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	There is a safety policy that includes a commitment to continuous improvement, observe all applicable legal requirements, standards and considers best practice signed by the accountable manager.	It is reviewed periodically to ensure it remains relevant to the organisation.	The accountable manager is familiar with the contents of the safety policy
SUITABLE - The safety policy is easy to read. The content is applicable to the organisation.			
<b>How/what to Assess</b>			
Check whether the Safety Policy is endorsed by the Accountable Manager.			
Check whether the policy is reviewed periodically for content and currency.			
Check whether it meets ICAO and local requirements:			
Interview staff to determine to what extent the safety policy is known, how readable & understandable it is.			
1.1.2	The safety policy includes a clear statement about the provision of the necessary resources for the implementation of the safety policy.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	The safety policy includes a statement to provide appropriate resources.	The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.	The organisation is reviewing and taking action to address any forecasted shortfalls in resources.
SUITABLE - There is a process in place for assessing resources and addressing any shortfalls.			
<b>How/what to Assess</b>			
Review available resources including personnel, equipment and financial.			
Check whether sufficient and competent personnel are available.			
Review planned resources vs actual resources.			



1.13	The safety policy has been communicated, with visible endorsement throughout the organization.		
	PRESENT	OPERATIONAL	EFFECTIVE
	There is a means in place for the communication of the safety policy.	The safety policy is communicated to all personnel.	People across the organisation are familiar with the policy and can describe their obligations in respect of the safety policy.
SUITABLE - The safety policy is clearly visible to all staff at all operational centers. The safety policy is understandable.			
<b>How/what to Assess</b>			
Review how safety policy is communicated.			
Check whether the Safety policy is clearly visible.			
Question managers and staff regarding knowledge of the safety policy.			
1.14	The safety policy actively encourages safety reporting. It has clearly indicated which types of behaviors are unacceptable related to the ATS provider’s activities and include the circumstances under which disciplinary action would not apply.		
	PRESENT	OPERATIONAL	EFFECTIVE
	A Just Culture Policy and principles have been defined.	There is evidence of the Just Culture policy and supporting principles being applied and promoted to staff.	The Just Culture policy is applied in a fair and consistent manner and people trust the policy. There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff and staff representatives.
SUITABLE - The just culture policy clearly identifies acceptable and unacceptable behaviours. The principles ensure that the policy can be applied consistently across the whole organisation. The just culture policy and principles are understandable and clearly visible.			
<b>How/what to Assess</b>			
Evidence of when the just culture principles have been applied following an event.			
Evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual.			
Review how the organisation is monitoring reporting rates.			
The number of aviation safety reports appropriate to the activities.			
Safety Reports include the reporter’s own errors and events they are involved in (events where no one was watching).			
Feedback on just culture from staff safety culture surveys.			
Talk to staff to check they are aware of the just culture policy and principles			
1.1.5	The safety policy has reflected organizational commitment regarding safety, including the promotion of a positive safety culture.		
	PRESENT	OPERATIONAL	EFFECTIVE

The management commitment to safety is documented within the safety policy.	The accountable manager and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system.	Decision making, actions and behaviors reflect a positive safety culture and there is good safety leadership that demonstrates commitment to the safety policy.
<b>How/what to Assess</b>		
Check whether senior Managers are familiar with the key elements of the safety policy.		
Evidence of senior management participation in safety meetings, training, conferences etc.		
Feedback from safety culture surveys.		
Relationship with CAA and other stakeholders.		
1.1.6	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organisation.	
<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organisation.	Safety objectives are relevant to the organisation and are being regularly reviewed and are communicated throughout the organisation.	Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met.
SUITABLE - Safety Objectives are relevant to the organisation and its activities. Safety objectives are understandable and clearly visible. Safety objectives are aligned with the SSP.		
<b>How/what to Assess</b>		
Assess whether the safety objectives are appropriate and relevant (whether they have addressed the State Identified High risk categories of aircraft Accidents)		
Objectives are defined that will lead to an improvement in processes, outcomes and the development of a positive safety culture.		
Assess how safety objectives are communicated throughout the organisation.		
Safety objectives are being measured to monitor achievement through SPIs.		
Whether the Safety objectives have considered State Safety objectives of the SSP.		
<b>1.2</b>	<b>Safety Accountability &amp; Responsibilities</b>	
1.2.1	The ATS provider has identified the accountable Manager who is accountable on behalf of the organization, for the implementation and maintenance of an effective SMS.	
<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
An accountable manager has been appointed with full responsibility and ultimate accountability for the SMS.	The accountable manager ensures that the SMS is properly resourced, implemented and maintained and has the authority to stop the operation if there is an unacceptable level of safety risk.	The accountable manager ensures that the performance of the SMS is being monitored, reviewed and improved.
SUITABLE – The Accountable Manager has control of Recourses.		
<b>How/what to Assess</b>		
Evidence that the accountable manager has the authority to provide sufficient resources for relevant safety improvements.		
Evidence of decision making on risk acceptability.		
Review SMS activities are being carried out in a timely manner and the SMS is sufficiently resourced.		

Evidence of activities being stopped due to unacceptable level of safety risk.			
1.2.2	Safety accountabilities, authorities and responsibilities are defined and documented throughout the organisation and staff understand their own responsibilities.		
	PRESENT	OPERATIONAL	EFFECTIVE
	The safety accountability, authorities and responsibilities are clearly defined and documented.	Everyone in the organisation is aware of and fulfil their safety responsibilities, authorities and accountabilities and encouraged to contribute to the SMS.	The accountable manager and the senior management team are aware of the risks faced by the organisation and safety management system principles exist throughout the organisation so that safety is part of the everyday operations.
SUITABLE – Individuals have access to their accountability, authorities and responsibilities (for example, through job descriptions or organisational charts)			
<b>How/what to Assess</b>			
Question managers and staff regarding their roles and responsibilities.			
Confirm senior managers are aware of the organisation’s safety performance and its most significant risks.			
Evidence of managers having safety related performance targets.			
Look for active participation of the management team in the SMS.			
Evidence of appropriate risk mitigation, action and ownership.			
Levels of Management authorized to make decisions on risk acceptance are defined.			
1.3	<b>Appointment of Key Safety Personnel</b>		
1.3.1	A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the Accountable Manager. Sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion are available.		
	PRESENT	OPERATIONAL	EFFECTIVE
	A safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the Accountable Manager.	The safety manager has implemented and is maintaining the SMS. The safety manager is in regular communication with the Accountable Manager and escalates safety issues when appropriate. The safety manager is accessible to staff in the organisation.	The safety manager is competent to manage the SMS and identifies improvements in a timely manner. There is a close working relationship with the Accountable Manager and the safety manager is considered a trusted advisor and given appropriate status in the organisation.
SUITABLE - The safety manager is competent. Sufficient time and resources are allocated to maintain the SMS. <b>(Guidance for evaluating the competency of the Safety Manager is given in Attachment G)</b>			
<b>How/what to Assess</b>			
Review safety manager role & responsibilities.			
Review the training that the safety manager has received.			
Review how the safety manager gets access to internal and external safety information.			
Review how the safety manager communicates and engages with operational staff and senior management.			
Review the safety manager’s workload/allocated time to fulfil the responsibilities.			
Check there are sufficient resources for SMS activities such as safety investigation, analysis, auditing, safety meeting attendance, and promotion.			

Review of safety report action and closure timescales.			
Interviews with safety manager.			
Check for any conflicts of interest and that they have been identified and managed.			
1.3.2	The organisation has established a safety committee that discuss and address safety risks and mitigation actions which includes the Senior Management and operational ATCOs.		
	PRESENT	OPERATIONAL	EFFECTIVE
	The organisation has established a safety committee. Terms & References are defined.	There is evidence of meetings taking place detailing the attendance, discussions, and actions. The safety committee monitor the effectiveness of the SMS and compliance monitoring function by reviewing there are sufficient resources. Actions are being monitored and appropriate safety objectives and SPIs have been established.	Safety committees include key stakeholders. The outcomes of the meetings are documented and communicated and any actions are agreed, taken, and followed up in a timely manner. The safety performance and safety objectives are reviewed and actioned as appropriate.
SUITABLE - Safety committee structure and frequency support the SMS functions across the organisation. The scope of the safety committee includes safety risks and compliance issues. The attendance of the highest-level safety committee includes at least the Heads of the Air Traffic Service Provider (operations).			
<b>How/what to Assess</b>			
Review safety committee and meeting structure and Terms of Reference.			
Review meeting attendance levels.			
Review meeting records and actions.			
Check whether the outcomes are communicated to the rest of the organisation.			
Evidence of safety objectives, safety performance, and compliance are being reviewed and discussed at meetings.			
Whether senior management is aware of the most significant risks faced by the organisation and the overall safety performance of the organisation.			
1.4	<b>Coordination of Emergency Response Planning</b>		
1.4.1	An appropriate Emergency Response Plan (ERP) that defines the procedures, roles, responsibilities, and actions of the operational personnel is available. The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.		
	PRESENT	OPERATIONAL	EFFECTIVE
	A coordinated ERP has been developed and defined.	The ERP is reviewed and tested to make sure it remains up to date. There is evidence of coordination with other Divisions of AASL as appropriate.	The results of the ERP review and testing are assessed and actioned to improve its effectiveness.
SUITABLE - Key personnel have easy access to the relevant parts of the ERP at all times. The ERP defines the procedures, roles, responsibilities, and actions of other divisions of AASL and their key personnel. The frequency and methods for testing the ERP are defined. The coordination with other organizations (including non-aviation organizations) is defined with appropriate means.			
<b>How/what to Assess</b>			
Review emergency response plan.			
Review how ERP is distributed and where copies are held.			

Review how coordination with other organizations is planned.			
Interview ATCOs and check whether they are aware of the ERP.			
Check that different types of foreseeable emergencies have been considered.			
Review when the plan was last reviewed and tested, and actions taken.			
<b>1.5</b>	<b>SMS Documentation</b>		
1.5.1	The ATS provider has developed and maintained an SMS manual that describes his: (a) safety policy and objectives; (b) SMS requirements; (c) SMS processes and procedures; (d) Accountability, responsibilities and authorities for SMS processes and procedures.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes.	Changes to the SMS documentation are managed Everyone has easy access to, familiar with and follow the relevant parts of the SMS documentation.	SMS Documentation is proactively reviewed for improvement.
SUITABLE - SMS documentation is readily available to all relevant personnel. SMS documentation is comprehensible.			
<b>How/what to Assess</b>			
Review the SMS Documentation and amendment procedures.			
Check for cross references to other documents and procedures.			
Check availability of SMS documentation to all staff.			
Check staff know where to find safety related documentation including procedures appropriate to their role.			
1.5.2	The ATS provider has developed and maintained SMS operational records as part of his SMS documentation. (Operational records which includes in the SMS Documentation is given in the SMM Checklist – Attachment A)		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	The SMS documentation defines the SMS outputs and which records of SMS activities will be stored, Records to be stored, storage period and location are identified.	SMS activities are appropriately stored and found to be complete and consistent with appropriate data protection and confidentiality control.	SMS records are routinely used as inputs for safety management related tasks and continuous improvement of the SMS
SUITABLE - SMS documentation is consistent with other internal management systems and is representative of the actual processes in place. Data protection and confidentiality rules have been defined.			
<b>How/what to Assess</b>			
Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc.)			
Check how safety records are stored and version controlled.			
Data protection and confidentiality rules have been defined and are consistently applied.			
Check appropriate staff are aware of the records control processes and procedures.			
1.5.3	ATS Provider's SMS documentation (SMM and other SMS related records) are regularly reviewed and updated with appropriate version control in place.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>



Frequency for regular SMM reviewing is defined.	Evidence available to show the reviewing and updating process has taken place as defined.	SMS documentation and amendment procedures is effectively continuing with the intervention of senior Management. The process of distributing the latest documents and removing the obsolete former versions are effectively conducted.	
SUITABLE – Frequency defined for SMM review and criteria for updating other peripheral documentation are acceptable.			
<b>How/what to Assess</b>			
Review the SMS documentation and amendment procedures.			
Check for cross references to other documents and procedures.			
Check availability of SMS documentation to all staff.			
Check the staff know where to find safety-related documentation including procedures appropriate to their role.			
<b>2</b>	<b>Safety Risk Management</b>		
<b>2.1</b>	<b>Hazard Identification</b>		
2.1.1	<p>(a) There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).</p> <p>(b) The hazard identification process identifies human performance related hazards.</p> <p>(c) There is a process in place to analyze safety data and safety information to look for trends and gain useable management information.</p> <p>(d) Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).</p>		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	There is a process that defines how hazards are identified through reactive and proactive methods. The triggers for safety investigations are identified.	The hazards are identified and documented. Human and organisational factors related to hazards are being identified. Safety investigations are carried out and recorded.	The organisation has a register of the hazards that is maintained and reviewed to ensure it remains up to date. It is continuously and proactively identifying hazards related to its activities and operational environment and involves all key personnel and appropriate stakeholders. Hazards are continuously assessed in a systematic and timely manner.
SUITABLE - Multiple sources of hazards identification (internal and external) are considered and reviewed, as appropriate. The data analysis process enables gaining useable safety information. Hazards are documented in an easy-to-understand format. The level of sign-off for safety investigations is defined and adequate to the level of risk.			
<b>How/what to Assess</b>			
Review how hazards are identified, analyzed and recorded.			
Review structure and layout of hazard log.			

Consider hazards related to possible accident scenarios/ human and organisational factors.			
Review what internal and external sources of hazards are considered such as: Safety reports / audits / safety surveys / investigations / inspections / brainstorming / Management of Change activities etc.			
Identify Human and organisational contributing factors based on Investigations of safety occurrences.			
2.1.2	There is a reporting system to capture errors, hazards and near misses that is simple to use and accessible to all staff, which provides appropriate feedback to the reporter and where appropriate, to the rest of the organisation.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. Responsibilities have been defined. The process identifies how reports are actioned and timescales specified.	The reporting system is simple to use, being used and accessible to all personnel. There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation. Reports are evaluated, processed, analyzed and stored. People are aware and fulfil their responsibilities in respect of the reporting system Reports are processed within the defined timescales.	There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner Personnel express confidence and trust in the organizations reporting policy and process. The reporting system is being used to make better management decision making and continuous improvement.
SUITABLE - The reporting system is accessible and easy to use by all personnel. Responsibilities, timelines, and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.			
<b>How/what to Assess</b>			
Review the reporting system for access and ease of use.			
Check staff trust the reporting system, are familiar with it and know what should be reported.			
Review how data protection and confidentiality is achieved.			
Evidence of feedback to reporter, the organisation and third parties.			
Assess volume and quality of reports including self-reporting.			
Review report closure rates.			
Review how reports are analyzed.			
Confirm responsibilities with regards to occurrence analysis, storage and follow-up clearly defined.			
Check relevant staff are aware of which occurrences should be mandatory.			
Assess how senior management engage with the outputs of the reporting system.			
<b>2.2</b>	<b>Risk Assessment &amp; Mitigation</b>		
2.2.1	(a) The ATS provider has developed 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). (b) There is a criterion for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>



There is a process for the analysis and assessment of safety risks. The level of risk the organisation is willing to accept is defined.	Risk analysis and assessments are carried out in a consistent manner based on the defined process. The defined risk acceptability is being applied.	Risk analysis and assessments are reviewed for consistency and to identify improvements in the processes. Risk assessments are regularly reviewed to ensure they remain current. Risk acceptability criteria are used routinely and applied in management decision making processes and are regularly reviewed.
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SUITABLE - Severity and likelihood criteria are clearly defined and fit the service provider’s actual circumstances. The risk matrix and acceptability criteria are clearly defined and usable. Responsibilities and timelines for accepting the risk are clearly defined.

**How/what to Assess**

Review risk classification scheme and procedures.
Severity and likelihood criteria defined (or alternative methodology described).
Review layout of risk register.
Sample an identified hazard and how it is processed and documented.
Review what triggers a risk assessment.
Check any assumptions made and whether they are reviewed.
Review how issues are classified when there is insufficient quantitative data available.
Process defines who can accept what level of risk.
Risk register is being reviewed and monitored by the appropriate safety committee(s)
Evidence of risk acceptability being routinely applied in decision making processes.

2.2.2	The ATS provider has a process in place to make decisions and apply appropriate and effective risk controls. Senior management has visibility of medium and high risk hazards and their mitigation and controls.
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PRESENT	OPERATIONAL	EFFECTIVE
The organisation has a process in place to decide and apply the appropriate risk controls.	Appropriate risk controls are being applied to reduce the risk to an acceptable level including timelines and allocation of responsibilities. Human Factors are considered as part of the development of risk controls.	Risk controls are practical and sustainable and applied in a timely manner and do not create additional risks. Risk Controls take Human Factors into consideration.

SUITABLE - Responsibilities and timelines for determining and accepting the risk controls are defined.

**How/ what to Assess**

Risk controls consider human and organisational factors.
Evidence of risk controls being actioned and followed up.
Aggregate risk is being considered.
Check whether the risk controls have reduced the residual risk.
Risk controls clearly identified.
Check whether new risk controls do not create additional risks.
Check whether the acceptability of the risk is made at the right management level.

<b>3</b>	<b>Safety Assurance</b>		
<b>3.1</b>	<b>Safety Performance Monitoring and Measurement</b>		
<b>3.1.1</b>	The ATS provider's Risk mitigations and controls are being verified to confirm they are working and effective.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	There is a process in place to assess whether the risk controls are applied and effective.	Risk controls are being verified to assess whether they are applied and effective.	Risk controls are assessed and actions taken to ensure they are effective and delivering a safe service. The reasons for ineffectiveness of risk controls are investigated.
SUITABLE - Responsibilities, methods and timelines for assessing risk controls are defined.			
<b>How/what to Assess</b>			
Evidence of risk controls being assessed for effectiveness (ex. audits, surveys, reviews).			
Information from safety assurance and compliance monitoring activities feeds back into the safety risk management process.			
Review where risk controls have been changed as a result of the assessment.			
<b>3.1.2</b>	ATS Provider's Safety performance indicators (SPIs) which link with the safety objectives, have been defined, promulgated and are being monitored and analyzed for trends.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	There is a process in place on how the safety performance of the organisation will be measured including safety performance indicators and targets linked to the organisation's safety objectives.	The safety performance of the organisation is being measured and the SPIs are being continuously monitored and analyzed for trends.	SPIs are demonstrating the safety performance of the organisation and the effectiveness of risk controls based on reliable data. SPIs are reviewed and regularly updated to ensure they remain relevant. Where the SPIs indicate a risk control not being effective appropriate action is taken.
SUITABLE - SPIs are focused on what is important rather than what is easy to measure. Reliability of data sources is considered in the design of SPIs. SPIs are linked to the State identified risks and safety objectives. Frequency and responsibility for the trend monitoring of SPIs are appropriate. Realistic targets have been set. State SPIs are considered, as applicable.			
<b>How/what to Assess</b>			
Evidence that SPIs are based on reliable sources of data.			
Evidence of when Safety performance indicators were last reviewed.			
The defined SPIs and targets are appropriate to the organisation's activities, risks and safety objectives.			
SPIs are focused on what is important rather than what is easy to measure.			
Consideration of any State SPIs.			
Review whether any action has been taken when an SPI is indicating a negative trend.			
Evidence that results of safety performance monitoring are discussed at senior management level.			
Evidence of feedback provided to the accountable manager.			
<b>Guidance for evaluating the Safety Performance Indicators (SPIs) is given in Appendix G</b>			

3.1.3	<p>(a) Responsibilities and accountability for ensuring compliance with safety regulations are defined and applicable requirements are clearly identified in organisation manuals and procedures.</p> <p>(b) ATS Provider has developed an internal audit programme including details of the schedule and procedures for audits, reporting, follow up and records.</p> <p>(c) Responsibilities and accountabilities for the internal audit process are defined and there is a person or group of persons with responsibilities for internal audits with direct access to the Accountable Manager.</p>		
	PRESENT	OPERATIONAL	EFFECTIVE
	Responsibilities and accountabilities for compliance are defined. The organisation has an internal audit programme and procedures for audits, reporting and records. A person or group of persons with responsibilities for internal audits has been identified and they have direct access to the Accountable Manager.	The compliance monitoring programme is being followed and regularly reviewed. All staff are aware of their responsibilities and accountabilities for compliance and to follow processes and procedures. Internal and external audit results are reported to the senior management & Accountable Manager.	Individuals are proactively identifying and reporting potential non-compliances. The Accountable Manager and senior management actively seek feedback on the status of internal and external audit activities.
SUITABLE - The internal audit programme covers all applicable regulations and includes details of the schedule of audits. Independence of the internal audit function is achieved.			
<b>How/what to Assess</b>			
Review how senior management ensure the organisation remains in compliance.			
Review job descriptions for compliance responsibilities.			
Evidence that senior management take action on internal and external audit results.			
Review how independence of the internal audit function is achieved.			
Assess the contents of the programme against any regulatory requirements.			
3.1.4	Appropriate analysis of causal factors and corrective/preventive actions are taken after an audit.		
	PRESENT	OPERATIONAL	EFFECTIVE
	The process for the identification and follow-up of corrective/preventive actions are defined. The interface between internal audits and the safety risk management processes is described.	The identification and follow-up of corrective/preventive actions is carried out in accordance with the procedures including causal analysis to address root causes. The status of corrective/preventive actions is regularly communicated to relevant senior management and staff.	The organisation investigates the systemic causes and contributing factors of findings. The organisation proactively reviews the status of corrective/preventive actions. Effectiveness of the corrective/preventive actions is verified.
SUITABLE - Responsibilities and timelines for determining, accepting and following up the corrective/preventive action are defined.			
<b>How/what to Assess</b>			
Review the methods used for causal analysis.			
Check that the method is used consistently.			
Review any repeat findings and check for actions have not been implemented or are overdue.			
Check for timely implementation of actions.			



Review senior management awareness of the status of significant findings and related corrective/preventive actions.			
Check that appropriate personnel participate in the determination of causes and contributing factors.			
Look for consistency between internal audit results and external audit results.			
Review whether causal factors are considered as potential hazards.			
<b>3.2</b>	<b>The Management of Change</b>		
3.2.1	(a) The ATS Provider has a process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes. (b) Human Factor issues have been considered as part of the change management process.		
	<b>PRESENT</b>	<b>OPERATIONAL</b>	<b>EFFECTIVE</b>
	The organisation has established a management of change process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.	The management of change process is being used. It includes hazard identification and risk assessments with appropriate risk controls being put in place before the decision to make the change is taken. Human Factors issues have been considered and being addressed as part of the change management process.	The management of change process is used for all safety related changes including Human Factors issues and considers the accumulation of multiple changes. It is initiated in a planned, timely and consistent manner and includes follow up action that the change was implemented safely. The change is communicated to those affected. Risk control and mitigation strategies associated with changes are achieving the planned effect.
SUITABLE - Triggers for the change management process are defined. The process also considers internal changes and interfaces with other organizations/departments. The process is integrated with the risk management and safety assurance processes. Responsibilities and timelines are defined.			
<b>How/what to Assess</b>			
Key stakeholders are involved in the process.			
Review what triggers the process.			
Review recent changes that have been through the risk assessment process.			
Change is signed off by an appropriately authorized person.			
Transitional risks are being identified and managed.			
Review follow up actions such as whether any assumptions made have been validated.			
Review whether there is an impact on previous risk assessments and existing hazards.			
Review whether consideration is given to the accumulative effect of multiple changes.			
Evidence of Human Factors issues being addressed during changes.			
Review impact of change on training and competencies.			
Review previous changes to confirm they remain under control.			
Consider how the changes are communicated to those people impacted by the change.			
<b>Guidance for evaluating the Safety Assessments conducted by the ATS Provider for the change Management is given in Appendix C.1</b>			
<b>3.3</b>	<b>Continuous improvement of the SMS</b>		
3.3.1	The ATS Provider is continuously monitoring and assessing his SMS processes to maintain or continuously improve the overall effectiveness of the SMS.		



PRESENT		OPERATIONAL	EFFECTIVE
There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.		There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken.	The assessment of SMS effectiveness uses multiple sources of information including the safety data analysis that supports decisions for continuous improvements.
SUITABLE - The SMS is periodically reviewed, and the review is supported by safety information and safety assurance activities. Senior management and different divisions of AASL are involved. The decision making is data informed. External information is considered in addition to internal information.			
<b>How/what to Assess</b>			
Check what information and safety data is used for management decision making for continuous improvement.			
Evidence of Lessons learnt being incorporated into SMS and operational processes.			
Data being analyzed and results shared with Safety Committees.			
Evidence of follow up actions.			
Feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis all contribute towards continuous improvement of the SMS.			
<b>4</b>	<b>Safety Promotion</b>		
<b>4.1</b>	<b>Training &amp; Education</b>		
<b>4.1.1</b>	(a) ATS provider has developed a training programme for SMS that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities and accountabilities) and how the organisation's SMS operates.		
PRESENT		OPERATIONAL	EFFECTIVE
There is a training programme for SMS in place that includes initial and recurrent training.		The SMS training programme is delivering appropriate training to the different staff in the organisation and being delivered by competent personnel.	SMS Training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests) and is linked to the competency assessment. Training is routinely reviewed to take into consideration feedback from different sources.
SUITABLE - The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the organisation's SMS operates. Training material and methodology are adapted to the audience and include human factors. All staff requiring training are identified.			
<b>How/what to Assess</b>			
Review the SMS training programme including course content and delivery method.			
Check training records against the training programme.			
Review how the competence of the instructors is being assessed.			
Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations etc.			
Review how training is assessed for new staff and changes in position.			
Review any training evaluation.			
Ask staff about their own understanding of their role in the organisation's SMS and their safety duties.			
<b>4.2</b>	<b>Safety Communication</b>		

4.2.1	There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organisation to all personnel, as relevant.		
PRESENT	OPERATIONAL	EFFECTIVE	
There is a process to communicate safety critical information.	Safety critical information is being identified and communicated throughout the organisation to all personnel, as relevant, including contracted organizations and personnel where appropriate.	The organization analyses and communicates safety critical information effectively through a variety of methods as appropriate to maximize it being understood. Safety communication is assessed to determine how it is being used and understood and to improve it where appropriate.	
SUITABLE - The process determined what, when, and how safety information needs to be communicated. The means of communication are adapted to the audience and the significance of what is being communicated.			
<b>How/what to Assess</b>			
Review the sources of information used for safety communication.			
Review the methods used to communicate safety information e.g. meetings, presentations, emails, website access, newsletters, bulletins, posters etc.			
Assess whether the means of communication is appropriate.			
Significant events, changes and investigation outcomes are being communicated.			
Check accessibility to safety information.			
Ask staff about any recent safety communication.			
Review whether information from occurrences are communicated to all relevant personnel.			



## Appendix B.2: Checklist for the Initial Acceptance & Renewal of ATS Provider SMS

Safety Management System of Air Traffic Service Provider							
Checklist for Initial Acceptance & Renewal							
<b>1</b>	<b>Safety Policy and Objectives</b>						
<b>1.1</b>	<b>Management Commitment</b>						
1.1.1	Is there a safety policy, signed by the Accountable Manager which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.1.2	Does the safety policy include a clear statement about the provision of the necessary resources for the implementation of the safety policy?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.1.3	Has the safety policy been communicated, with visible endorsement throughout the organization?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.1.4	Does the safety policy actively encourages safety reporting? Does it clearly indicate which types of behaviors are unacceptable related to the ATS provider's activities and include the circumstances under which disciplinary action would not apply?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.1.5	Does the Safety Policy reflect organizational commitment regarding safety, including the promotion of a positive safety culture?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.1.6	Have Safety objectives been established that are consistent with the safety policy and communicated throughout the organization?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective



1.2 Safety Accountability & Responsibilities							
1.2.1	Has the ATS provider identified an accountable Manager who is accountable on behalf of the organization, for the implementation and maintenance of an effective SMS?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.2.2	Are safety accountabilities, authorities and responsibilities defined and documented throughout the organization and staff understand their own responsibilities?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.3 Appointment of Key Safety Personnel							
1.3.1	Has a competent Safety Manager, been appointed with a direct reporting line to the Accountable Manager? Are sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion available?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.3.2	Has the organization established a safety committee that discuss and address safety risks and mitigation actions which includes the Senior Management and operational ATCOs?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.4 Coordination of Emergency Response Planning							
1.4.1	Is there an appropriate Emergency Response Plan (ERP) that defines the procedures, roles, responsibilities and actions of the operational personnel available? Is the ERP periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective



1.5 SMS Documentation							
1.5.1	Has the ATS provider developed and maintained an SMS manual that describes his: (a) safety policy and objectives; (b) SMS requirements; (c) SMS processes and procedures; (d) Accountability, responsibilities and authorities for SMS processes and procedures.	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.5.2	Has the ATS provider developed and maintained SMS operational records as part of his SMS documentation. (Operational records which includes in the SMS Documentation is given in the SMM Checklist – Attachment A)	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
1.5.3	Are ATS Provider’s SMS documentation (SMM and other SMS related records) regularly reviewed and updated with appropriate version control in place?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
2 Safety Risk Management							
2.1 Hazard Identification							
2.1.1	(a) Is there a process to identify hazards? (b) Does the hazard identification process identify human performance related hazards? (c) Is there a process in place to analyze safety data and safety information to look for trends? (d) Are safety investigations carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened)?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective



2.1.2	Is there a reporting system to capture errors, hazards that is simple to use and accessible to all staff, which provides appropriate feedback to the reporter and where appropriate, to the rest of the organization?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
<b>2.2 Risk Assessment &amp; Mitigation</b>							
2.2.1	(a) Is there a process to analyze the risks associated with identified hazards in terms of likelihood and severity (or alternative methodology)? (b) Is there a criteria for evaluating the level of risks the organization is willing to accept and for the risk assessments to be appropriately justified?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
2.2.2	Has the ATS provider established processes to make decisions and apply appropriate and effective risk controls? Does the Senior management have visibility of medium and high risk hazards and their mitigation and controls?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
<b>3 Safety Assurance</b>							
<b>3.1 Safety Performance Monitoring and Measurement</b>							
3.1.1	Are the ATS provider's Risk mitigations and controls being verified to confirm they are working and effective?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
3.1.2	Have Safety performance indicators (SPIs) of the ATS Provider's which link with the safety objectives been defined, promulgated and are being monitored and analyzed for trends?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective



3.1.3	(a) Has the ATS Provider developed an internal audit programme including details of the schedule and procedures for audits, reporting, follow up and records?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
	(b) Are the responsibilities and accountabilities for the internal audit process defined and is there a person or group of persons with responsibilities for internal audits with direct access to the Accountable Manager?						
3.1.4	Have appropriate analysis of causal factors and corrective/preventive actions been taken after an audit?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
<b>3.2</b>	<b>The Management of Change</b>						
3.2.1	(a) Has there any process established by the ATS Provider to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
	(b) Have Human Factor issues been considered as part of the change management process?						
<b>3.3</b>	<b>Continuous improvement of the SMS</b>						
3.3.1	Is the ATS Provider continuously monitoring and assessing his SMS processes to maintain or continuously improve the overall effectiveness of the SMS?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective
<b>4</b>	<b>Safety Promotion</b>						
<b>4.1</b>	<b>Training &amp; Education</b>						
4.1.1	(a) Has the ATS provider developed a training programme for SMS that includes initial & recurrent training?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective



	Does this training cover individual safety duties (including roles, responsibilities and accountabilities) and how the organization's SMS operates?						
4.2	<b>Safety Communication</b>						
4.2.1	Is there a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organization to all personnel, as relevant?	SMM Ref.	Not Present & not Planned	Not Present but being worked On	Present	Present & operational	Present and Effective

## Appendix C.1 – Guidance for evaluating the Safety Assessments conducted by the ATS Provider for Change Management.

C.1 Upon receipt of a written request from the Head of Air Navigation Services, AASL for the approval of Safety Assessment conducted for a management of change, the Inspectors shall scrutinize the Safety Assessment based on the following main areas:

(a) Definition of a safety concern and identification of the regulatory compliance.

- (i) Any perceived safety concern shall have been described in detail, including timescales, location, stakeholders involved or affected as well as their potential influence on specific processes, procedures, systems and operations.
- (ii) An initial evaluation of compliance with the appropriate provisions in the regulations shall have been documented.

(b) Hazard identification and analysis.

- (i) Hazards related to infrastructure, systems or operational procedures shall have been identified using methods such as brain-storming sessions, expert opinions, industry knowledge, experience and operational judgment.
- (ii) All potential outcomes or consequences for each identified hazard shall have been identified.

(c) Risk assessment and development of mitigation measures.

- (i) The risk for all outcomes or the consequences shall have been evaluated according to the ICAO safety Risk Assessment Matrix and assigned a Risk Index in terms of probability and severity.
- (ii) The classification of the severity of an event should be based on a credible case, which is expected to be possible under reasonable conditions or the probable course of events, but not on a worst case scenario, which is expected under extreme additional and improbable conditions.
- (iii) The Safety Risk description (whether Intolerable, Tolerable or Acceptable) for each consequence associated with a Safety Risk Index shall have been determined based on the ICAO Safety Risk Tolerable Table given in Doc.9859.
- (iv) The mitigation measures, operational procedures and operating restrictions that might be needed to ensure safe operations shall have been determined and documented.



(d) Development of an implementation/ action plan for the mitigation measures and conclusion of the assessment.

- (i) An implementation plan shall have been provided including mitigation actions, time frames and responsibilities for mitigation measures.
- (ii) This implementation plan shall also include control measures to monitor the progress and the effectiveness of the mitigation measures.

(e) Development of Assurance Plan

An assurance plan shall have been developed determining what follow-up action is needed.

C.2 When granting approvals for the Safety Assessments ensure,

- (i) Appropriate coordination has been performed between the concerned stakeholders
- (ii) The risks have been properly identified and assessed, based on physical and Human Factors studies
- (iii) the proposed mitigation measures adequately address the risk
- (iv) The time frames for planned implementation are acceptable.

C.3 Upon completion of the analysis of the safety assessment,

- (i) either grant formal approval for safety assessment to the Air Traffic Service Provider; or
- (ii) If some risks have been underestimated or have not been identified, coordinate with the ATSP to reach an agreement on safety acceptance
- (iii) if no agreement can be reached, rejects the proposal for possible resubmission by the ATSP; or
- (iv) May choose to impose conditional measures to ensure safety.

C.4 Ensure the mitigation or conditional measures are properly implemented and fulfil their purpose through subsequent regular surveillance activities.

C.5 Ensures that safety recommendation and mitigation actions are communicated among the operational ATCOs.

C.6 Ensures that all safety-relevant conclusions of the safety assessment are adequately communicated through AIP, ATIS (Automatic Terminal Information Service), NOTAM or any other acceptable means of dissemination.

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## Appendix C.2: Evaluation of Safety Assessments conducted by the ATSP in respect of Change Management.

<b>Safety Management System of ATS Provider</b>		
<b>Checklist for evaluating the Safety Assessments conducted for Change Management</b>		
<b>1 RISK ASSESSMENT TEAM COMPOSITION</b>		
		Acceptable/ Not Acceptable
Objective	Ensure the Safety Assessment has been conducted by adequately qualified (technically + SMS trained) personnel and key stakeholders who actively participate in the change management process are involved.	
Method	Submitted documentation shall clearly mention the team members and Senior Managers involved in the Safety Risk Assessment.	
<b>2 UNDERSTAND &amp; DEFINE THE CHANGE</b>		
		Acceptable/ Not Acceptable
Objective	Ensure that the ATSP understands the change he is proposing and the direct or indirect impact of the change that may affect the safety levels of the operations.	
Method	Submitted documentation shall clearly identify what type of change (any change relating to projects, operational procedures, ATM system, hardware/ software or training which will affect the performance, functional or technical specification of a system or services in ANS) and why it is being Implemented.	
<b>3 UNDERSTAND &amp; DEFINE WHO AND WHAT IT WILL AFFECT</b>		
		Acceptable/ Not Acceptable
Objective	Ensure the ATSP understands who should be involved in the change, what other areas of operations (internal/ external) that are affected by the proposed change, will the proposed change affect the risk controls already in place to mitigate other risks.	
Method	Submitted documentation shall clearly define a system description and other areas of operations that are affected by the proposal. It shall identify the individuals within the organization, other departments, external people or organizations, equipment, systems and processes that may be impacted.  Submitted documentation shall demonstrate that the ATSP has considered any direct or indirect impacts the proposed variations will have on those operations and other services.	
<b>4 ASSESSING HAZARD AND CONSEQUENCE IDENTIFICATION</b>		



		Acceptable/ Not Acceptable	Comment
Objective	Ensure that a hazard identification process has been carried out with regard to the proposed change and the consequences of the hazards have been documented.		
Method	Review the methods used to identify and assess the safety hazards (both direct and existing) and their consequences for the proposed variation.  Review any other direct or indirect hazards identified in relation to the change and their consequences and risks introduced with the mitigation actions to control other risks.		
<b>5 EVALUATING THE WAY THE RISKS HAVE BEEN ASSESSED</b>			
		Acceptable/ Not Acceptable	Comment
Objective	Ensure that the level of risks associated with the proposed change are acceptable.		
Method	Examine the record of the Risk Assessment.  Assess if the Risk Assessment appears reasonable both before and after mitigations have been applied using personal experience and judgment.  Evidence is provided that existing safety controls and mitigations are effective.  Confirm that an appropriately authorized person has accepted the revised risk level and this has been recorded.		
<b>6 DEVELOPMENT OF AN ACTION PLAN</b>			
		Acceptable/ Not Acceptable	Comment
Objective	Ensure an action plan has been developed defining the responsibility and the timelines.		
Method	There should be a clear plan describing how the change will be implemented and who will be responsible for which actions, and the sequencing and scheduling of each task.		
<b>7 ASSESSING THE RISK MITIGATION MEASURES</b>			
		Acceptable/ Not Acceptable	Comment
Objective	Ensure that the mitigations identified are sufficient to manage the safety risks expected when operating up to the fullest extent with the proposed change.		
Method	Determine who was involved in the process of identifying and establishing the mitigations to ensure that this was conducted at the correct level within the organizational structure of the ATSP and with the involvement of the relevant people.		



	<p>Carefully examine the proposed mitigations of the ATSP proposing the change and of other Service Providers in similar situations to establish if the mitigations are appropriate and likely to be realistic.</p> <p>Review the ATSP's processes and procedures to evaluate the appropriateness of their plan for risk management, and training.</p> <p>Consider other aspects of human performance that may be affected by the mitigations.</p>		
<b>8 ASSESSING THE CLAIMS, ARGUMENTS AND EVIDENCE MADE IN THE RISK ASSESSMENT ARE VALID</b>			
		Acceptable/ Not Acceptable	Comment
Objective	Ensure that the claims and arguments are robust and supporting evidence is accurate and correctly interpreted.		
Method	<p>Review the safety arguments to confirm that a justification for the continuation of an acceptable level of safety performance has been demonstrated.</p> <p>Safety arguments are supported by best practices.</p> <p>Risks introduced with the implementation of mitigation actions to control other risks (if any) are addressed.</p> <p>Clear conclusions are included in the risk assessment.</p> <p>Proposed mitigations have considered all applicable legal requirements (International, National, Safety and social). Ensure they have been captured and addressed.</p>		
<b>9 ASSURANCE PLAN</b>			
		Acceptable/ Not Acceptable	Comment
Objective	To have assessing plans for continued monitoring of the safety impact of the change ensuring that the hazards associated with the change have been correctly identified and the mitigations are performing as expected.		
Method	<p>The ATSP has processes in place and demonstrated the capability to allow continued monitoring through existing SMS activities.</p> <p>Specific safety performance indicators related to the change are established.</p> <p>A review process is identified to assess the impact of organizational changes, Service Provider changes (if any) to the operating environment.</p>		
<b>10 SIGNING OFF ON THE CHANGE</b>			



		Acceptable/ Not Acceptable	Comment
Objective	Ensure the change is safe to implement.		
Method	The individual with overall responsibility and authority for implementing the change should have been signed the change plan.		
<b>11 GENERAL INFORMATION</b>			
What peripheral evidence (documentation) was reviewed?			
Any safety concerns that were not acceptably addressed?			
The period of time that the variation remains applicable (if on temporary basis)?			
<b>12 CONCLUSION</b>			
Is the Safety Risk Assessment on the proposed management of change process is acceptable and request for the change is approved?			
The rationale for the decision to accept or reject the variation.			

## Appendix C.3: Checklist for Evaluation of Safety Assessments conducted by the ATSP in respect of Change Management.

Safety Management System of ATS Provider Checklist for evaluating the Safety Assessments conducted for Change Management		
Safety Assessment		
Safety Assessment Ref.		
<b>1 RISK ASSESSMENT TEAM COMPOSITION</b>		
	Acceptable/ Not Acceptable	Comment
1.1	Has the Safety Assessment been conducted by adequately qualified (technically + SMS trained) personnel?	
1.2	Does the submitted documentation clearly mention the team members and Senior Managers involved in the Safety Risk Assessment?	
1.3	Is the Safety Team comprised of key stakeholders who are involved in/ affected by the change?	
<b>2 UNDERSTAND &amp; DEFINE THE CHANGE</b>		
	Acceptable/ Not Acceptable	Comment
2.1	Does the submitted document clearly identify what type of change is applied and why it is being Implemented?	
<b>3 UNDERSTAND &amp; DEFINE WHO AND WHAT IT WILL AFFECT</b>		
	Acceptable/ Not Acceptable	Comment
3.1	Does the submitted document clearly define a system description and other areas of operations that are affected by the proposal?	
3.2	Does the submitted document demonstrate how the ATSP has considered direct and indirect impacts the proposed variations will have on those operations and other services?	
<b>4 ASSESSING HAZARD AND CONSEQUENCE IDENTIFICATION</b>		
	Acceptable/ Not Acceptable	Comment
4.1	Have the consequences of hazards of the proposed change been documented?	
4.2	Have any other direct or indirect hazards been identified in relation to the mitigation actions proposed to control other risks?	
<b>5 EVALUATING THE WAY THE RISKS HAVE BEEN ASSESSED</b>		
	Acceptable/ Not Acceptable	Comment
5.1	Is the process of Risk Assessment acceptable?	



5.2	Has the revised risk levels been accepted by an appropriately authorized person?		
<b>6 DEVELOPMENT OF AN ACTION PLAN</b>			
		Acceptable/ Not Acceptable	Comment
6.1	Has an action plan been developed defining who will be responsible for which actions and the timelines?		
<b>7 ASSESSING THE RISK MITIGATION MEASURES</b>			
		Acceptable/ Not Acceptable	Comment
7.1	Are the mitigations identified sufficient to manage the safety risks expected when operating up to the fullest extent with the proposed change.		
<b>8 ASSESSING THE CLAIMS, ARGUMENTS AND EVIDENCE MADE IN THE RISK ASSESSMENT ARE VALID</b>			
		Acceptable/ Not Acceptable	Comment
8.1	Are safety arguments (if any) for the continuation of an acceptable level of safety performance, well demonstrated?		
8.2	Has the risk assessment been supported by clear conclusions?		
8.3	Have the proposed mitigations been considered all applicable legal requirements (International, National, Safety and social)?		
<b>9 ASSURANCE PLAN</b>			
		Acceptable/ Not Acceptable	Comment
9.1	Does the document contain processes in place for post implementation analysis to ensure that the hazards associated with the change have been correctly identified and the mitigations are performing as expected?		
9.2	Have any safety performance indicators been established related to the change?		
<b>10 SIGNING OFF ON THE CHANGE</b>			
		Acceptable/ Not Acceptable	Comment
10.1	Has the change plan been signed by an individual with overall responsibility and authority for implementing the change?		
<b>11 GENERAL INFORMATION</b>			
What peripheral evidence (documentation) was reviewed?			
Any other safety concerns that were not sufficiently addressed?			



The period of time that the variation remains applicable (if on temporary basis)?	
<b>12 CONCLUSION</b>	
Is the Safety Risk Assessment on the proposed management of change process is acceptable and request for the change is approved?	
The rationale for the decision to accept or reject the Change	
Actioned by	
Date	

**Template of an implementation/ action Plan**

Risk Reference	Hazard	Proposed actions to Reduce the risk	Responsible office	Date of implementation

## Appendix D.1 – Guidance for use of checklist for Inspection on ATS Provider SMS (Continuous Oversight)

This section provides information on what to look for in the SMS components and elements and how to evaluate the compliance for each SMS element during continuous surveillance. Each item should be checked to see whether they are Satisfactory (S), Improvements Needed (I) or Unsatisfactory (U), Not Checked (N).

Satisfactory (S)	This item is implemented and acceptable
Improvements Needed (I)	Only parts of this item are implemented
Unsatisfactory (U)	This item is not implemented/ not adequate
Not Checked (N)	This item is not applicable and/ or not checked

This detailed description includes information on the acceptable means of compliance based on the ATS operating environment.

Form – CAA/AS/011/04			
 <b>Civil Aviation Authority of Sri Lanka</b> <b>SMS INSPECTION CHECKLIST/REPORT</b>			
<b>ATC Centre:</b>	<b>Date:</b>	<b>Time:</b>	<b>Name of Inspector(s):</b>
<b>Inspection Report Ref:</b>			<b>File Ref:</b>
Use the following abbreviations to indicate your observations and if the space is inadequate for comments use additional page with the reference number of the Area of Inspection. Recommendations are to be raised with the appropriate Ref. No according to the Area of Inspection			
<b>S – Satisfactory; U – Unsatisfactory; N – Not Checked; I – Improvements Needed</b>			
<b>SAFETY POLICY AND OBJECTIVES</b>			
Safety Policy and Objectives			
Acceptable means of compliance	There is a safety policy endorsed by the Accountable Manager and communicated to all personnel.		
	The Accountable Manager and the senior management team promote and demonstrate their commitment to the safety policy through active and visible participation in the system for safety management.		



	<p>The safety policy has been developed considering the following:</p> <ul style="list-style-type: none"> <li>✓ senior management commitment and intentions with regard to safety establishment of safety as a core value</li> <li>✓ a commitment to continuous improvement of the performance of the SMS</li> <li>✓ provision of appropriate resources</li> <li>✓ non-punitive reporting policy (Just Culture)</li> <li>✓ Recognition that compliance with procedures, standards and rules is the duty of all personnel.</li> </ul>
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**Checklist Items**

		S	I	U	N
1.1	Has the Safety Policy been displayed at the ATC Centre?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Have the Safety objectives been displayed at the ATC Centre?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Have the achievement of safety objectives been regularly reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Safety Accountabilities**

Acceptable means of compliance	An Accountable Manager has been appointed with full responsibility and ultimate accountability for the SMS to ensure it is properly implemented and performing effectively.
	Safety accountabilities, authorities and responsibilities are defined and documented throughout the organisation.
	Key safety activities are clearly described in senior management duties and responsibilities are incorporated into their Job Descriptions and personnel performance targets.
	Personnel at all levels, are aware of and understand their safety accountabilities, authorities and responsibilities regarding all safety management processes, decisions and actions.
	There are documented management organizational diagrams and job descriptions for all personnel.
	Safety management is shared across the organisation (and is not just the responsibility of the safety manager and his / her team).

**Checklist Items**

		S	I	U	N
1.4	Have the roles & responsibilities of the Unit Safety Officer been included in his/her respective Job Descriptions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Have the roles & responsibilities of operational Controllers been included in their Job Descriptions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Appointment of key safety personnel**

Acceptable means of compliance	A competent person with the appropriate knowledge, skills and experience has been appointed to manage the operation of the SMS and fulfils the required job functions and responsibilities.
	A safety Team has been appointed to support the Safety Manager in SMS related work.
	The organisation has allocated sufficient resources to manage the SMS including, but not limited to, human resources for safety investigation, analysis, auditing and promotion.

**Checklist Items**



		S	I	U	N
1.6	Is competent personnel available for the day-to-day operation of SMS at the Centre?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7	Is the appointed Unit Safety officer sufficiently qualified to fulfill the required duties and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.8	Have safety committee meetings been taken place according to the periodicity mentioned in the SMM? When was the last meeting held?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.9	Has senior management participated in the meeting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.10	Have appropriate actions taken to ensure safety recommendations of safety committee meetings are implemented.				
1.11	Have Safety committee reports and safety recommendations been published or circulated among the ATCOs?				

**Coordination of Emergency Response Planning**

Acceptable means of compliance	An emergency response plan (ERP) that reflects the size, nature and complexity of the operation has been developed and defines the procedures, roles, responsibilities and actions of the various organisations and key personnel.
	Key personnel in an emergency have easy access to the ERP at all times.
	The ERP is periodically reviewed and tested for the adequacy of the plan and the results reviewed to improve its effectiveness.

**Checklist Items**

		S	I	U	N
1.12	Is an updated Emergency Response Plan (ERP) available at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.13	Are the relevant checklists referred in the ERP readily available at the ATC center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.14	Are there any records on previous activation of the Emergency Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.15	Is up-to-date information on contact details of personnel involved in the Emergency Response Planning available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.16	Has the ERP been reviewed and tested as per the periodicity mentioned? When was the last Emergency Exercise held?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Development, control and maintenance of safety management documentation**

Acceptable means of compliance	The ATS SMS procedures are well defined and available to all personnel.
	All SMS related documents are readily available to all personnel.
	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.
	The SMS documentation details and references the means and duration for the storage of other SMS related records.
	Safety records are retained as documented.

**Checklist Items**

		S	I	U	N
1.17	Is there an updated SMM of ATS available at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



1.18	Are other documents of SMS documentation being properly maintained as mentioned in the SMM?				
a.	Hazard Log	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b.	Risk Register	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c.	Safety Data collection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d.	SPIs and related performance charts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e.	Record of completed safety risk assessments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f.	Safety Investigation Reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g.	SMS internal audit reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h.	Safety training records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i.	Records of Safety Committee Meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j.	Records of Safety Reviews	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.19	Are SMS related ICAO documents, Regulations, Implementing Standards and regulatory publications, readily available to the Operational personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SAFETY RISK MANAGEMENT**

**Hazard Identification**

Acceptable means of compliance	Documented and demonstrated means that ensure aviation safety hazards, including near misses and errors are identified.
	Documented process that ensures identified hazards are recorded, analyzed and acted on in a timely manner.
	Documented process to provide feedback to the reporter of any actions taken (or not taken) and, where appropriate, how to disseminate this to the rest of the organisation.
	Documented process to establish causal contributing factors, i.e. why the event occurred and not just what happened.

**Checklist Items**

		S	I	U	N
2.1	Are there established processes for the collecting of Safety Data?				
2.2	Is there an updated hazards log maintained by the ATC center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3	Have the Hazard related consequences been identified and recorded in a Risk register?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4	Have the Hazard Log and the Risk Register been regularly updated with newly identified hazards and their consequences, through the Safety Assessments and Investigations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.5	Have human performance related factors been considered in the Hazard Identification process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.6	Is documentation process of each hazards from identification through to resolution clearly visible in the records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7	Are the staff aware of ATS Internal SMS reporting system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.8	Are the Mandatory/ voluntary/ confidential occurrence reporting forms available at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.9	Are the staff aware of the CAASL safety reporting system published in IS 006 & IS 052?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.10	Is a list of mandatory reportable occurrence of ATS maintained and displayed at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.11	How many safety reports have been received for the last three months?				
2.12	How many reports have been recorded & actioned?				
2.13	Has the confidentiality protected (in Confidential Reports)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.14	Has any investigation been conducted based on the submitted report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.15	Have the investigation findings been assessed for risk and forwarded to management for corrective action decisions as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.16	Have the investigations been considered human, environmental and organizational factors during the root cause analysis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.17	Have recommendations been made available to all ATC staff after investigations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.18	Have the critical Safety reports been forwarded to CAASL?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Risk assessment and mitigation</b>					
Acceptable means of compliance	Documented process for the management of risk that includes the assessment of risk associated with identified hazards.				
	Documented process and criteria for evaluating the level of risk the organisation is willing to accept.				
	Documented method for recording risks and the treatment strategies taken, including timelines and responsibilities.				
	Documented procedures to review and revise risk management processes on a periodic basis.				
<b>Checklist Items</b>					
		S	I	U	N
2.19	Are all Risks identified in the Risk Register being assessed to determine whether they are acceptable or not?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.20	Have mitigation actions being introduced for those Risks which are not within the acceptable level of safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.21	Have the risk register and mitigation actions been regularly reviewed to see the effectiveness and updated if required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.22	Have the ATS safety data been retained for an acceptable period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.23	Are Risks managed to be as low as reasonably practicable (ALARP)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.24	Are mitigating actions routinely reviewed to confirm that they remain valid and effective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SAFETY ASSURANCE</b>					
<b>Safety investigations</b>					
Acceptable means of compliance	Documented and demonstrated means for conducting internal safety investigations.				
	Internal safety investigator(s) appointed and appropriately trained.				
Further Improvements	There is a documented trail from identification through to resolution when an investigation is completed.				
	There is a clear record of the investigation process, findings, and required actions.				
	Formal procedures are available to trigger investigations, processes for gathering evidence and conducting the analysis, processes for developing recommendations, and for distributing the report.				



	There are processes for monitoring and review of actions taken in response to safety investigation.
	Criteria for the safety investigator skills and knowledge are established and documented.

**Checklist Items**

		S	I	U	N
3.1	Are there any recent evidence of conducting investigations on accident/ incidents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2	Have those investigations been conducted by the personnel assigned for conducting ATM investigations as specified in the Manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3	Have the investigation process identified factors (e.g. behavioral, organizational, equipment) contributing to the accident/ incident?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4	Have the investigation processes been focused on improving the safety of operations rather than taking punitive actions on individuals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Safety performance monitoring and measurement**

Acceptable means of compliance	Documented and demonstrated means of monitoring safety performance.
	Documented process to identify reactive, proactive and interactive sources of safety data.
	Documented and demonstrated means to measure safety performance through SPIs.
	Safety performance targets established consistent with the organization’s safety objectives.
	Implementation of a safety reporting system.
	Systematic capturing of data to analyze the trend.
	Establishing regular meetings to review safety performance.
Further Improvements	Establishing lagging and leading performance indicators.
	Setting trigger points.
	Measuring safety performance for the ATS provider.

**Checklist Items**

		S	I	U	N
3.5	Are all staff aware of the SPIs and SPTs relevant to the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.6	Are those SPIs & SPTs being continuously measured?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.7	Any observations on negative trends or exceeding trigger levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Management of change**

Acceptable means of compliance	Documented process to conduct Safety Assessments for changes within the organisation, including introduction of new procedures, equipment, systems or facilities that may affect safety.
	Documented process to ensure appropriate internal and external stakeholders are involved in the management of change process.
	Documented management of change process includes the review of previous risk assessments and existing hazards as appropriate.

**Checklist Items**




		S	I	U	N
3.8	Have Safety Assessments been carried out with respect to significant safety related changes to the ATS system, including for the introduction of new procedures, equipment and facilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.9	Have the action plans developed in the Risk Assessment process been properly implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.10	Have post implementation reviews been conducted to ensure the effectiveness of mitigation actions applied?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Continuous improvement of the SMS</b>					
Acceptable means of compliance	Documented process that shows how the organisation uses its performance monitoring and measuring procedures and internal audit programme to inform the management review process so that actions can be taken to improve the effectiveness of the SMS.				
	Documented action plan and allocation of resources to achieve improvements.				
<b>Checklist Items</b>					
		S	I	U	N
3.11	Have follow up actions been taken to ensure safety recommendations of safety committee meetings, safety reviews, safety Assessments & Investigations are implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Internal audit programme</b>					
Acceptable means of compliance	Documented audit programme.				
	An internal audit procedure which defines audit types, and associated procedures, and identifies the personnel who will conduct the audit.				
	Audits performed by trained and independent auditing personnel.				
	Audit results reported to the personnel responsible for activity.				
	Preventive or corrective action taken in response to problems identified during the audit.				
	Root cause analysis is utilized to identify the causes of non-conformances or non-compliances.				
	The operation of the internal audit programme is subject to independent audit.				
	Audit reports are documented and communicated.				
	Audit reports are easy to read with findings and corrective actions clearly stated.				
Timeframes for implementing corrective actions are specified.					
<b>Checklist Items</b>					
		S	I	U	N
3.12	Have Internal Safety Audits been conducted as specified in the ATS SMM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.13	Has independence of the internal audit function been achieved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.14	Have the Audit Reports been documented and communicated effectively?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.15	Has senior management taken actions on audit results?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Management review</b>					



Acceptable means of compliance	Documented and demonstrated methods of conducting formal and regular reviews by senior management of the effectiveness of the SMS.					
	Documented processes specifying the frequency of management reviews.					
	Results of the Safety Review are recorded and circulated.					
<b>Checklist Items</b>						
		S	I	U	N	
3.16	Have periodic Safety Reviews been conducted consistently as mentioned in the SMM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.17	Have the outcomes been circulated among the staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>SAFETY PROMOTION</b>						
<b>Safety training</b>						
Acceptable means of compliance	Documented process to identify SMS training requirements so that personnel are competent to perform their duties.					
	Training programme includes initial and recurrent training.					
	Training records are properly retained.					
<b>Checklist Items</b>						
		S	I	U	N	
4.1	Is there a formal training programme developed on ATS SMS for personnel directly involved in ATS SMS and other operational staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	Are key safety personnel being appropriately trained to suit their specific role in the ATS SMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	Are all staff trained on the ATS SMS procedures and processes according to the ATS SMM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	Are training records kept for all staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Safety communication</b>						
Acceptable means of compliance	Demonstrated and documented means for safety communication that ensures personnel are aware of the SMS commensurate with their safety responsibilities.					
	It conveys safety critical information and explains why particular safety actions are taken and why safety procedures are introduced or changed.					
	Regular safety communication processes					
<b>Checklist Items</b>						
		S	I	U	N	
4.5	Has formal means for Safety Communication developed and maintained? (Ex. Periodic Safety Bulletin/Newsletter circulated, email etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Comments/ Notes:</b>						
<b>Inspectors (Name &amp; Signature):</b>				<b>Date:</b>		



## Appendix D.2: Checklist for Inspection on ATS Provider SMS (Continuous Oversight)

		Form – CAA/AS/011/04			
<b>Civil Aviation Authority of Sri Lanka SMS INSPECTION CHECKLIST</b>					
ATC Centre:	Date:	Time:	Name of Inspector(s):		
Inspection Report Ref:			File Ref:		
<p>Use the following abbreviations to indicate your observations and if the space is inadequate for comments use additional page with the reference number of the Area of Inspection. Recommendations are to be raised with the appropriate Ref. No according to the Area of Inspection.</p> <p><b>S – Satisfactory; U – Unsatisfactory; N – Not Checked; I – Improvements Needed</b></p>					
Ref. No	Inspection Area	Comment			
<b>1</b>	<b>Safety Policy &amp; Objectives</b>	<b>S</b>	<b>I</b>	<b>U</b>	<b>N</b>
1.1	Has the Safety Policy been displayed at the ATC Centre?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Have the Safety objectives been displayed at the ATC Centre?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Have the achievement of safety objectives been regularly reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Have the roles & responsibilities of the Unit Safety Officer been included in his/her respective Job Descriptions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Have the roles & responsibilities of operational Controllers been included in their Job Descriptions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.6	Is competent personnel available for the day-to-day operation of SMS at the Centre??	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7	Is the appointed Unit Safety officer sufficiently qualified to fulfill the required duties and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.8	Have safety committee meetings been taken place according to the periodicity mentioned in the SMM? When was the last meeting held?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.9	Has senior management participated in the meeting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.10	Have appropriate actions taken to ensure safety recommendations of safety committee meetings are implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.11	Have Safety committee reports and safety recommendations been published or circulated among the ATCOs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.12	Is an updated Emergency Response Plan (ERP) available at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



1.13	Are the relevant checklists referred in the ERP readily available at the ATC center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.14	Are there any records on previous activation of the Emergency Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.15	Is up-to-date information on contact details of personnel involved in the Emergency Response Planning available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.16	Has the ERP been reviewed and tested as per the periodicity mentioned? When was the last Emergency Exercise held?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.17	Is there an updated SMM of ATS available at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.18	Are other documents of SMS documentation being properly maintained as mentioned in the SMM?				
	a. Hazard Log	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	b. Risk Register	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	c. Safety Data collection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	d. SPIs and related performance charts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	e. Record of completed safety risk assessments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	f. Safety Investigation Reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	g. SMS internal audit reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	h. Safety training records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	i. Records of Safety Committee Meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Records of Safety Reviews	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.19	Are SMS related ICAO documents, Regulations, Implementing Standards and regulatory publications, readily available to the Operational personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Hazard Identification	<b>S</b>	<b>I</b>	<b>U</b>	<b>N</b>
2.1	Are there established processes for the collecting of Safety Data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2	Is there an updated hazards log maintained by the ATC center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3	Have the Hazard related consequences been identified and recorded in a Risk register?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4	Have the Hazard Log and the Risk Register been regularly updated with newly identified hazards and their consequences, through the Safety Assessments and Investigations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.5	Have human performance related factors been considered in the Hazard Identification process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.6	Is documentation process of each hazard from identification through to resolution clearly visible in the records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7	Are the staff aware of ATS Internal SMS reporting system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.8	Are the Mandatory/ voluntary/ confidential occurrence reporting forms available at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.9	Are the staff aware of the CAASL safety reporting system published in IS 006 & IS 052?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.10	Is a list of mandatory reportable occurrence of ATS maintained and displayed at the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.11	How many safety reports have been received for the last three months?				




2.12	How many reports have been recorded & actioned?				
2.13	Has the confidentiality protected (in Confidential Reports)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.14	Has any investigation been conducted based on the submitted report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.15	Have the investigation findings been assessed for risk and forwarded to management for corrective action decisions as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.16	Have the investigations been considered human, environmental and organizational factors during the root cause analysis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.17	Have recommendations been made available to all ATC staff after investigations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.18	Have the critical Safety reports been forwarded to CAASL?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.19	Are all Risks identified in the Risk Register being assessed to determine whether they are acceptable or not?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.20	Have mitigation actions being introduced for those Risks which are not within the acceptable level of safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.21	Have the risk register and mitigation actions been regularly reviewed to see the effectiveness and updated if required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.22	Have the ATS safety data been retained for an acceptable period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.23	Are Risks managed to be as low as reasonably practicable (ALARP)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.24	Are mitigating actions routinely reviewed to confirm that they remain valid and effective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Safety Assurance	<b>S</b>	<b>I</b>	<b>U</b>	<b>N</b>
3.1	Are there any recent evidence of conducting investigations on accident/ incidents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2	Have those investigations been conducted by the personnel assigned for conducting ATM investigations as specified in the Manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3	Have the investigation process identified factors (e.g. behavioral, organizational, equipment) contributing to the accident/ incident?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4	Have the investigation processes been focused on improving the safety of operations rather than taking punitive actions on individuals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.5	Are all staff aware of the SPIs and SPTs relevant to the center?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.6	Are those SPIs & SPTs being continuously measured?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.7	Any observations on negative trends or exceeding trigger levels?				
3.8	Have Safety Assessments been carried out with respect to significant safety related changes to the ATS system, including for the introduction of new procedures, equipment and facilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.9	Have the action plans developed in the Risk Assessment process been properly implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.10	Have post implementation reviews been conducted to ensure the effectiveness of mitigation actions applied?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



3.11	Have follow up actions been taken to ensure safety recommendations of safety committee meetings, safety reviews, safety Assessments & Investigations are implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.12	Have Internal Safety Audits been conducted as specified in the ATS SMM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.13	Has independence of the internal audit function been achieved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.14	Have the Audit Reports been documented and communicated effectively?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.15	Has senior management taken actions on audit results?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.16	Have periodic Safety Reviews been conducted consistently as mentioned in the SMM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.17	Have the outcomes been circulated among the staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Safety Promotion	<b>S</b>	<b>I</b>	<b>U</b>	<b>N</b>
4.1	Is there a formal training programme developed on ATS SMS for personnel directly involved in ATS SMS and other operational staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2	Are key safety personnel being appropriately trained to suit their specific role in the ATS SMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3	Are all staff trained on the ATS SMS procedures and processes according to the ATS SMM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4	Are training records kept for all staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.5	Has formal means for Safety Communication developed and maintained? (Ex. Periodic Safety Bulletin/Newsletter circulated, email etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments/ notes:</b>					
<b>Inspectors (Name &amp; Signature):</b>			<b>Date:</b>		

**Appendix E – ATS Inspection Report Form**

Form – CAA/AS/038					
 <b>Civil Aviation Authority of Sri Lanka</b> <b>INSPECTION REPORT FORM</b>					
<b>Date of Inspection:</b>					
<b>ATC Centre:</b>					
<b>Name of the Inspector:</b>					
<b>Inspection Report Ref:</b>					
<b>Findings of the Inspection</b>					
<b>No.</b>	<b>Findings</b>				
1					
2					
<b>Observations of the Inspection</b>					
<b>No.</b>	<b>Observations</b>				
1					
2					
3					
<b>Recommendations</b>					
1					
2					
<b>Findings of previous Inspections</b>					
<b>No</b>	<b>Inspection Report Ref.</b>	<b>Finding</b>	<b>CAP received/ not received</b>	<b>Status of Finding (open/closed)</b>	<b>Open since</b>
1					
2					
3					
<b>Inspector Name</b>		<b>Signature</b>		<b>Date</b>	



### Appendix F.1: Corrective Action Request Form

Form – CAA/AS/039					
<b>Corrective Action Request (CAR) Form</b> <i>(To be filled by the CAASL)</i>					
Inspection Ref.	Level of finding	<input type="checkbox"/> Level I	<input type="checkbox"/> Level II	<input type="checkbox"/> Level III	
Date of Inspection:	ATC Center:				
Applicable Regulatory Requirement Reference:					
Description of Finding/ deficiency:					
Corrective Action Plan to be submitted in the attached format within.....days from the date of this Corrective Action request.					
Director Air Navigation Services:		Signature		Date	
<b>Corrective Action Plan (CAP)</b> <i>(to be filled by the ATS Provider)</i>					
Step No	Proposed Action	Action Office	Estimated Implementation Date	Progress (if any)	Evidence Ref. (if any)
1					
2					
3					
4					
5					
Proposed date of completion:					
Accountable Manager		Signature		Date	

## Appendix F.2 – Guidance for evaluating the Corrective Action Plans (CAPs)

Guidance to assess the acceptability of a proposed corrective action plan (CAP) submitted by the ATS Provider and to monitor the progress of the implementation of an accepted CAP.

- (a) The CAPs should be received within 14 days of the receipt of the Inspection Report in the given format with sanctions from the Accountable Manager (i.e. Chairman of AASL) of the ATS Provider.

Step no	Proposed Action	Action office	Estimated Date of completion	Progress	Evidence Ref.
1					
2					
3					

- (b) CAPs submitted by the ATS Provider shall meet the following six criteria:

1. *Relevant* — CAPs should address the issues and requirements related to the finding
2. *Comprehensive* — CAPs should include all elements or aspects associated with the finding
3. *Detailed* — CAPs should be laid out in a step-by-step approach, to outline the implementation process
4. *Specific* — CAPs should identify who (the responsible office) will do what and when
5. *Realistic* — CAPs should be realistic in terms of contents and implementation timelines
6. *Consistent* — CAPs should be consistent in relation to other related CAPs.

- (c) When evaluating the contents of the CAP ensure,


- That the proposed actions in a CAP directly and fully address the finding.
- Large action items are broken down into smaller, more manageable elements.
- Each proposed action is described in a clear and detailed manner.
- Corrective actions are listed step – by – step, in the correct sequential and/or chronological order.
- A clear working plan and adequate details for the implementation of each step are provided.
- The responsible action office/ officer is indicated for each one of the corrective action steps. (If more than one officer is responsible for a particular action item, each one should be identified and recorded clearly)
- The document containing the evidence are indicated in a clear manner.
- Specific and clear reference to the page, section or paragraph of the document that contains the information is given.



- (d) The estimated implementation date should be the date of completion for the action item.
- (e) Ensure that an estimated implementation date is entered for each step.
- (f) Ensure that the estimated implementation date is realistic for the action item.
- (g) Ensure that the estimated implementation date is appropriate for the level of risk associated with the finding.
- (h) In cases where corrective actions involve purchasing of equipment or systems to eliminate deficiencies, appropriately practical and agreeable time frame is acceptable whilst the short term corrective action covers the deficiency.
- (i) If the Inspectors consider the CAP does not address or only partially addresses the finding, The ATS Provider should be advised to revise the CAP to addresses the shortcomings indicated and resubmit. If it is noted that the estimated implementation date of an action item has been passed and the action has not been completed or not fully implemented the ATS Provider should be advices to resubmit the CAP with revised implementation date with sanctions from the Accountable Manager.
- (j) Failing above all actions Director General of Civil Aviation will take enforcement actions on the ATS provider as per the Enforcement policy of CAASL.
- (k) The evaluation of the CAP for acceptance or rejection shall be carried out by the Inspectors, and progress of CAP implementation shall be monitored during follow-up inspections. Accordingly, the Corrective Action Evaluation and Tracking Form (attached in Appendix F.3) shall be completed and forwarded to the ANSP within 10 working days from the date of receipt of the CAP from the ANSP.

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**Appendix F.3: Sample CAP Evaluation Form**

Form – CAA/AS/060		
 <b>Civil Aviation Authority of Sri Lanka</b> <b>Corrective Action Evaluation &amp; Tracking Form</b>		
<b>Inspection Reference:</b>		
<b>ATC Centre:</b>		
<b>Date of Inspection:</b>		
<b>Description of the Finding:</b>		
<b>CAA Response/ Comment:</b>		
<input type="checkbox"/> CAP accepted  <b>Proposed follow up:</b> <input type="checkbox"/> On-site <input type="checkbox"/> Administrative  <b>Proposed date of completion:</b>	<input type="checkbox"/> CAP rejected  <b>Reason:</b>  <b>Actions taken:</b>	
<b>Follow up date:</b>		
<b>Progress made (if accepted):</b>		
<b>Finding closed:</b>  <input type="checkbox"/> YES  <input type="checkbox"/> NO	<b>Finding closed by:</b>  <b>Name:</b>  <b>Signature:</b>	<b>Date:</b>
<b>Inspector's Name:</b>	<b>Inspector's signature:</b>	<b>Date:</b>



## Appendix G.1 – Guidance for evaluating SPIs/ SPTs

Safety Performance Indicators (SPIs) are measurable parameters used to monitor and assess safety performance within the Air Traffic Service Provider or ultimately at the State level. SPIs provide objective evidence of how effectively the safety risks are being managed and whether safety objectives are being achieved.

Safety Performance Targets (SPTs) are the desired levels of performance associated with each SPI. They define the acceptable or intended outcome to be achieved within a specified timeframe and provide a benchmark against which actual safety performance can be evaluated.

Together, SPIs and SPTs form the core of safety performance monitoring and measurement, as required under ICAO Annex 19 and Safety Management System (SMS) and State Safety Programme (SSP) frameworks.

SPIs are generally categorized into **leading** and **lagging** indicators.

### (a) Leading Indicators

Lagging indicators measure **outcomes that have already occurred** and are typically based on historical safety events.

Examples:

- Number or rate of accidents or serious incidents
- Runway incursions
- Loss of separation events
- Aircraft damage occurrences

They assess the consequences of past safety performance and confirm whether safety outcomes meet acceptable levels. They have the limitations of not providing early warning of emerging risks as they are reactive.

### (b) Lagging Indicators

Leading indicators measure **safety activities, conditions, or system performance** that can influence future safety outcomes.

Examples:

- Number of hazard reports submitted
- Percentage of corrective actions implemented on time
- Safety training completion rates
- Safety audits completed as planned
- Effectiveness of safety risk mitigations

They Provide early warning of potential safety issues and enable proactive intervention.

SPIs and SPTs shall aligned with **Global High-Risk Categories (HRCs)** identified through ICAO’s Global Aviation Safety Plan (GASP). These categories represent areas with the highest potential safety risk at the global level, such as:

- Runway safety
- Loss of control in flight
- Controlled flight into terrain

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- Mid-air collision / loss of separation
- Fire, smoke and fumes

The ATS Provider is expected to:

- Identify SPIs that are directly linked to relevant high-risk categories
- Establish SPTs that contribute to the reduction of risks within those categories
- Use data from operational occurrences, oversight activities, and hazard reporting systems to monitor performance

This alignment shall ensure the consistency between organizational safety performance, State safety priorities, and the identified safety objectives.

The following list of SPIs can be measured through the Service Provider’s SMS to minimize HRC occurrences.

High-Risk Category Event	Safety performance indicators (SPI)	Rate
Controlled flight into terrain (CFIT)	<ul style="list-style-type: none"> <li>▪ Rate of GPWS alerts</li> </ul>	per 100,000 movements
Loss of control in-flight (LOC-I)	<ul style="list-style-type: none"> <li>▪ Rate of bird strike(s) – with damage</li> <li>▪ Rate of collision with obstacle(s) during take-off or landing</li> <li>▪ Rate of ground-air communication failure</li> <li>▪ Rate of ATS data processing system failure</li> </ul>	per 100,000 movements
Mid-air collision (MAC)	<ul style="list-style-type: none"> <li>▪ Rate of TCAS RA events</li> <li>▪ Rate of TCAS TA events</li> <li>▪ Rate of loss of in-flight aircraft separation (without TCAS)</li> <li>▪ Rate of deviation from SOP</li> </ul>	per 100,000 movements
Runway excursion (RE)	<ul style="list-style-type: none"> <li>▪ Rate of hard landings</li> <li>▪ Rate of unstabilized approaches</li> <li>▪ Rate of cases of foreign object damage (FOD)</li> </ul>	per 100,000 movements
Runway incursion (RI)	<ul style="list-style-type: none"> <li>▪ Rate of events with incorrect presence of a person, vehicle or aircraft on surface designated for take-off and landing</li> </ul>	per 100,000 movements

SPIs of the Service Provider may be deemed as acceptable when the following basic features are present:

- (a) it represents a reasonably adequate safety performance monitoring coverage of the Services provided.
- (b) it has a balanced mix of leading and lagging SPIs where applicable
- (c) SPIs have incorporated objective safety performance targets and alert settings
- (d) the targets reflect continuous improvement
- (e) there is evidence that each SPI’s data trending charts have been kept updated according to its intended data update intervals
- (f) where there is any abnormal or negative trend or when established alert levels have been breached, there is an established mechanism to evaluate, take actions & correct the trend.

## Appendix G.2 – Checklist for evaluating the SPIs/ SPTs

Safety Management System of ATS Provider Checklist for evaluating the Safety Performance Indicators (SPIs)				
No.	Criteria	Yes	No	Comments
1	Is the indicator clearly defined and not open to interpretation?	<input type="checkbox"/>	<input type="checkbox"/>	
2	Is it clear and understandable what the indicator is measuring?	<input type="checkbox"/>	<input type="checkbox"/>	
3	Is it clear what the indicator is helping the organization achieve?	<input type="checkbox"/>	<input type="checkbox"/>	
4	Is the indicator clearly linked to an objective?	<input type="checkbox"/>	<input type="checkbox"/>	
5	Is the indicator measurable?	<input type="checkbox"/>	<input type="checkbox"/>	
6	Is the indicator achievable?	<input type="checkbox"/>	<input type="checkbox"/>	
7	Is it clear how the indicator is calculated?	<input type="checkbox"/>	<input type="checkbox"/>	
8	Is the unit of measurement for the indicator clearly defined?	<input type="checkbox"/>	<input type="checkbox"/>	
9	Is it clear where the data is collected/obtained from (are data sources identified)?	<input type="checkbox"/>	<input type="checkbox"/>	
10	Is it clear who collects the data for calculating the indicator values?	<input type="checkbox"/>	<input type="checkbox"/>	
11	Is it clear who analyzes the data?	<input type="checkbox"/>	<input type="checkbox"/>	
12	Is it clear who reports the analysis results?	<input type="checkbox"/>	<input type="checkbox"/>	
13	Is the benefit of the indicator more than the cost of collecting, analyzing and reporting the data?	<input type="checkbox"/>	<input type="checkbox"/>	



## Appendix H – Guidance for conducting Investigation of Accidents, Incidents and actions to be taken upon receipt of Safety Reports.

1. ICAO Annex 13 to the Chicago convention sets out international standards and recommended practices on aircraft accident and incident investigations and measures necessary to ensure the safe operation of aircraft.
2. Regulations for conducting investigations on aircraft accidents and incidents of which the State is required to investigate as per Annex 13, can be found in the Aircraft Accident and Incident Investigation Regulation of Sri Lanka.  
[https://www.caa.lk/images/Civil\\_Aviation/15\\_aai\\_investigation\\_regulations\\_2012.pdf](https://www.caa.lk/images/Civil_Aviation/15_aai_investigation_regulations_2012.pdf)
3. These investigations will be conducted by an independent Accident Investigation Board, appointed by the Authority, in compliance with Aircraft Accident and Incident Investigation Regulation.
4. Safety investigations outside of those mandated by Annex 13 shall be conducted for significant safety occurrences considered to have a high – risk for the safety of operations. The decision to conduct an investigation should be based on its severity and probability. The Investigation Panel will be appointed by the Civil Aviation Authority.
5. Any such investigation shall be initiated by a notification (report) submitted in accordance with the established CAASL safety occurrence reporting system. Final Report shall be forwarded to the Aviation Safety Monitoring Unit of CAASL for necessary actions and distribution among the Industry partners.
6. Safety Reports on incidents occurred outside the Colombo FIR, shall be forwarded to the Regulatory Authority of the State where the incident had occurred, requesting to conduct an investigation and to submit the final outcome. Any such reports received shall be forwarded to the Aviation Safety Monitoring Unit of CAASL for necessary actions and distribution among the Industry partners.

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## Appendix I – Training Programme of the SMS Inspector

Training Phase	Training Course	Duration*
<b>Phase 1 –</b> Introduction to CAASL and its Regulatory functions	CAASL Indoctrination Programme	6 months
<b>Phase 2 –</b> Basic Subject specific Training	Basic Safety Management System	6 months
	ICAO Global Aviation Safety Management Plan (GASP)	
	APAC Regional Aviation Safety Management Plan (AP-RASP)	
	National Aviation Safety Plan (NASP) of Sri Lanka	
	Implementing Standards 070 – Framework for a Safety a SMS	
	SLCAP 2050 – Manual for the Oversight of SMS of the ATS Provider	
	SLCAP 2250 – Safety Management Guide for ATSP	
<b>Phase 3 –</b> Industry Functions Training	Familiarization sessions at relevant section/ units of the Industry	9 months
	Safety Management Manual of AASL	
	Safety Management Manual of Air Traffic Service provider	
	Operational Manuals on Fatigue Management	
<b>Phase 4 –</b> Oversight functions Training	Basic ANS Inspector Course	9 months
	Audit Techniques	
	State Safety Programme (SSP)	
<b>Phase 5 –</b> On-the-Job Training	Described in Chapter 5	12 months
Specialized/ advanced Training (Training courses will be selected from these categories)	Safety Data analysis	1 week
	Human Factors in Aviation	1 week
	Fatigue Risk Management Systems	1 week
	Operational Hazard Identification & Risk Mitigation (Advanced)	1 week
	Aviation Accident/ Incident Investigation Techniques	1 week
	Safety Management System Monitoring & Assessing	1 week
	Threat & Error Management (TEM)	1 week
	SPI/ SPT Development	1 week
	Stress and Stress Management	1 week
Recurrent/ Refresher Training	Safety Oversight Inspector course (refresher)	1 week
	Safety Management System (refresher)	1 week
	State Safety Programme (refresher)	1 week

\* From Phase 1 – 5, *Duration* refers to the period specified from the date of appointment within which the trainee Inspector is required to complete the respective trainings.

Under specialized/ advanced Training, *Duration* refers to the length of the respective training.

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