

الهيئة العامة للطيران المدني  
GENERAL CIVIL AVIATION AUTHORITY



# Analysis of SMS Assessments

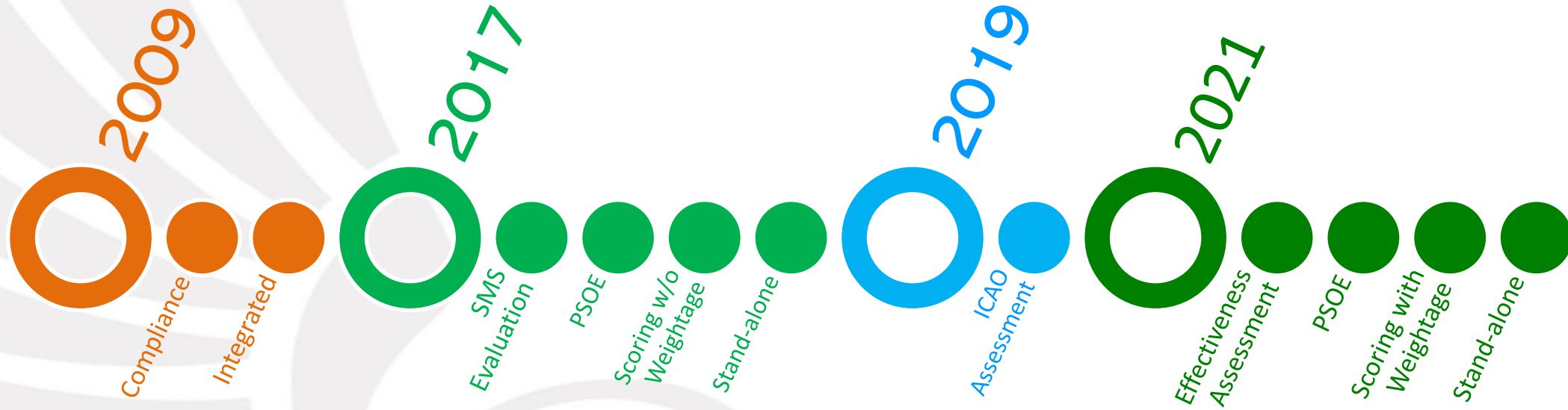
UAE Aviation Safety Conference 2025

Flight Operations Workshop

Dubai – 3<sup>rd</sup> November 2025



# Compliance to Effectiveness





# Compliance vs Effectiveness Assessment




## Compliance Audits

- ❖ Based on compliance with prescriptive regulations
- ❖ Integrated into other surveillance activities
- ❖ Not combined (AW)
- ❖ Annual frequency

## Effectiveness

## Evaluations/Assessments

- 
- ❖ Based on 'performance' in addition to compliance
  - ❖ Segregated for better focus
  - ❖ Combined with other domains (AW) to avoid duplication
  - ❖ Performance/Score-based frequency



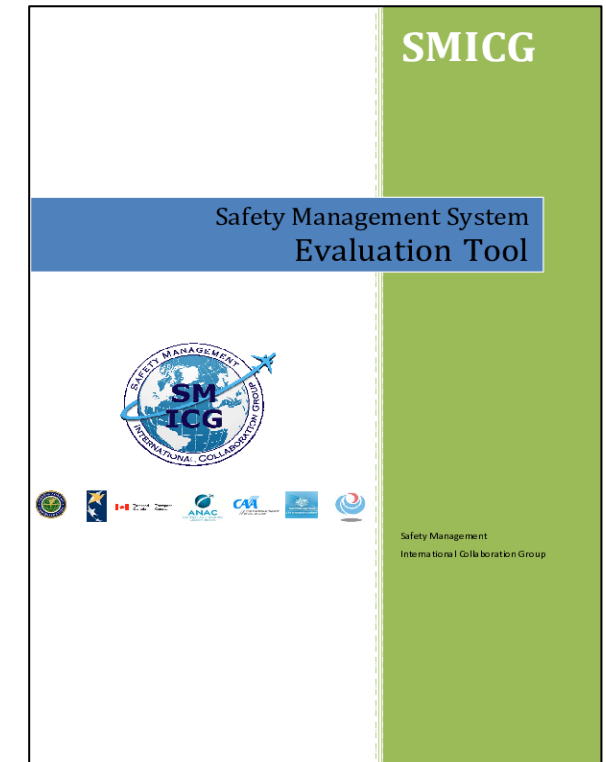
# Assessment Tools

## GCAA SMS Assessment Tools

GTF-SMS-002A for Complex organizations

GTF-SMS-002B for Non-complex organizations

Based on a series of questions and 4 levels (PSOE) of Indicators to assess the SMS in terms of –  
**compliance** with the regulation and its  
**performance** to effectively manage safety risk.





## Assessment (PSOE) Criteria

### Compliance level Indicators

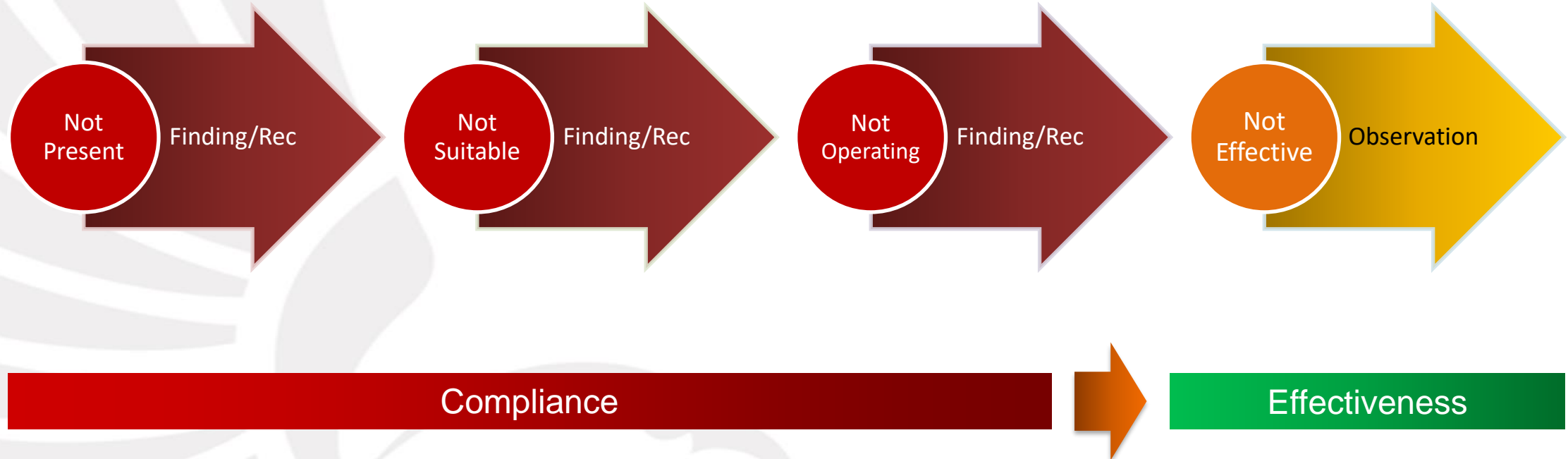
- ☑ Present - Process is documented.
- ☑ Suitable - Process is *thorough* and *appropriate* for nature, size, complexity and inherent risks of the organization
- ☑ Operating - There is *evidence that the indicator is in use* and an *output is being produced*.

### Performance level Indicator

- ☑ Effective - There is *evidence that the indicator is achieving the desired outcome* and *has a positive safety impact*.

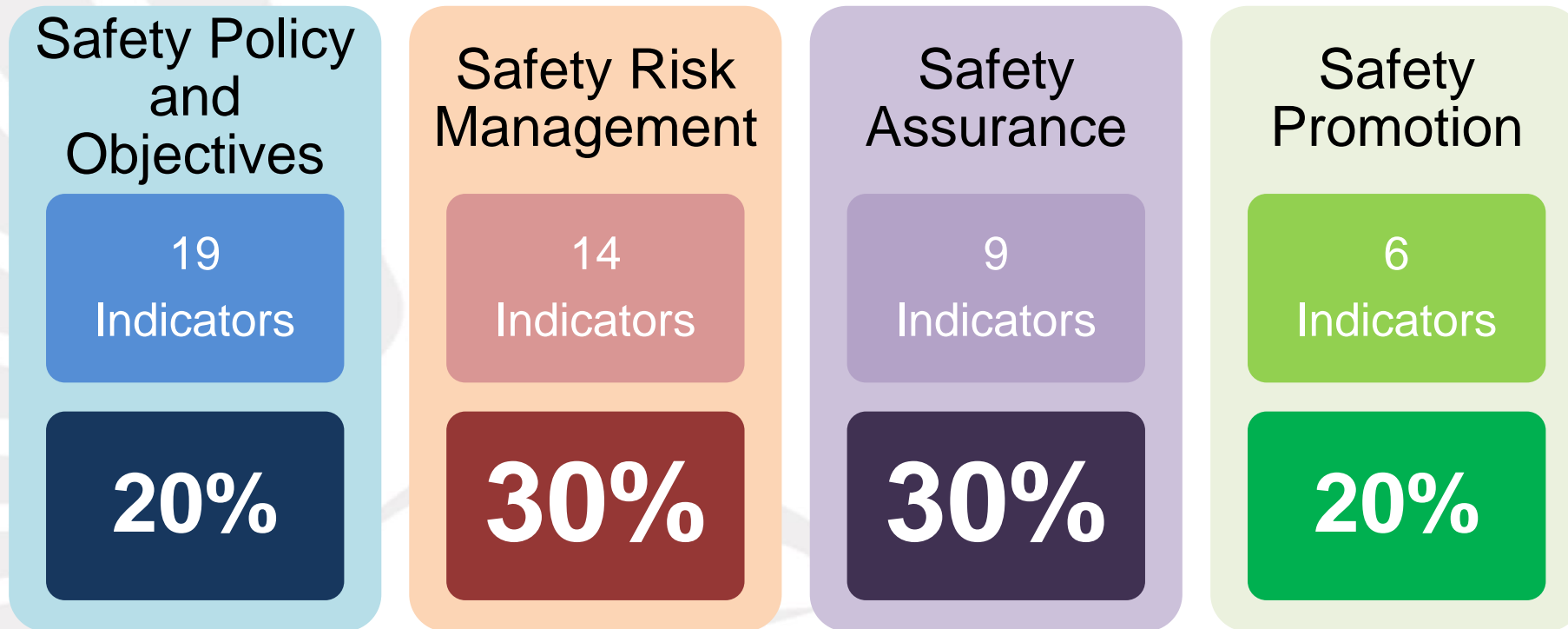


# Finding/Recommendation/Observation



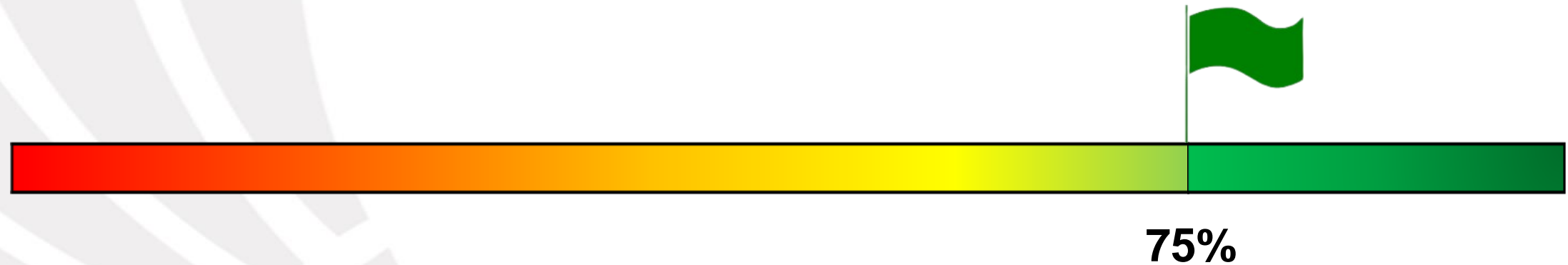


## Weightage and Scoring





## Effectiveness Score and Assessment Frequency



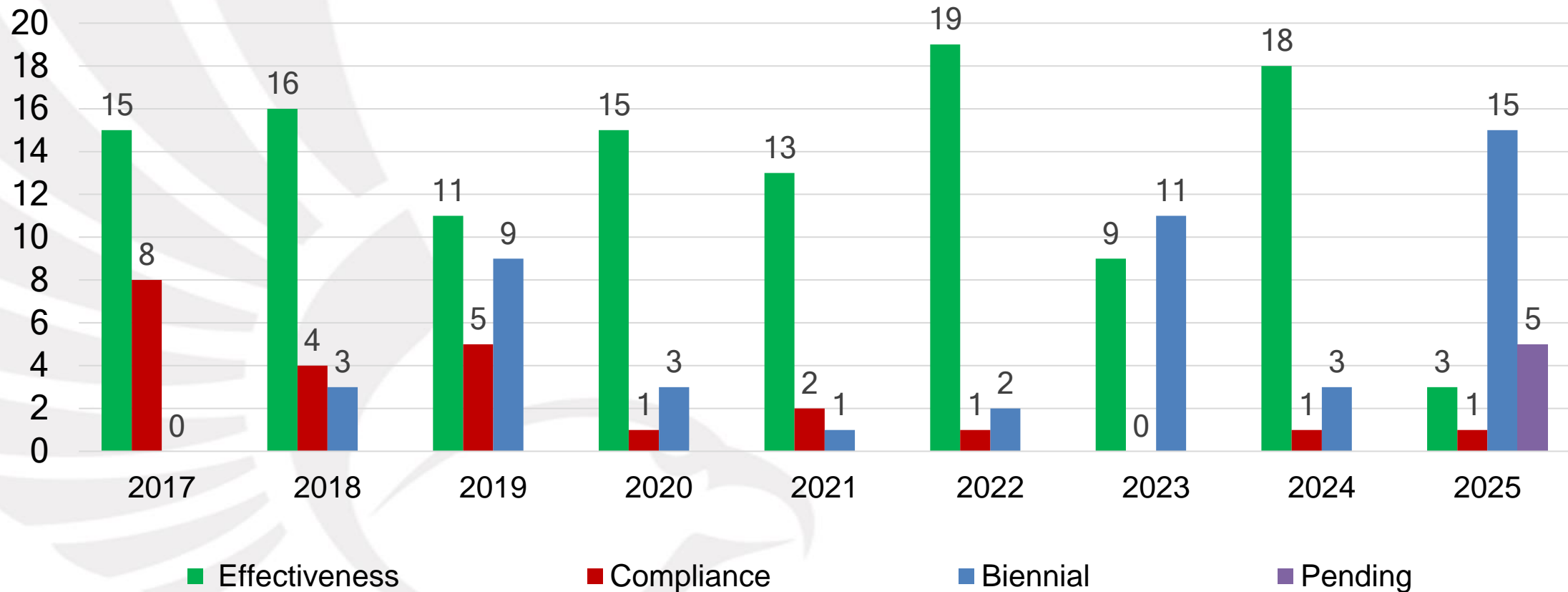
Score 75% or More - 'Effectiveness Achieved'

Assessment frequency: 24 months\*

\* Subject to no level 1 finding, continued maintenance of effective HIRM and MoC, no repeat L2 findings

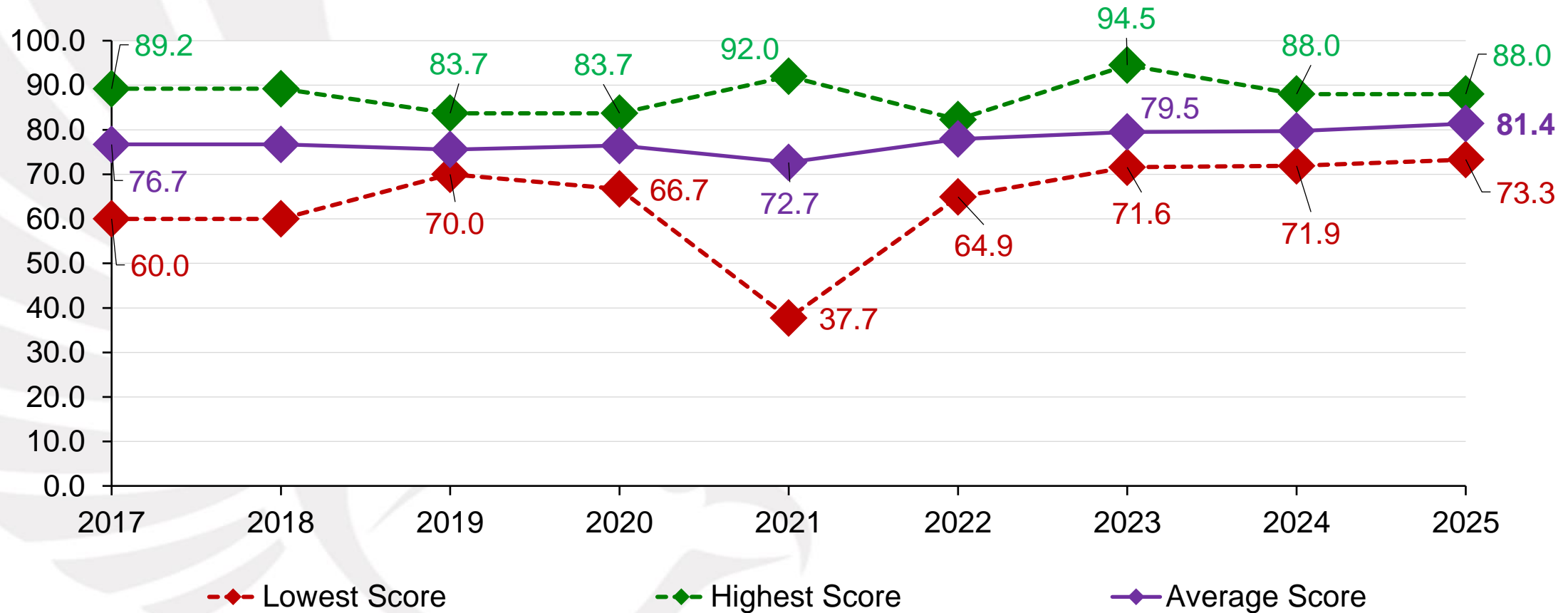


# SMS Compliance and Effectiveness Assessments



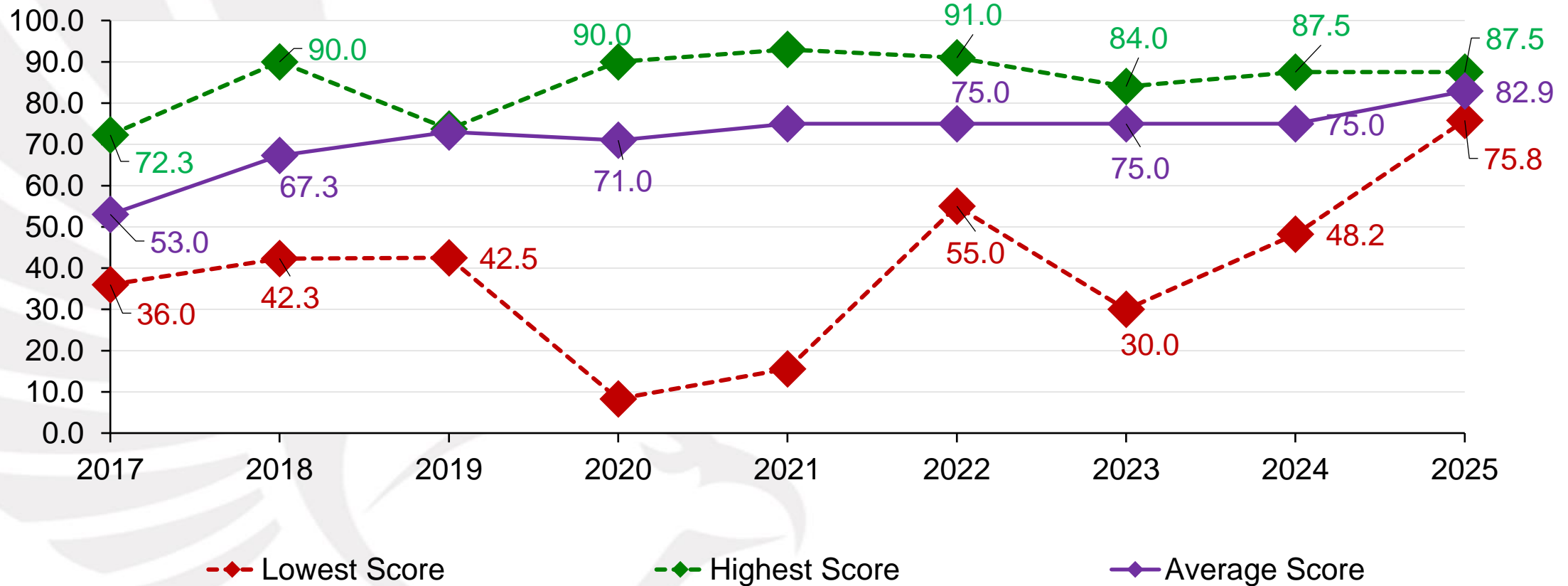


## SMS Maturity – CAT Scheduled (AC) Operators



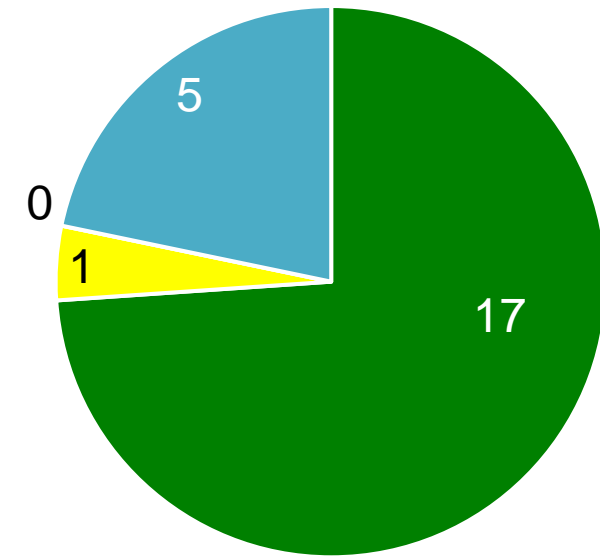
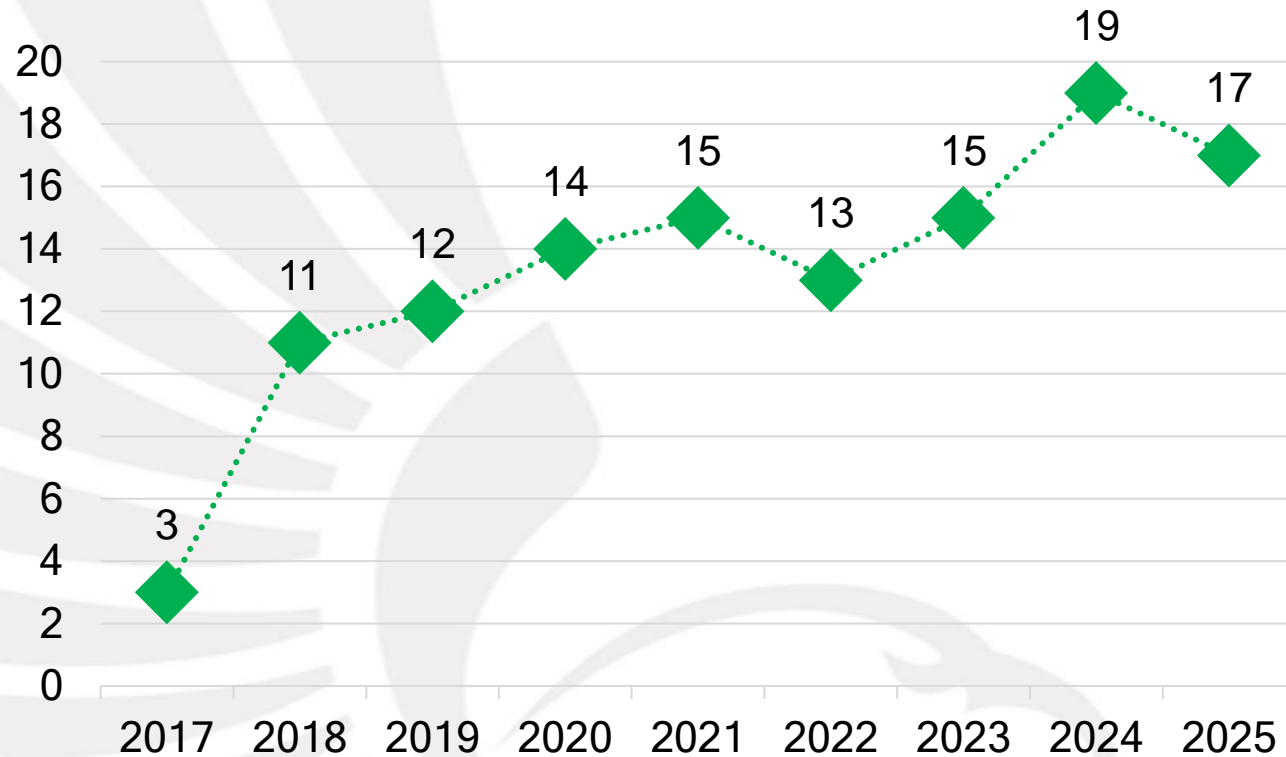


# SMS Maturity – CAT (AT) Operators





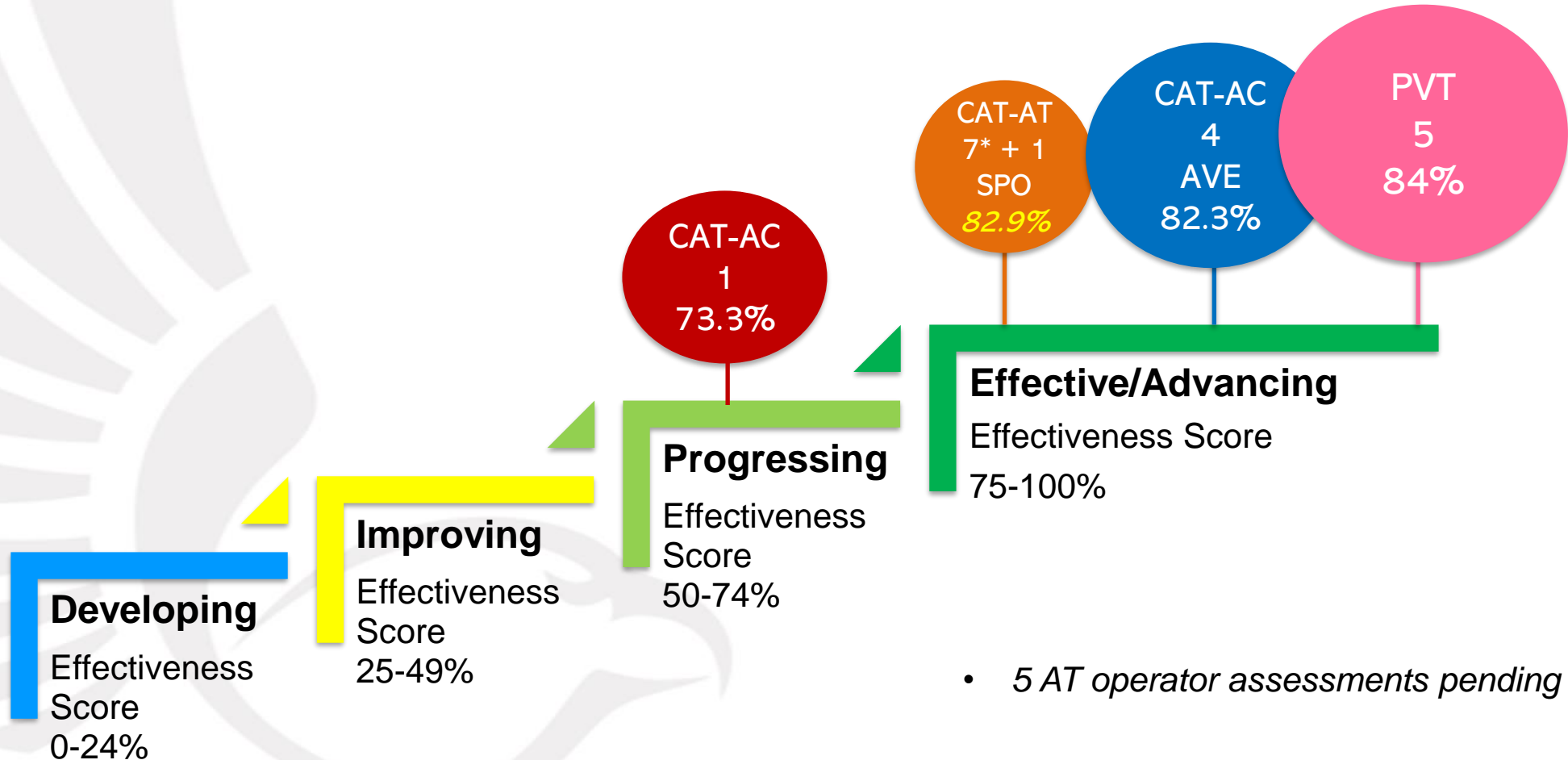
# SMS Maturity - Number of Organizations



- Effective
- Improving
- Pending Assessment
- Progressing
- Developing

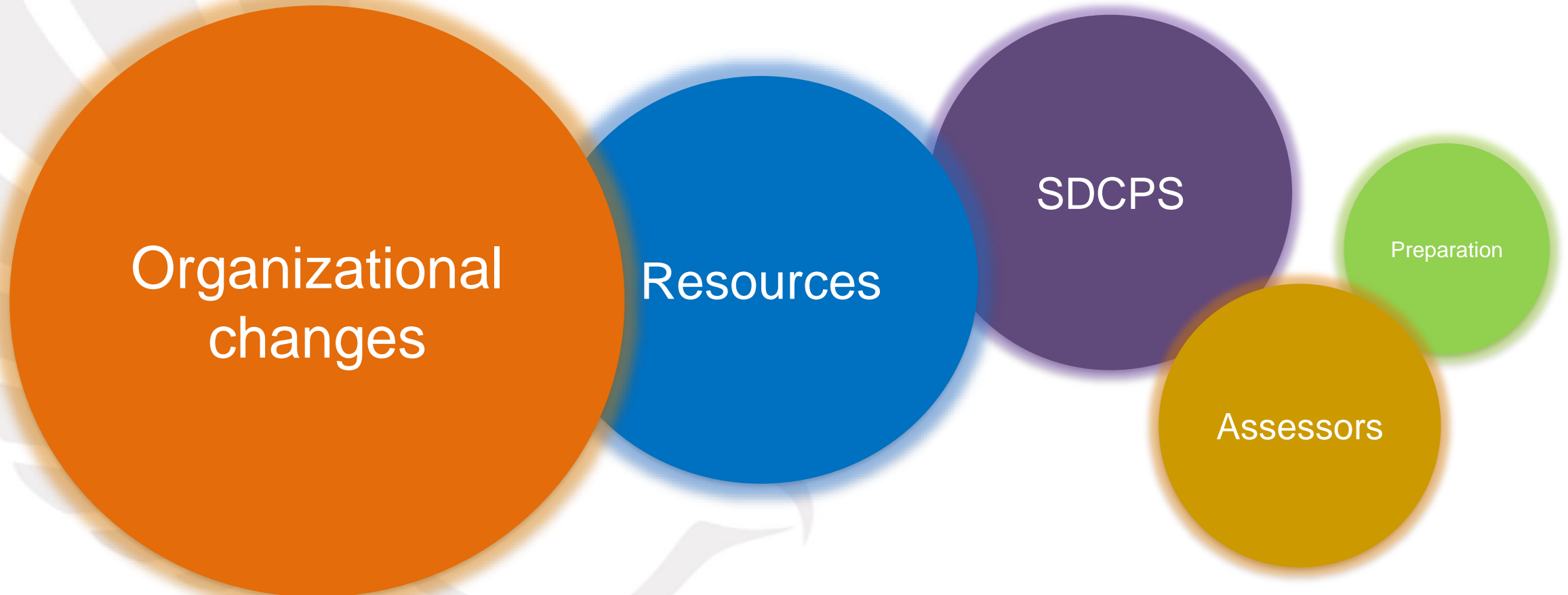


# SMS Maturity – Summary





## SMS Effectiveness Assessment – Factors





## Opportunities for Improvement – Top 10

1. **Safety Committees** – Ensure agendas and outcomes are aligned with their defined Terms of Reference to enhance accountability and effectiveness.
2. **Just Culture Policy** – Promote greater clarity and consistency in its application to support a fair and transparent safety environment.
3. **Emergency Response Plan (ERP)** – Establish regular testing, coordination, and updates to maintain readiness and reliability.
4. **Safety Data Collection and Processing System (SDCPS)** – Strengthen oversight and management to improve data integrity and usability.
5. **Hazard Register** – Foster coordinated efforts for development, adopt a standardized hazard taxonomy, and implement consistent review mechanisms.



## Opportunities for improvement – Top 10

- 6. Risk Management** – Standardize processes and ensure systematic verification of risk controls to enhance risk mitigation.
- 7. Management of Change (MoC)** – Improve consistency in the application and documentation of change management procedures.
- 8. Data Analysis for Continuous Improvement** – Enhance analytical capabilities to better leverage available safety data for proactive improvements.
- 9. Safety Training Program** – Develop and deliver customized training modules tailored to operational needs and risk profiles.
- 10. Competency Assessment and Remedial Action Program** – Implement a structured and effective framework for assessing competencies and addressing gaps through targeted interventions.



# Thank you !