CIVIL AVIATION AUTHORITY OF NEW ZEALAND
Te Mana Rererangi Tūmatanui o Aotearoa

Aviation Security Service
Kaiwhakamaru Rererangi

SMS Maturity

Where is your organisation?

New CAA SMS Maturity Assessment Tool

Where are we at with SMS?

Bit of a re-cap

Intro into NZ in 2 Groups from 2016

Currently 12 Part 146 Organisations

All - SMS Initial Certification

Most will have gone through one renewal, some maybe two

Questions to consider

- *How is your SMS working for your organisations – what is it telling you?*
- *Is there a good linkage to your day-to-day Design Delegation work?*
- *How do you know this?*

CAA recently published

Useful tool to benchmark your SMS

Can use as part of Management Reviews & Continuous Improvement

[SMS Maturity Tool Link]

Purpose of the Maturity Tool

Provide guidance for self-assessment & measurement of safety system.

- it's guidance, there's no requirement to submit it to the CAA.

Designed to be used interactively, by talking with people across your organisation and observing how things work in practice.

That's where the new tool can help – it can:

- provides clearer expectations and guidance on what an 'Operating' and 'Effective' SMS means
- helps explain what good safety performance looks like
- helps organisations with an organised and efficient approach to safety
- focuses on how well your systems work—not just whether they exist
- was developed with input from the aviation industry to make sure it's practical and relevant.

Example Element
3. DOCUMENTATION
What to look for

Indicators of good performance
OPERATING

Indicators of effective performance
EFFECTIVE

3. Development, Control and Maintenance of Safety Management Documentation

Present & Suitable Requirements: The organisation is required to develop and maintain SMS documentation. This should describe the safety poli and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs. The organisation can in documentation (exposition) or develop and maintain a stand-alone SMS manual to communicate its approach to the management of safety throu

Maturity Assessment:

What to look for:

- Is the entire suite of SMS documentation – such as the Exposition, reporting platforms, risk management procedures and platforms, ERP, and audit processe implementation? What process is in place for review to ensure this?
- How were significant changes, if any, made to the SMS documentation? Were these changes deemed "Material" under the rule and subsequently notified to
- When amendments have been made how are the potential impacts of the amendment assessed and managed? Are the changes evaluated for their effects c requirements), and are these considerations effectively communicated across the organisation?
- Have changes to the SMS documentation been authorised in alignment with procedures set out in the Exposition? Is it evidence who assessed the change ar
- How are compliance requirements regarding the control, amendment and storage of documentation being ensured? Are the records being generated by th stored in accordance with the exposition?
- How is it ensured that personnel have access to the most current documents? How is version control effectively managed? Do personnel know where to lo
- Can personnel clearly articulate which parts of the SMS documentation are relevant to their roles and responsibilities? For example, do they understand ho awareness of the procedures for requesting changes to organisational processes? Have there been changes requested by personnel outside of management

	Indicators of good performance (Operating)	Evidence, Notes and Act
Evaluation	The SMS documentation remains suitable for the size, complexity, and nature of the organisation and is reviewed.	[
	Changes to the SMS documentation are authorised appropriately, managed, and communicated throughout the organisation where applicable.	[
	SMS documentation is appropriately controlled, and compliance requirements as per the rule are being met.	[
	SMS supporting documents and records are appropriately stored and found to be complete and consistent with data protection and confidentiality requirements. Where appropriate the records are stored in a way that enables the extraction of safety data for ongoing analysis of the SMS.	[
	Samples show that employees are familiar with the SMS documentation relevant to them and follow the relevant parts of the SMS documentation.	[
	Indicators of Effective performance (Effective)	**Evidence, Notes and Act**
Evaluation	The SMS documentation describes the approach to the management of safety; it is used throughout the organisation and is regularly reviewed and appropriately updated particularly following an event or identification of hazards.	[
	SMS Documentation is proactively reviewed for improvement and employees are encouraged and participate in suggestions for change.	[
	The documentation supports the safety objectives of the organisation, is accessible and effort is made to ensure it is logical and easy to use	[
	SMS records are routinely used as inputs for safety management related tasks and continuous improvement of the SMS.	[

PSOE Model – Operating and Effective

OPERATING (O) What SMS produces	EFFECTIVE (E) What SMS achieves
There is evidence that the indicator is in use, and an output is being produced.	There is evidence the indicator is in use and achieving the desired outcome.
The participant has embraced SMS and is implementing systems, processes, and practices to achieve safety performance, but outputs may not yet be demonstrating improvements in safety.	The participant has embraced SMS and is using their systems, processes, and practices to achieve greater safety performance. Outcomes have a positive safety impact.
So…. you are using the safety system and putting things in place, but it's not clear yet that these efforts are making things safer.	So…. you are actively using the safety system to improve safety – efforts are making a real difference and you can see signs that safety is getting better.

Risk Management
What to look for: Examples

- How is it ensured that management are fully aware of medium and high risks? Are they informed about the effectiveness of controls in place, and how do they justify the acceptability of those risks?
- Is the risk management process establishing acceptable risk levels and defining who is responsible for accepting those levels?
- Are personnel involved in risk management trained, do their records demonstrate that?
- Is the risk register actively updated and used? Can it be evidenced that new data from the safety reporting system has resulted in risk level adjustments or modifications to controls?

Indicators of good performance (Operating)
Examples

Management is actively involved in medium and high risks and their mitigation and controls.
Those agreeing to the "acceptable" level are authorised to do so, the defined risk acceptability is being applied, and people understand the levels they are accepting ownership of.
Those analysing risk understand and can demonstrate the application of likelihood and consequence criteria in relevance to the activity or situation they are assessing, and risks are showing logical application of the criteria.
Risk analysis and assessments are carried out in a consistent manner based on the defined process and involve a suitable range of stakeholders.
Operational, technical, human, and organisational factors are considered as part of the development of risks controls.

Indicators of Effective performance (Effective)
Examples

Risk acceptability criteria are used routinely and applied in management decision making processes. These criteria are reviewed regularly to ensure they are relatable to the activity being undertaken.
Significant risks are accurately shown in the risk register - where controls are critical these are emphasised and are being monitored in an ongoing basis as critical.
Risk controls are developed and monitored by a variety of personnel and expertise as normal practice in the organisation. Controls are practical and sustainable, applied in a timely manner and do not create additional risk
Risk controls are continually assessed and actions taken to ensure they are effective and delivering a safe service
The effectiveness of the risks controls is addressed at regular safety meetings and safety review meetings. Where risk controls are found ineffective, the reasons for this are investigated by the organisation

Part 146 Design Organisation SMS Risk Checklist

- An AI generated checklist providing examples of key aviation safety risks for Part 146 Org to consider
- It summarises what good practice looks like for each area, and how the organisation's SMS can link to these risks.

Risk Area	What Good Looks Like	SMS Tie-In
Design Errors / Verification Gaps	Robust peer review and verification processes; clear traceability between requirements, analysis, test results, and certification evidence.	Hazard identification for design errors; risk assessments logged; audit findings tracked as SMS safety actions.
Configuration & Change Control	Controlled release and revision management; clear change impact assessments; version-controlled data management.	Configuration management risks captured in SMS; change control events monitored as safety performance indicators.
Delegation Governance	Delegation privileges clearly defined, periodically reviewed, and aligned with individual competence; strong oversight by Senior Persons.	Delegation misuse or over-extension treated as safety hazards; monitored through internal assurance and safety reporting.

Part 146 SMS Risk Checklist - continued

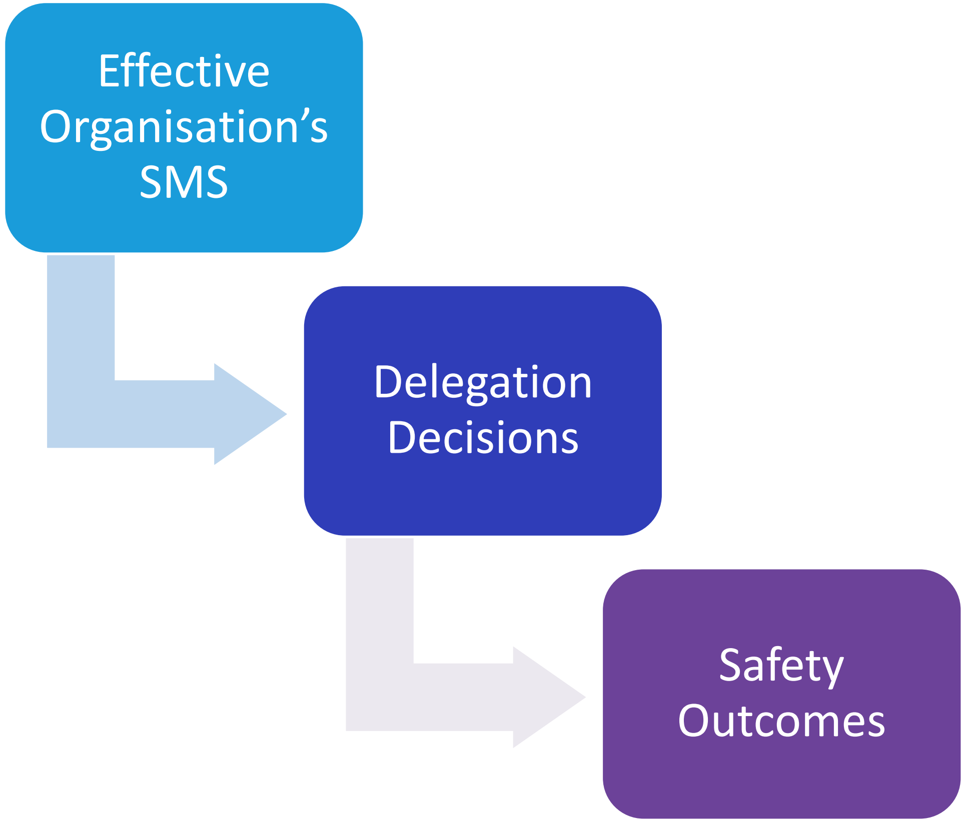
Risk Area	What Good Looks Like	SMS Tie-In
Competency & Resourcing	Adequate staffing levels and training; experience matrices maintained; delegation holders revalidated regularly.	Competency shortfalls included in risk register; safety assurance monitors training completion and delegation currency.
Supplier / Subcontractor Design Work	Supplier capability evaluated; technical deliverables reviewed and verified before acceptance.	Subcontractor design outputs treated as external hazards; SMS includes supplier oversight and quality feedback.
Software & Complex Systems	Software lifecycle and validation plans established; cybersecurity and tool qualification addressed.	Complex systems risks captured in hazard analysis; linked to SPIs on verification completeness and post-release findings.
Safety Investigations & Lessons Learned	Structured process to capture service issues and apply corrective design actions; trend analysis performed.	Safety events feed back into design SMS; recurring issues prompt design reviews and RCA tracking.

Part 146 SMS Risk Checklist - continued

Risk Area	What Good Looks Like	SMS Tie-In
Human Factors in Design	Human factors integrated into design reviews; workload, assumptions, and interface usability assessed.	Human factors hazards identified and tracked; SMS metrics include human factors-related findings.
Organisational Culture / Pressure	Safety priorities balanced with schedule and commercial pressures; management reinforces a just culture.	Organisational pressures recognised as hazards; surveyed in safety climate checks; discussed in SMS review meetings.
Technical Data & Documentation Control	Centralised document management system with revision tracking; regular audits of technical data integrity.	Data control failures recorded in SMS; audits feed into SPIs on data accuracy and document control compliance.

Why SMS Maturity Matters?

- *Your delegated design decisions influence safety outcomes.*
- *SMS supports effective, informed decisions.*



Wrap Up

Thanks for your time today to talk about SMS

- Pausing to think about your SMS is a useful exercise
- The new SMS Maturity Tool will contribute to a structured way to do this

My original questions to consider

- *How is your SMS working for your organisations – what is it telling you?*
- *Is there a good linkage to your day-to-day Design Delegation work?*
- *How do you know this?*

Any Questions?

I am around for the rest of the day

Hard copies of the SMS Maturity Tool and SMS Risk Checklist are available