



**SAFETY MANAGEMENT SYSTEM**

<b>SMS ASSESSMENT CHECKLIST-INITIAL</b>			
<b>Organization name:</b>	<b>Date of assessment:</b>	<b>Assessed by:</b>	<b>Ref:</b>
Input column: Annotate "Y" for Yes, "N" for No, "N/A" for not applicable			
<b>SMS Level</b>	<b>SMS Element</b>	<b>Doc ref/ remarks</b>	<b>Y/N/NA</b>
<b>SMS Component 1. Safety Policy and Objectives</b>			
<b>Management commitment and responsibilities 1.1</b>			
1.1/L1/1	There is a documented safety policy statement		
1.1/L1/2	The safety policy is relevant to aviation safety.		
1.1/L1/3	The safety policy is relevant to the scope and complexity of the organization's operations.		
1.1/L2/1	There is evidence that the safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations.		
1.1/L2/2	The safety policy is endorsed by the accountable manager.		
1.1/L2/3	The safety policy addresses the provision of the necessary human and financial resources for its implementation.		
1.1/L3/1	There is a periodic review of the safety policy by senior management or the safety committee		
1.1/L3/2	The accountable manager's terms of reference indicate his overall responsibility for all safety issues.		
<b>Safety accountabilities 1.2</b>			
1.2/L1/1	There is a documented safety (SMS) accountability within the organization that begins with the accountable manager.		
1.2/L1/2	The accountable executive has final authority over all the aviation activities of his organization.		
1.2/L1/3	There is a safety committee (or equivalent mechanism) that reviews the SMS and its safety performance.		
1.2/L1/4	The safety committee includes relevant operational or departmental heads as applicable.		
1.2/L2/1	The accountable manager's terms of reference indicates his ultimate responsibility for his organization's safety management.		
1.2/L2/2	The accountable manager's final authority over all operations conducted under his organization's certificate(s) is indicated in his terms of reference.		
1.2/L2/3	For a large organization, there are departmental or section safety action groups that work in conjunction with the safety committee.		
1.2/L2/4	There is an appointed safety (SMS) coordinator within the safety action group.		
1.2/L3/1	The safety committee is chaired by the accountable manager or (for very large organizations) by an appropriately assigned deputy, duly substantiated in the SMS manual.		
1.2/L3/2	The safety action groups are chaired by the departmental or section head where applicable		
<b>Appointment of key safety personnel 1.3</b>			
1.3/L1/1	There is a manager who performs the role of administering the SMS.		
1.3/L1/2	The manager performing the SMS role has relevant SMS functions included in his terms of reference.		



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1.3/L2/1	The manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.		
1.3/L3/1	The SMS manager has direct access or reporting to the accountable manager concerning the implementation and operation of the SMS.		
1.3/L3/2	The SMS manager is a senior management position not lower than or subservient to other operational or production positions.		
<b>Emergency response planning 1.4</b>			
1.4/L1/1	There is a documented ERP or equivalent operational contingency procedure.		
1.4/L1/2	The ERP is appropriate to the size, nature and complexity of the organization.		
1.4/L1/3	The emergency plan addresses possible or likely emergency/crisis scenarios relating to the organization's aviation product or service deliveries		
1.4/L2/1	The ERP includes procedures for the continuing safe production, delivery or support of aviation products or services during such emergencies or contingencies.		
1.4/L2/2	There is a plan for drills or exercises with respect to the ERP.		
1.4/L2/3	ERP drills or exercises are carried out according to plan and the result of drills carried out are documented.		
1.4/L3/1	The ERP addresses relevant integration with external customer or subcontractor organizations where applicable.		
1.4/L3/2	There is a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness		
<b>SMS documentation 1.5</b>			
1.5/L1/1	There is an SMS document or exposition which is approved by the accountable manager and accepted by the CAA.		
1.5/L1/2	The SMS document provides an overview or exposition of the organization's SMS framework and elements		
1.5/L1/3	The SMS document is a stand-alone controlled document or a distinct part/section of an existing CAA endorsed/accepted document.		
1.5/L1/4	All components and elements of SMS regulatory requirements are addressed in the SMS document.		
1.5/L1/5	Records are maintained pertaining to safety risk assessments performed.		
1.5/L1/6	Records pertaining to identified or reported hazards/threats are maintained.		
1.5/L2/1	The SMS document is accepted or endorsed by the organization's national aviation authority		
1.5/L2/2	The SMS document's exposition of each SMS element includes cross-references to supporting or related procedures, manuals or systems as appropriate.		
1.5/L2/3	Records are maintained pertaining to safety committee/SAG meeting (or equivalent) minutes.		
1.5/L2/4	Records pertaining to periodic review of existing safety/risk assessments or special review in conjunction with relevant changes are available.		
1.5/L3/1	The SMS procedures reflect appropriate integration with other relevant management systems within the organization, such as QMS, OSHE, and security, as applicable.		



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1.5/L3/2	The SMS procedures reflect relevant coordination or integration with external customer or subcontractor organizations where applicable.		
1.5/L3/3	There is a process to periodically review the SMS exposition and supporting documentation to ensure their continuing relevance.		
<b>SMS Component 2. Safety Risk Management</b>			
<b>Hazard identification 2.1</b>			
2.1/L1/1	There is a procedure for voluntary hazards/threats reporting by all employees.		
2.1/L1/2	There is a procedure for incident/accident reporting by operational or production personnel		
2.1/L1/3	There is a procedure for investigation of incident/accidents relating to quality or safety.		
2.1/L2/1	In the hazard identification system, there is a clear definition of and distinction between hazards and consequences		
2.1/L2/2	The hazard reporting system is confidential and has provisions to protect the reporter's identity.		
2.1/L2/3	The organization's internal investigation and disciplinary procedures distinguish between premeditated and deliberate violations and unintentional errors and mistakes.		
2.1/L3/1	There is a procedure to identify hazards/threats from internal incident/accident investigation reports for follow-up risk mitigation where appropriate.		
2.1/L3/2	There is a procedure to review hazards/threats from relevant industry service or incident/accident reports for risk mitigation where applicable.		
2.1/L3/3	There is a procedure for periodic review of existing risk analysis records		
<b>Safety risk assessment and mitigation 2.2</b>			
2.2/L1/1	There is a documented HIRM procedure involving the use of objective risk analysis tools.		
2.2/L1/2	There is a procedure for identification of operations, processes, facilities and equipment which are deemed (by the organization) as relevant for HIRM.		
2.2/L1/3	There is a programme for progressive HIRA performance of all aviation safety-related operations, processes, facilities and equipment as identified by the organization.		
2.2/L2/1	Risk assessment reports are approved by departmental managers or at a higher level where appropriate.		
2.2/L2/2	Recommended mitigation actions which require senior management decision or approval are accounted for and documented.		
2.2/L2/3	There is a procedure to prioritize HIRA performance for operations, processes, facilities and equipment with identified or known safety-critical hazards/risks.		
2.2/L3/1	There is evidence of progressive compliance and maintenance of the organization's HIRA performance programme.		
<b>SMS Component 3. Safety Assurance</b>			
<b>Safety performance monitoring and measurement 3.1</b>			
3.1/L1/1	There are identified safety performance indicators for measuring and monitoring the organization's safety performance.		



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3.1/L1/2	There are high-consequence data-based safety performance indicators (e.g. accident and serious incident rates).		
3.1/L2/1	There are lower-consequence safety performance indicators (e.g. non-compliance, deviation events).		
3.1/L2/2	There are alert and/or target level settings within the safety performance indicators where appropriate.		
3.1/L3/1	There is a procedure for corrective or follow-up action to be taken when targets are not achieved and/or alert levels are breached.		
3.1/L3/2	Safety performance indicators are reviewed by the safety committee for trending, alert levels that have been exceeded and target achievement where applicable.		
<b>The management of change 3.2</b>			
3.2/L1/1	There is a procedure for review of relevant existing aviation safety-related facilities and equipment (including HIRA records) whenever there are pertinent changes to those facilities or equipment.		
3.2/L1/2	There is a procedure for review of relevant existing aviation operations and processes (including HIRA records) whenever there are pertinent changes to those operations or processes.		
3.2/L2/1	There is a procedure for review of new aviation safety-related facilities and equipment for hazards/risks before they are commissioned.		
3.2/L2/2	There is a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are commissioned.		
3.2/L3/1	There is a procedure for review of relevant existing facilities, equipment, operations or processes (including HIRM records) whenever there are pertinent changes external to the organization such as regulatory/industry standards, best practices or technology.		
<b>Continuous improvement of the SMS 3.3</b>			
3.3/L1/1	There is a procedure for periodic internal audit/assessment of the SMS.		
3.3/L1/2	There is a current internal SMS audit/assessment plan.		
3.3/L1/3	There is a documented internal SMS audit/assessment procedure.		
3.3/L2/1	There is a follow-up procedure to address audit corrective actions.		
3.3/L2/2	The SMS audit plan includes the sampling of completed safety assessments.		
3.3/L3/1	SMS audit/assessment has been carried out according to plan.		
3.3/L3/2	There is a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention when necessary.		
3.3/L3/3	The SMS audit plan covers the SMS roles/inputs of contractors where applicable.		
<b>SMS Component 4. Safety Promotion</b>			
<b>Training and communication 4.1 &amp; 4.2</b>			
4.1/L1/1	There is a documented SMS training/familiarization policy for personnel.		
4.1/L1/2	The manager responsible for SMS administration has undergone an appropriate SMS training course.		



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4.1/L1/3	The accountable manager has undergone appropriate SMS familiarization, briefing or training.		
4.1/L2/1	Personnel involved in conducting risk evaluation are provided with appropriate risk management training or familiarization		
4.1/L2/2	Personnel directly involved in the SMS (safety committee/SAG members) have undergone appropriate SMS training or familiarization.		
4.1/L3/1	There is evidence of organization-wide SMS education or awareness efforts.		
4.1/L3/2	There is evidence of a safety (SMS) publication, circular or channel for communicating safety and SMS matters to employees.		

**ASSESSMENT RESULT from Grand Total [Y/(Y + N)]: \_\_\_\_ %**

**CORRECTIVE ACTION NOTICE (CAN) PROCEDURE**

- 1) Minimum overall acceptable performance (phased SMS implementation):  
First year/phase of assessment (e.g. 2012) — 45%.  
Second year/phase of assessment (e.g. 2013) — 65%.  
Third year/phase of assessment (e.g. 2014) and thereafter — 85%.  
Ninety (90) days for corrective action to obtain not less than 45% overall performance.
- 2) Baseline performance (Level 1 questions) (during any year/phase of assessment subsequent to State's SMS required applicability date:  
Corrective action notice (CAN) to be issued for "No" answers to any Level 1 questions (during any year/phase of assessment).  
(Sixty (60) days for corrective action to obtain a "Yes" answer to the relevant question(s)).

**On-site Review Record**

1. The on-site review is to validate observations from the documentation review exercise. This includes deficiencies in the submitted documentation, as well as verifying that the documented policies, processes and procedures are in place and available for immediate use when the applicants request for certification is granted.
2. Deficiencies noted by the review team will be rectified by the air operators prior to acceptance of the SMS.  
  
Company documentation was validated on site and the SMS portion of the organization is acceptable for initial certification of the air operator.

Date: \_\_\_\_\_ FOI signature: \_\_\_\_\_ Name: \_\_\_\_\_

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