

**Table A SMS ASSESSMENT Checklist - Initial SMS Acceptance**

SMS ASSESSMENT Checklist - Initial Acceptance				SMS Audit Chklist_Routine / 18 Aug 2011	
INPUT COLUMN: ANNOTATE "Y" for YES, "N" for NO, "NA" for NOT APPLICABLE				REF:	
Component / Element	Level 1 Input Doc Ref/ Remarks	Level 2 Input Doc Ref/ Remarks	Level 3 Input Doc Ref/ Remarks	Doc Ref/ Remarks	Doc Ref/ Remarks
Management commitment & responsibilities [1.1]	SP/L1/1  There is a documented Safety Policy statement.	SP/L3/1  There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations.	SP/L3/2  The Safety Policy is endorsed by the Accountable Manager.	SP/L3/2  There is a periodic review of the Safety Policy by senior management or the Safety Committee	N  N
Safety accountability [1.2]	SP/L1/2  The Safety Policy is relevant to aviation safety.	SP/L2/2  The Safety Policy is endorsed by the Accountable Manager.	SP/L2/3  The safety policy do address the provision of necessary human and financial resources for its implementation.	AM/L3/1  The Accountable Manager's terms of reference indicate his overall responsibility for all safety issues	N  N
AM/L1/1  There is a documented safety (SMS) accountability within the organisation that begins with the Accountable Manager	AM/L1/2  The Accountable Executive have final authority over all aviation activities of his organization	AM/L2/1a  The Accountable Manager's terms of reference does indicate his ultimate responsibility for his organization's SMS	AM/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	AM/L2/2  N	N  N
SC/L1/1  There is a Safety Committee (or equivalent mechanism) that reviews the SMS and its safety performance	SC/L2/1  For a large organisation, there are departmental or section Safety Action Groups that work in conjunction with the Safety Committee	SC/L2/1  The Safety Committee is chaired by the Accountable Manager or (for very large organisations) by an appropriately assigned deputy, duly substantiated in the SMS manual	SC/L3/1  The Safety Committee is chaired by the Accountable Manager or (for very large organisations) by an appropriately assigned deputy, duly substantiated in the SMS manual	NA  Y	Y  Y

Component / Element	Level 1		Doc Ref/ Remarks	Level 2	Doc Ref/ Remarks	Level 3	Doc Ref/ Remarks
	Input	Output					
SC/L1/2 The Safety Committee do include relevant operational or departmental Heads as applicable	There is a Manager who performs the role of administering the SMS	There is an appointed Safety (SMS) coordinator within the Safety Action Group	SC/L2/2 NA	SM/I/2/1 The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.	SM/I/3/1 N	The Safety Action Groups are chaired by the departmental or section Head where applicable.	SC/L3/2 NA
SM/L1/1 The Manager performing the SMS role have relevant SMS functions included in his terms of reference	There is a documented Emergency Response Plan or equivalent operational contingency procedure.	ERP/L1/1 Y	ERP/L1/2 Y	ERP/L2/1 Does the ERP include procedures for the continuing safe production, delivery or support of its aviation products or services during such emergencies or contingencies?	ERP/L2/2 Y	The SMS Manager has direct access or reporting to the Accountable Manager concerning the implementation & operation of the SMS	SM/I/3/1 N
ERP/L1/2 The ERP is appropriate to the size, nature and complexity of the organisation.	Does the Emergency plan address possible or likely emergency/ crisis scenarios relating to the organisations aviation product or service deliveries?	ERP/L1/3 N	SME/L1/1 Y	ERP drills or exercises are carried out according to plan and result of drills carried out are documented.	ERP/L2/3 N	The SMS Manager is a senior management position not lower than or subservient to other operational or production positions	ERP/L3/2 N
Safety Policy and Objectives Emergency Response Planning [1.4] Appointment of key safety personnel [1.3]	Emergency Response Plan or equivalent operational contingency procedure.	ERP/L1/2 Y	ERP/L2/2 Y	ERP/L3/1 N	The ERP do address relevant integration with external customer or sub-contractor organizations where applicable	There is a procedure for periodic review of the ERP to ensure its continuing relevance & effectiveness.	ERP/L3/2 N
			SME/L1/1 Y	SME/L2/1 Y	SME/L3/1 N	The SMS procedures do reflect appropriate integration with other relevant management systems within the organisation, such as QMS, OSHE, Security, as applicable.	SME/L3/1 N

Component / Element	Level 1	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
SME/L1/2	The SMS Document do provide an overview or exposition of the organization's SMS framework & elements.	Y	SME/L2/2	The SMS Document exposition of each SMS element do include cross references to supporting or related procedures, manuals or systems as appropriate.	Y	SME/L3/2	The SMS procedures do reflect relevant coordination or integration with external customer or sub-contractor organizations where applicable.	N
SME/L1/3	The SMS Document is a stand alone controlled document or a distinct part/ section of an existing CAA endorsed/ accepted document.	Y	SME/L2/3	Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are made maintained.	Y	SME/L2/2	There is a process to periodically review the SMS Exposition & supporting documentation to ensure their continuing relevance.	N
SR/L1/1	All components & elements of SMS regulatory requirements are addressed in the SMS Document.	Y	SR/L1/2	Records pertaining to periodic review of existing Safety/ Risk Assessments or special review in conjunction with relevant changes are available.	N	SR/L3/2		
SR/L1/2	Records pertaining to Safety Risk Assessments performed are maintained.	Y	SR/L1/3	Records pertaining to identified or reported hazards/ threats are maintained.		HII/L2/1	In the hazard identification system, there is a clear distinction/ definition between hazards and consequences.	HII/L3/1
	There is a procedure for voluntary hazards/ threats reporting by all employees.	Y			N		There is a procedure to identify hazards/ threats from internal incident/ accident investigation reports for follow up risk mitigation where appropriate.	N
HII/L1/2	There is a procedure for incident/ accident reporting by operational or production personnel.	Y			HII/L2/2		HII/L3/2	There is a procedure to review hazards/ threats from relevant industry service or incident/ accident reports for risk mitigation where applicable.

rd identification [2.1] SMS Documentation [1.5]

Component / Element	Level 1 Input	Doc Ref/ Remarks	Level 2 Input		Doc Ref/ Remarks	Level 3 Input	Doc Ref/ Remarks
			H/L/1/3	H/L/2/2			
Hazard	There is a procedure for investigation of incident/ accidents relating to quality or safety.	Y		The organization's internal investigation & disciplinary procedures do distinguish between premeditated/ deliberate violations from unintentional errors & mistakes.	N		There is a procedure for periodic review of existing risk analysis records.
	RM/L1/1	There is a documented Hazard Identification & Risk Mitigation (HIRM) procedure involving the use of objective risk analysis tools.	Y	Risk assessment reports are approved by departmental managers or higher level where appropriate.	N		RM/L2/1
	RM/L1/2					RM/L2/2	
	RM/L1/3				Recommended mitigation actions which require senior management decision or approval are accounted for and documented.	N	RM/L3/1
	RM/L1/4			There is a procedure to prioritise HIRA performance for operations/ processes/ facilities/ equipment with identified or known safety-critical hazards/ risks.	N		RM/L3/4
Safety Risk Management & measurement 3.1]	Risk assessment and mitigation [2]			SPALS/L1/1	There are lower consequence safety performance indicators (eg non compliance, deviation events)	N	SPALS/L1/1
				SPALS/L1/2	There are identified safety performance indicators for measuring & monitoring the organisation's safety performance.	N	SPALS/L1/2
				SPALS/L1/2	There are alert and/ or target level settings within the safety performance indicators where appropriate.	N	SPALS/L1/2/2
							Safety performance indicators are reviewed by the safety committee for trending, alert level exceedance and target achievement where applicable.

Component / Element	Level 1		Doc Ref/ Remarks	Input	Level 2	Doc Ref/ Remarks	Input	Level 3	Doc Ref/ Remarks
	Input	Level 1							
Safety Assurance	Continuous Improvement [3.3]	The Management of Change [3.2]							
Communication & Promotion	[4.1, 4.2]								
Component / Element	There is a documented internal SMS audit/ assessment procedure.	N	STCP/L1/1		STCP/L2/1	Personnel involved in conducting risk evaluation are provided with appropriate risk management training or familiarisation.		STCP/L3/1	There is evidence of organisation wide SMS education or awareness efforts.
	There is a documented personnel SMS training/ familiarization policy.	Y	STCP/L1/2		STCP/L2/2	Personnel directly involved in the SMS (Safety Committee/ SAG members) have undergone appropriate SMS training or familiarisation.		STCP/L3/2	There is evidence of a Safety (SMS) publication, circular or channel for communicating Safety & SMS matters to employees.
	The manager responsible for SMS administration has undergone an appropriate SMS training course.	Y							

Component / Element	Level 1	Doc Ref/ Remarks	Level 2	Doc Ref/ Remarks	Level 3	Doc Ref/ Remarks
Training, E	STCP/L1/3	The Accountable Manager has undergone appropriate SMS familiarisation, briefing or training.				

SUB -	CATEGORY 1	CATEGORY 2	CATEGORY 3
Y	23	6	2
N	11	21	19
NA	0	2	1
NO OF QN			
COMPLETED	34	29	22

GRAND TOTAL *	
Y	31
N	51
NA	3
NO. OF QN	0
COMPLETED	85

ASSESSMENT RESULT (% OF YES):	
	38.7%

Corrective Action Notice (CAN) Procedure	
<b>1) MINIMUM ACCEPTABLE PERFORMANCE (Phased SMS Implementation):</b>	
1st year/ phase of assessment (eg 2012) - 45%. 2nd year/ phase of assessment (eg 2013) - 65%. 3rd year/ phase of assessment (eg 2014) and thereafter - 85%. [Ninety (90) days for corrective action to obtain not less than 45% overall performance]	
<b>2) Baseline Performance (Level 1 Questions)</b> [during any year/ phase of assessment, subsequent to State's SMS requirement applicability date]:	
Corrective Action Notice (CAN) to be issued for "No" answers to <u>any</u> 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)]	

Table B SMS ASSESSMENT Checklist – Routine SMS Assessment

SMS ASSESSMENT Checklist - Routine Assessment		
SMS Element	Assessment Question (39)	
Management commitment & responsibilities [1.1]	1	The Safety Policy is relevant to the scope and complexity of the organization's operations.
	2	There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations.
	3	There is a periodic review of the Safety Policy by senior management or the Safety Committee
	4	The Accountable Manager's terms of reference indicate his overall responsibility for all safety issues
Safety accountabilities [1.2]	1	There is a Safety Committee (or equivalent mechanism) that reviews the SMS and its safety performance
	2	The Accountable Manager's final authority over all operations conducted under his Organization's Certificate(s) is indicated in his terms of reference
Appointment of key safety personnel [1.3]	1	The Manager performing the SMS role have relevant SMS functions included in his terms of reference
	2	The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.
	3	The SMS Manager has direct access or reporting to the Accountable Manager concerning the implementation & operation of the SMS
	4	The SMS Manager is a senior management position not lower than or subservient to other operational or production positions
Emergency Response Planning [1.4]	1	Does the Emergency plan address possible or likely emergency/ crisis scenarios relating to the organization's aviation service deliveries?
	2	The ERP do include procedures for the continuing safe production, delivery or support of its aviation products or services during such emergencies or contingencies?
	3	ERP drills or exercises are carried out according to plan and result of drills carried out are documented.
	4	The ERP do address relevant integration with external customer or sub-contractor organizations where applicable
	5	There is evidence of periodic review of the ERP to ensure its continuing relevance & effectiveness.

SMS Element		Assessment Question
SMS Documentation [1.5]	1	The organization's SMS components and elements are adequately manifested in the SMS Document.
	2	The organization's documented SMS components and elements are in line with the aviation authority's SMS requirements.
	3	There is evidence of relevant SMS coordination or integration with external customer or sub-contractor organizations where applicable.
	4	There is evidence of procedure for periodic review of the SMS Document & supporting documentation to ensure their continuing relevance.
	5	Records pertaining to periodic review of existing Safety/ Risk Assessments are available.
Hazard identification [2.1]	1	The number or rate of the organization's registered/ collected hazard reports is commensurate with the size and scope of the organization's operations
	2	The hazard reporting system is confidential and has provisions to protect the reporter's identity.
	3	There is evidence that hazards/ threats uncovered during incident/ accident investigation process are registered with the HIRM system.
	4	There is evidence that registered hazards are systematically processed for risk mitigation where applicable.
Risk assessment and mitigation [2.2]	1	There is evidence that operations/ processes/ facilities/ equipment with aviation safety implications are progressively subjected to the organization's HIRM process.
	2	Completed risk assessment reports are approved by appropriate level of management.
	3	There is a procedure for periodic review of completed risk mitigation records.

SMS Element		Assessment Question
Safety performance monitoring & measurement [3.1]	1	The organization's SMS safety performance indicators have been agreed with the relevant national aviation authority
	2	There are high consequence databased safety performance indicators (eg accident & serious incident rates)
	3	There are lower consequence safety performance indicators (eg non compliance, deviation events)
	4	There are alert and/ or target level settings within the safety performance indicators where appropriate.
	5	The organization's Management of Change procedure do include the requirement for safety risk assessment to be conducted whenever applicable.
	6	There is evidence of corrective or follow up action taken when targets are not achieved and/or alert levels are breached.
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The Management of Change [3.2]	1	There is evidence that relevant aviation safety related processes and operations have been subjected to the organization's HIRM process as applicable.
	2	The organization's Management of Change procedure do include the requirement for safety risk assessment to be conducted whenever applicable.
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Continuous Improvement of the SMS [3.3]	1	There is evidence that internal SMS audit/ assessment has been planned and carried out.
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Training, Education & Communication [4.1, 4.2]	1	There is evidence that all personnel involved in SMS operation has undergone appropriate SMS training or familiarization
	2	Personnel involved in conducting risk evaluation are provided with appropriate risk management training or familiarisation.
	3	There is evidence of a Safety (SMS) publication, circular or channel for communicating Safety & SMS matters to employees.