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.
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.
Continuous Improvement of the SMS [3.3]	1	There is evidence that internal SMS audit/ assessment has been planned and carried out.
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.