



CIVIL AVIATION SAFETY AND SECURITY OVERSIGHT AGENCY

CHECKLIST

CAA: CL-O-GEN002A
June 2017

EVALUATION OF SERVICE PROVIDER'S SAFETY MANAGEMENT SYSTEMS MANUAL

Name of Operator:
Date of Evaluation:
Type of Operation:
Inspector(s): /
Assessment Code: S=Satisfactory; U = Unsatisfactory; N/C= Not Checked; N/A= Not Applicable

	Item	Assessment			
		S	U	N/C	N/A
A	OVERALL MANUAL PRESENTATION				
1	Is the manual bound in a secure form (not loose)?				
2	Does the exterior of the binder clearly indicates manual content?				
3	Does the manual include Table of Contents?				
4	Does the manual include adequate Revision Instructions?				
5	Does the manual include a correct List of effective pages?				
6	Is the Manual signed by the Accountable Manager?				
7	Is the manual distributed to all operational personnel involved in safety related duties?				
8	Is every page properly numbered and controlled in the LEP?				
9	Is there a description of how the manual is kept up to date?				
10	Is there a documented procedure to ensure that all personnel involved in safety-related duties have the most current version.				
11	Is there a process for periodic review of the manual and its related forms/ documents to ensure their continuing suitability, adequacy and effectiveness?				

12	Is correlation of this SMS manual with other existing manuals such as a Maintenance Control (MCM), Operations Manual, explained?				
13	Is the Manual administration, approval and regulatory acceptance process described?				
14	Does the manual cite the correct SMS regulatory requirements?				
15	Does the manual include definition of terms used therein?				
	INDIVIDUAL ITEM PRESENTATION AND CONTENT				
16	Does the manual state the Scope and integration of the safety management system?				
17	Does the manual contain the org anisation's Safety policy ;				
18	Is the safety policy appropriate to the size and complexity of the organization.				
20	Is the Safety Policy relevant to aviation safety.				
21	Does the safety policy state the organization's intentions, management principles and commitment to continuous improvement in aviation safety?				
22	Has the safety policy been approved by the Accountable Executive?				
23	Does the manual contain provision for the periodic review of the Safety Policy by senior management or the Safety Committee?				
B	SAFETY OBJECTIVES				
24	Does the manual clearly state the safety objective for the organisation?				
25	Are the Safety objectives expressed as a top-level statement describing the organization's commitment to achieving safety				
26	Are formal proceesses for developing coherent set of safety objectives defined?				
27	Is there a policy to publicized and distributed the Safety objectives throughout the organisation?				
28	Does the manual include a process for allocating resources for achieving the the safety objectives?				
29	Are Safety objectives linked to safety indicators to facilitate monitoring and measurement where appropriate?				
C	ROLES AND RESPONSIBILITIES				
30	Does the manual detail Safety accountabilities and key personnel?				
31	Does the role of the Accountable Executive include a responsiblity for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organization.				

32	Are the roles of the Safety Manager, Safety Committee or Safety Action Groups been clearly defined and described as appropriate.				
33	Does the manual define the qualification of the key management personnel and the Safety management?				
34	Does the manual define the composition and constitution of the safety committee and the safety review group?				
35	Does the manual define in details Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization?				
D	HAZARD IDENTIFICATION AND RISK MANAGEMENT				
36	Does the manual contain Hazard identification and risk assessment procedures?				
37	Do the procedures detail how identified hazards are evaluated/ prioritized/ processed for risk assessment as appropriate?				
38	Is there is a structured process for risk assessment, involving the evaluation of severity, likelihood, tolerability and preventive controls?				
39	Does the Hazard Identification and Risk assessment procedures focus on aviation safety as its fundamental context?				
40	Does the risk assessment process utilize worksheets/ forms or software which is appropriate to the complexity of the organization and operations involved?				
41	Does the manual define the appropriate level of management to approve the completed safety assessments?				
E	SAFETY REPORTING				
42	Does the manual contain Safety reporting and remedial actions?				
43	Does the manual have a procedure that provides for the capture of internal occurrences including accidents, incidents, and other occurrences relevant to SMS?				
44	Does the manual make a distinction between mandatory reports (accidents, serious incidents, major defects, etc) which are required to be notified to the CAA/AIG and other routine occurrence reports which remain within the organization?				
45	Does the manual define a voluntary and confidential hazard/ occurrence reporting system, incorporating appropriate identity/ data protection as applicable?				
46	Does the manual define the timelines and format for reporting accidents and incidents to the Authority?				
47	Are the respective reporting processes simple, accessible				

	and commensurate with the size of the organization?				
48	Is there a procedure for addressing reviewing high consequence reports and associated recommendations by appropriate level of management?.				
49	Does the manual define how reports are collected in an appropriate database to facilitate necessary analysis?				
50	Does the manual define how Safety-related investigations and remedial actions are conducted?				
51	Does the manual define a procedure to ensure that reported accidents and incidents are investigated internally?				
52	Does the procedure include how completed investigation reports are disseminated internally as well as to the CAA as applicable?				
53	Does the manual define a process for ensuring that corrective actions taken or recommended are carried out and evaluation of their outcomes/ effectiveness?				
54	Is there a procedure in the manual on disciplinary inquiry and actions associated with investigation report outcomes?				
55	Does the manual clearly define conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or wilful misconduct)?				
F	SAFETY PERFORMANCE MONITORING AND MEASUREMENT				
56	Does the manual describe the safety performance monitoring and measurement component of the SMS?				
57	Does the the safety performance monitoring and measurement include the organization's SMS safety performance indicators (SPIs)?				
58	Does the manual define a formal process to develop and maintain a set of safety performance indicators and their associated performance targets?				
59	Is the correlation of the SPIs to the organization's safety objectives, where applicable, and the process of regulatory acceptance of the SPIs, where required, defined in the manual?				
G	SAFETY TRAINING AND COMMUNICATION				
60	Does the manual document Training syllabus, eligibility and requirements?				
61	Does the manual define a validation process that measures the effectiveness of training?				
62	Does the training include initial, recurrent and update training, where applicable?				
63	Is the organization's SMS training part of the organization's overall training program?				

64	Is SMS awareness incorporated into the employment or indoctrination program Safety communication processes/ channels within the organization?				
H	CONTINUOUS IMPROVEMENT AND SMS AUDIT				
65	Does the manual describe the process for continuous improvement and review of the SMS?				
66	Does the process provide for regular internal audit/ review of the organization's SMS to ensure its continuing suitability, adequacy and effectiveness?				
67	Does the manual describe any other programs contributing to continuous improvement of the organization's SMS and safety performance eg MEDA, safety surveys, ISO systems, etc?				
I	SMS RECORDS MANAGEMENT				
68	Does the manual describe the method of storing all SMS related records and documents?				
69	Does the organization have an SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS?				
70	Do the records to be kept include hazard reports, risk assessments reports, Safety Action Group/Safety meeting notes, safety performance indicator charts, SMS audit reports, SMS training records, etc?				
71	Are the records traceable for all elements of the SMS and accessible for routine administration of the SMS as well as internal and external audits purposes?				
J	MANAGEMENT OF CHANGE				
72	Does the manual define a procedure to ensure that substantial organizational or operational changes do take into consideration any impact which they may have on existing safety risks?				
73	Does the manual define a procedure to ensure that appropriate safety assessment is performed prior to introduction of new equipment or processes which have safety risks implications?				
74	Does the manual define a procedure for review of existing safety assessments whenever there are changes to the associated process or equipment?				
K	EMERGENCY/ CONTINGENCY RESPONSE PLAN				
75	Does the manual describe the organization's intentions and commitment to dealing with emergency situations and their corresponding recovery controls?				
76	Does the organization's emergency response plan outline roles and responsibilities of all relevant personnel in the event of a major incident, crisis or accident?				

77	Does the Plan include a notification process that includes an emergency call list and an internal mobilization process?				
78	Does the organization have arrangements with other agencies for aid and the provision of emergency services as applicable?				
79	Does the manual define the organization's procedures for emergency mode operations where applicable?				
80	Does the manual detail a procedure for overseeing the welfare of all affected individuals and for notifying next of kin?				
81	Does the manual contain procedures for handling media and insurance related issues?				
82	Does the manual defined accident investigation responsibilities within the organization?				
83	Does the manual clearly state the requirements for preservation of evidence, securing affected area and mandatory/ governmental reporting?				
84	Does the manual include an emergency preparedness and response training for affected personnel?				
85	Does the manual include procedures for disabled aircraft or equipment evacuation plan by the organization in consultation with aircraft/ equipment owners, aerodrome operators or other agencies as applicable?				
86	Does the manual include a procedure for recording activities during an emergency response?				
L	Control Of Contracted Activities				
87	Does the manual include a procedure for Control of Contracted Activities?				
88	Does the manual include safety training procedures for personnel of contracted agencies on the service provider's SMS?				
M	Inspector's Assessment, Remarks & Recommendation				
Name and Signature of Inspector			Date:		
I hereby Accept the SMS Manual					
Signature			Date:		