



CHECKLIST

CIVIL AVIATION SAFETY AND SECURITY OVERSIGHT AGENCY

CAA: CL-O-GEN008A
June 2017

SERVICE PROVIDER'S SMS ASSESSMENT CHECKLIST

Name of Operator:
Date of Evaluation:
Type of Operation:
Inspector(s): /
Assessment Code: S=Satisfactory; U = Unsatisfactory; N/A= Not Applicable
L1= Level 1 L 2 = Level 2 L 3 = Level 3
Type of Inspection: Initial/Final Assessment

	Items	Assessment			
		S	U	N/A	REMARKS
1.	SAFETY POLICY AND OBJECTIVES				
1.1	Management commitment and responsibility				
L1	Is there a documented safety policy statement?				
L1	Is the safety policy relevant to aviation safety?				
L1	Is the safety policy relevant to the scope and complexity of the SP's operations?				
L2	Is 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?				
L2	Is the safety policy endorsed by the accountable manager?				

	Items	Assessment			
		S	U	N/A	REMARKS
L2	Does the safety policy address the provision of the necessary human and financial resources for its implementation?				
L3	Is there a provision for periodic review of the safety policy by senior management or the safety committee?				
L3	Does the accountable manager's terms of reference indicate his/her overall responsibility for all safety issues?				
1.2	Safety Accountabilities				
L1	Is there a documented safety (SMS) accountability within the SP's organization that begins with the accountable manager?				
L1	Does the accountable manager have final authority over all the aviation activities of the Organization?				
L1	Is there a safety committee (or equivalent mechanism) that reviews the SMS and its safety performance?				
L1	Does the safety committee include relevant operational heads as applicable?				
L2	Does the accountable manager's terms of reference indicate his/her ultimate responsibility for the Service Provider's safety management?				
L2	Is the accountable manager's final authority over all operations conducted by the service provider indicated in his/her terms of reference?				
L2	Are there departmental or sectional safety action groups that work in conjunction with the safety committee?				

	Items	Assessment			
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L2	Is there an appointed safety (SMS) coordinator within the safety action group?				
L3	Is the safety committee chaired by the accountable manager or (for large organizations) by an appropriately assigned deputy, duly substantiated in the SMS Manual?				
L3	Are the safety action groups chaired by the departmental or section heads?				
1.3	Appointment of key safety personnel				
L1	Is there a manager who performs the role of administering the SMS				
L1	Does the manager performing the SMS role have relevant SMS functions included in his/her terms of reference?				
L2	Is the manager responsible for administering the SMS prevented from holding other responsibilities that may conflict or impair his role as SMS manager?				
L3	Does the SMS manager have direct access or reporting to the accountable manager concerning the implementation and operation of the SMS?				
L3	Is the SMS manager a senior management position not lower than or subservient to other operational or production positions?				
1.4	Coordination of emergency response planning / operational contingency procedures				

	Items	Assessment			
		S	U	N/A	REMARKS
L1	Are there a documented operational contingency procedures?				
L1	Are the contingency procedures appropriate to the size, nature and complexity of the organization?				
L1	Do the contingency procedures address possible or likely emergency/crisis scenarios relating to the organization's aviation product or service deliveries?				
L2	Do the contingency procedures include procedures for the continuing safe production, delivery or support of aviation products or services during such emergencies or contingencies?				
L3	Do the operational contingency procedures address relevant integration with external customer or subcontractor organizations where applicable?				
L3	Is there a documented procedure for periodic review of the operational contingency procedures to ensure their continuing relevance and effectiveness?				
1.5	SMS Documentation				
L1	Is there an SMS document or exposition which is approved by the accountable manager and accepted by the Authority?				
L1	Does the SMS document provide an overview or exposition of the Service provider's SMS framework and elements?				

	Items	Assessment			
		S	U	N/A	REMARKS
L1	Is the SMS document a stand-alone controlled document or a distinct part/section of an existing document endorsed/accepted by the Authority?				
L1	Are all components and elements of SMS regulatory requirements addressed in the SMS document?				
L1	Are records maintained pertaining to performed safety risk assessments?				
L1	Are records pertaining to identified or reported hazards/threats maintained?				
L2	Is the SMS document accepted or endorsed by the Authority?				
L2	Does the SMS document's exposition of each SMS element include cross-references to supporting or related procedures, manuals or systems as appropriate?				
L2	Are records maintained pertaining to safety committee/SAG meeting (or equivalent) minutes?				
L2	Are records pertaining to periodic review of existing safety/risk assessments or special review in conjunction with relevant changes available?				
L3	Do the SMS procedures reflect appropriate integration with other relevant management systems within the Service Provider, such as QMS, security, as applicable?				

	Items	Assessment			
		S	U	N/A	REMARKS
L3	Do the SMS procedures reflect relevant coordination or integration with external customer or subcontractor organizations where applicable?				
L3	Is there a process to periodically review the SMS exposition and supporting documentation to ensure their continuing relevance?				
2.0	SAFETY RISK MANAGEMENT				
2.1	Hazard Identification				
L1	Is there a procedure for voluntary hazards/threats reporting by all employees?				
L1	Is there a procedure for incident/accident reporting by operational or production personnel?				
L1	Is there is a procedure for investigation of incident/accidents relating to quality or safety.				
L2	In the hazard identification system, is there a clear definition of and distinction between hazards and consequences?				
L2	Is the hazard reporting system confidential, and has it provisions to protect the reporter's identity?				
L2	Does the Service Provider's internal investigation and disciplinary procedures distinguish between premeditated and deliberate violations and unintentional errors and mistakes?				

	Items	Assessment			
		S	U	N/A	REMARKS
L3	Is there a procedure to identify hazards/threats from internal incident/accident investigation reports for follow-up risk mitigation where appropriate?				
L3	Is there a procedure to review hazards/threats from relevant industry service or incident/accident reports for risk mitigation where applicable?				
L3	Is there a procedure for periodic review of existing risk analysis records?				
2.2	Safety Risk Assessment and Mitigation				
L1	Is there a documented hazard identification and risk mitigation procedure involving the use of objective risk analysis tools?				
L1	Is there a procedure for identification of operations, processes, facilities and equipment which are deemed by the Service Provider as relevant for hazard identification and risk mitigation?				
L1	Is there a programme for progressive hazard identification and risk assessment performance of all aviation safety-related operations, processes, facilities and equipment as identified by the Service Provider?				
L2	Are risk assessment reports approved by departmental managers or at a higher level where appropriate?				
L2	Are recommended mitigation actions which require senior management decision or approval accounted for and documented?				

	Items	Assessment			
		S	U	N/A	REMARKS
L2	Is there a procedure to prioritize hazard identification and risk assessment performance for operations, processes, facilities and equipment with identified or known safety-critical hazards/risks?				
L3	Is there evidence of progressive compliance and maintenance of the Service Provider's hazard identification and risk assessment performance programme?				
3.	SAFETY ASSURANCE				
3.1	Safety Performance Monitoring and Measurement				
L1	Are there identified safety performance indicators for measuring and monitoring the Service Provider's safety performance?				
L1	Are there high-consequence data-based safety performance indicators (e.g. accident and serious incident rates)?				
L2	Are there lower-consequence safety performance indicators (e.g. non-compliance, deviation events)?				
L2	Are there alert and/or target level settings within the safety performance indicators where appropriate?				
L3	Is there a procedure for corrective or follow-up action to be taken when targets are not achieved and/or alert levels are breached?				

	Items	Assessment			
		S	U	N/A	REMARKS
L3	Are safety performance indicators reviewed by the safety committee for trending, alert levels that have been exceeded and target achievement where applicable?				
3.2	The Management of Change				
L1	Is there a procedure for review of relevant existing aviation safety-related facilities and equipment (including hazard identification and risk assessment records) whenever there are pertinent changes to those facilities or equipment?				
L1	Is there a procedure for review of relevant existing aviation operations and processes (including hazard identification and risk assessment records) whenever there are pertinent changes to those operations or processes?				
L2	Is there a procedure for review of new aviation safety-related facilities and equipment for hazards/risks before they are commissioned?				
L2	Is there a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are commissioned?				

	Items	Assessment			
		S	U	N/A	REMARKS
L3	Is there a procedure for review of relevant existing facilities, equipment, operations or processes (including hazard identification and risk management records) whenever there are pertinent changes external to the Service Provider such as regulatory/industry standards, best practices or technology?				
3.3	Continuous Improvement of the SMS				
L1	Is there a procedure for periodic internal audit/assessment of the SMS?				
L1	Is there a current internal SMS audit/assessment plan?				
L1	Is there a documented internal SMS audit/assessment procedure?				
L2	Is there a follow-up procedure to address audit corrective actions?				
L2	Does the SMS audit plan include the sampling of completed safety assessments?				
L3	Has SMS audit/assessment been carried out according to plan?				
L3	Is there a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention when necessary?				
L3	Does the SMS audit plan cover the SMS roles/inputs of contractors where applicable?				
4.0	SAFETY PROMOTION				
4.1	Training and Education				
L1	Is there a documented SMS training/familiarization policy for personnel?				

	Items	Assessment			
		S	U	N/A	REMARKS
L1	Has the manager responsible for SMS administration undergone an appropriate SMS training course?				
L1	Has the accountable manager undergone appropriate SMS familiarization, briefing or training?				
L2	Are personnel directly involved in conducting risk evaluation provided with appropriate risk management training or familiarization?				
L2	Have personnel directly involved in the SMS (safety committee/SAG members) undergone appropriate SMS training or familiarization?				
4.2	Safety communication				
L3	Is there evidence of organization-wide SMS education or awareness efforts?				
L3	Is there evidence of a safety (SMS) publication, circular or channel for communicating safety and SMS matters to employees?				
ASSESSMENT OF RESULTS					
Number of Questions Answered "S"					
Number of Questions Answered "U"					
Number of Questions Answered "N/A"					
Number of Questions Completed					
Assessment Result (% of "S" against the number of questions completed)					
MINIMUM OVERALL ACCEPTABLE PERFORMANCE (PHASED IMPLEMENTATION)					
<i>35 % implementation is the minimum for SMS initial acceptance.</i>					

	Items	Assessment			
		S	U	N/A	REMARKS
Remarks:					
NameSignature.....Date.....					