

Checklist Number: OPS-CLOMI-401

Checklist Name: OPS – Safety Management System

Applicability:

Location: Date:

No	Subject	Reference	S	U	N/A	Comment
1	Audit preparation					
1.1	<p>Prior to commencing the audit, the inspector should review the following references:</p> <p>(a) ADCA for Air Navigation BE 2553, Article 3</p> <p>(b) AOCR Ch. 1, Item 11</p> <p>(c) AOCR Ch. 5, Item 9 and 10</p> <p>Current guidance material for SMS</p> <p>Where applicable, review findings from the document review of the SMS (Certification Phase 3).</p>					
1.2	<p>This checklist is used to support the audit of the SMS in practice. It is not intended for document review, but to verify how the operator is IMPLEMENTING the SMS.</p> <p>Inspectors should look for the following 'markers' for each listed element of the SMS (remember the initials P S O E):</p> <p>Present? - Is there is evidence that the SMS element is clearly visible and is documented within the organisation's SMS Documentation?</p> <p>Suitable? - Is the SMS element suitable based on the size, nature, complexity and the inherent risk in the activity?</p> <p>Operating? - Is there is evidence that the SMS element is in use and an output is being produced?</p> <p>Effective? - Is there evidence that the SMS element is effectively achieving the desired outcome?</p>					
2	Safety Policy & Objectives					
2.1	Management Commitment and Responsibility					
2.1.1	<p>(a) Is there a written safety policy endorsed by the Accountable Manager?</p> <p>(b) Does policy describe the overall philosophies and principles of the organisation with regard to safety?</p> <p>(c) Does policy reflect organizational commitments regarding safety and its proactive and systematic management?</p> <p>(d) Does policy state the intention to maintain, and when practicable, improve safety levels in all its activities and to minimize its contribution to the risk of an aircraft accident as far as is reasonably practicable?</p> <p>(e) Is policy periodically reviewed to ensure it remains current?</p>	<p>AOCR Iss.02 Rev.01</p> <p>Ch. 1, Item 11 and</p> <p>Ch. 5, Item 10</p> <p>CAAT-OPS-GM-SMS Rev.1</p> <p>ICAO Doc 9859</p>				
2.1.2	<p>Were key staff consulted in the development of the safety policy?</p>	<p>AOCR Iss.02 Rev.01</p> <p>Ch. 1, Item 11 and</p> <p>Ch. 5, Item 10</p>				

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		CAAT-OPS-GM-SMS S Rev.1 ICAO Doc 9859				
2.1.3	Has the safety policy been communicated effectively throughout the organisation?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.1.4	(a) Does Senior Management continuously promote and demonstrate its commitment to the safety policy? (b) Are management system key processes, including a process for making personnel aware of their responsibilities and amendment procedures, documented?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.1.5	Does the safety Policy include a commitment to; (a) strive to achieve the highest safety standards (b) observe all applicable legal requirements, standards and best practice (c) providing appropriate resources (d) enforce safety as a primary responsibility of all Managers	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.1.6	Does the Safety policy actively encourage safety reporting? (a) enforce the principle of no blame for someone reporting something which not have been otherwise detected (b) states that the purpose of safety reporting is to improve safety, not to apportion blame (c) disciplinary policy has been defined that clearly identifies the conditions under which punitive actions would be considered	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.1.7	Is the safety management system based on the safety policy?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.1.8	Is contracted safety related activities relevant to an agreement are included in the safety management system?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.2	Safety Accountabilities					
2.2.1	Does the Accountable Manager have full responsibility and accountability for the SMS and corporate authority for the organisation? (a) Does responsibility clearly define?	AOCR Iss.02 Rev.01 Ch. 1, Item 7 & 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1				

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	(b) Does operator demonstrate the direct safety and ultimate responsibility of the Accountable Manager?	ICAO Doc 9859				
2.2.2	Does the Accountable Manager have an awareness of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organisation?	AOCR Iss.02 Rev.01 Ch. 1, Item 7 & 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.2.3	Are safety accountabilities, authorities and responsibilities defined throughout the organisation? (a) Are there documented safety accountabilities, authorities and responsibilities for all personnel?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.2.4	Are all staff aware of and understand their safety accountabilities, authorities and responsibilities?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3	Appointment of key safety personnel					
2.3.1	Has a Safety Manager (or equivalent) been appointed with the appropriate knowledge, skills and experience as defined in the guidance material?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.2	Is there a direct reporting line between the Safety Manager and the Accountable Manager?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.3	Does the Safety Manager carry out the functions as detailed in the requirements? (a) facilitate hazard identification, risk analysis and management (b) monitor the implementation of actions taken to mitigate risks, as listed in the safety action plan (c) ensure initiation & follow-up of internal occurrence / accident investigations (d) provide periodic reports on safety performance (e) ensure maintenance of safety management documentation (f) ensure that there is safety management training available and that it meets acceptable standards (g) provide advice on safety matters	AOCR Iss.02 Rev.01 Ch. 1, Item 7 & 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.4	(a) Has a Safety Review Board or equivalent been established?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10				

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	(b) Does the SRB includes stakeholders and significant contracted organisations? (Best practices)	CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.5	(a) Does the Accountable Manager chair the Safety Review Board? (b) Does Safety Review Board or equivalent has the necessary authority to make decisions related to the improvement and effectiveness of the SMS?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.6	(a) Does the Safety Review Board monitor the safety performance and effectiveness of the SMS? (b) SRB should monitor; (i) any safety action is taken in a timely manner (ii) effectiveness of the organisation's safety management processes (iii) ensure that appropriate resources are allocated to achieve the established safety performance	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.7	Is the Safety Review Board membership and frequency of meetings defined and recorded (minuted)? Have the meetings been attended by all members?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.3.8	(a) Has a Safety Action Group or equivalent been established? (b) SAG should; (i) monitor operational safety (ii) assess the impact on the safety of operational changes (iii) ensure that safety actions are implemented within timescales (iv) review the effectiveness of previous safety recommendations and safety promotion	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.4	Coordination of Emergency Response Planning					
2.4.1	(a) Has an emergency response plan been developed that includes all the considerations in the requirements as appropriate? (b) Does ERP ensures; (i) an orderly and safe transition from normal to emergency operations (ii) safe continuation of operations or return to normal operations as soon as practicable (iii) coordination with the emergency response plans of other organisations, where appropriate	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.4.2	Are the roles, responsibilities and actions of the various agencies and key personnel defined? (a) Does the ERP provide the actions to be taken by the organisation or specified individuals in an emergency	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1				

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	(b) Does personnel involved in implementation are trained?	ICAO Doc 9859				
2.4.3	Do the key personnel in an emergency have easy access to the ERP at all times?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 AOCR Iss2. Rev.0 App. K CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.4.4	Is the ERP regularly reviewed and tested?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.5	SMS Documentation					
2.5.1	Does the Safety management manual contain all the elements as detailed in the guidance material? Is it regularly reviewed? (a) How is the document maintained as a lively and up-to-date document? (b) Which kind of event could lead to a review?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 AOCR Iss.02 Rev.01 App. K CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
2.5.2	Is there a system for the recording and storage of SMS documentation and records i.e. hazard logs, risk assessments and safety cases? (a) Where are stored safety-related documents? (b) How are they properly protected?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 AOCR Iss.02 Rev.01 App. K CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3	Safety Risk Management					
3.1	Hazard Identification					
3.1.1	Is there a process for establishing how hazards are identified and from what sources? (a) How managers are involved? (b) How hazards are identified? (c) How is the analysis of occurrences formalized?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.2	Is there a confidential safety reporting scheme that encourages errors, hazards and near misses to be reported by staff? (a) Does the reporting system include; (i) Mandatory Occurrences Reporting (ii) Confidential Reporting (iii) Fatigue Reporting (iv) Voluntary Reporting (v) Anonymous Reporting	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 9 & 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				

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	(b) What are the methods for collecting occurrences? (c) How these reports are recorded and stored? (d) How they are used in the short/medium/long term? (e) How are selected the reported events to be analyzed in the short term? (f) What are the modalities of notification?; (i) immediate notification by the captain with ATS (ii) notification to Authority (iii) external organisations					
3.1.3	Is there feedback to the reporter and the rest of the organisation?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.4	Does Hazard identification include reactive, proactive and predictive schemes?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.5	Have the major hazards and risks been identified and assessed for the organisation and its current activities?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.6	Are safety investigations being carried out to identify underlying causes and potential hazards?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.7	Are the hazards identified from safety investigations addressed and communicated to the rest of the organisation?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.8	Are errors, hazards and near misses being reported by staff?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.1.9	Are all contracted activities subject to hazard identification and risk management?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10				

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		CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.2	Safety Risk assessment and mitigation process					
3.2.1	Is there a process to assess the risks associated with identified hazards? (a) Who is involved? (b) Who is responsible for its implementation? (c) How is it discussed? (d) Are the assessment steps formalized?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.2.2	Is there a criteria (e.g. risk tolerability matrix) that evaluates risk and the tolerable levels of risk an organisation is willing to accept? (a) Who has the ultimate responsibility regarding the tolerability? (b) Is it clearly justified and documented? (c) Has the organisation risk control strategies that include risk control, risk avoidance, risk acceptance, risk mitigation, risk elimination and where applicable a corrective action plan?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
3.2.3	Are hazards and risks and corrective / preventative actions, including timelines and responsibilities documented? (a) Who is in charge of proposing corrections/ corrective actions? (b) Who is in charge of accepting corrective actions? (c) Who is responsible for implementation? (d) Is there a plan with steps, deadlines, expected results, etc.?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4	Safety Assurance					
4.1	Safety performance monitoring and measurement					
4.1.1	Is there a safety performance monitoring and measurement process that includes; (a) safety reporting (b) safety studies (c) safety reviews including trends reviews (d) safety audits (e) safety surveys (f) safety outcomes	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.1.2	Are risk mitigations and controls being verified / audited to confirm the effectiveness?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.1.3	Are lessons learnt incorporated into the operator's policy and procedures?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1				

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4.1.4	Have safety performance indicators been defined, promulgated and being monitored and analysed for trends? (a) The safety objectives shall be specific, measurable, agreed to, relevant and time-based (b) How all personnel are maintained aware of objectives and indicators, as well as of the results of performance measurement? (c) Are they periodically reviewed and updated? (d) Are indicators linked to the operator's objectives and reflect State SPIs?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.1.5	Are safety audits carried out that focus on the performance of the organisation and its services and assess normal operations?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.1.6	Is the SMS audited to assess its effectiveness and that the regulations and standards are being followed?	AOCR Iss.02 Rev.01 Ch. 1, Item 7 & 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.1.7	Are safety / cultural surveys carried out?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.1.8	Does Safety Assurance take into account activities carried out in all directly contracted organizations to ensure its own safety performance requirements are met?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.2	The Management of Change					
4.2.1	Is there a documented change management process to proactively identify hazards and to mitigate risks during organisational changes? (a) Is there a process to manage safety risks related to a change? (b) Is there a process to manage safety risks related to a change? (c) Does this process identify the external and internal change that may have an adverse effect on safety?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.2.2	Are there periodical reviews of the safety performance after organisational changes to assure assumptions remain valid and the change was effective?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10				

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		CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.3	Continuous improvement of the SMS					
4.3.1	Is there a means to monitor the overall performance of the SMS to allow for continuous improvement to be achieved? (a) Does SMS is periodically reviewed for improvements in safety performance? (b) Continuous improvement should be achieved through; (i) reactive evaluations in order to verify the effectiveness of the system for control and mitigation of risk (ii) proactive and reactive evaluations of facilities, equipment, documentation, and procedures through safety audits and surveys	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.3.2	Is there evidence of continuous improvement being achieved?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
4.3.3	Are the contracted safety related activities relevant to the agreement included in the operator's safety management and compliance monitoring programmes.?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
5	Safety Promotion					
5.1	Training and Education					
5.1.1	Have all staff received training on the organisation's SMS and their roles and responsibilities in respect of the SMS including the Accountable Manager, Senior Management, Managers, supervisors and operational staff? (a) Does the program take into consideration the different responsibilities? (b) Is there a process to identify needs so that personnel are competent to perform their duties? (c) Does the training include initial and recurrent courses?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
5.1.2	Does the organisation provide training on human and organisational factors?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				

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5.1.3	Is the effectiveness of the training measured?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
5.2	Safety Communication					
5.2.1	Does safety communication reach all levels of staff in the organisation? (a) How the system ensures that all personnel are aware of the SMS activities as appropriate? (b) Does the operator collect external safety information?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
5.2.2	Does the safety communication complement and enhance the organisation's safety culture?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
5.2.3	Is the safety information disseminated in a suitable medium and monitored for its effectiveness?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				
5.2.4	Does relevant safety information reach external users / customers / contractors etc.?	AOCR Iss.02 Rev.01 Ch. 1, Item 11 and Ch. 5, Item 10 CAAT-OPS-GM-SMS Rev.1 ICAO Doc 9859				

S = Satisfied

U= Unsatisfied

N/A= Not Applicable

Comment= Description the detail of compliance or Non Compliance or other information

Inspector Name:.....

(.....)

Position:.....

Completed on:.....