# **Appendix I – SMS Documentation Evaluation Checklist**

*The purpose of this Checklist is to assist organisations with a view to ensuring the (Safety) Management Manuals submitted to the CAA for approval are standardized and include all items that are required by ASC 00-2 as appropriate.*

## Instructions for Use

The checklist is provided to ensure the minimum required items are contained in the Manual. It should be enhanced as necessary to suit the organisation’s needs; operational, utilization & environmental.

This checklist is based on the third edition of ICAO Doc 9859. For each of the 15 elements in Doc 9859 Appendix 4 to Chapter 5, there are a series of ‘compliance’ markers that are assessed for their presence (P) and suitability (S). The organisation should use ‘reference(s)’ box to refer to the relevant paragraphs or cite evidence or examples to support their assessment.

## Scoring Award Level

Each assessed element will be assigned a score from (1) to (3) based on a set of specific criteria. Scoring awards are assessed in the following manner:

1. A score of (1.0) is considered to be not documented.
2. A score of (2.0) is considered to be partially documented. In other words, the organization does not have all of the criteria expected for an award level of (3.0)
3. A score of (3.0) is considered as meeting the expectations for an SMS of a specific organisation. As such, to be considered as having an acceptable level, expected elements. The score of (3.0) in reflects the minimum expectations of CAA based on ICAO Annexes.

*To be completed and signed by the Safety Manager.*

|  |  |
| --- | --- |
| Organisation |  |
| Approval Reference(s) |  |
| Manual Revision |  |
| Name & Signature |  |

*For CAA use only*

|  |  |
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| Inspector |  |
| Section |  |
| Date(s) of Assessment |  |

## Document Control

Objective: *Describe how the manual(s) will be kept up to date and how the organization will ensure that all personnel involved in safety-related duties have the most current version.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Distribution list – Copy number, Holder and Format such as paper or CD |  |  |  |  |
| b. | Correlation between the SMS manual and other existing manuals such as Operations Manual or Aerodrome Manual, RFF Operations Manual, ERP etc. |  |  |  |  |
| c. | Manual amendment procedures – frequency and person(s) responsible for the amendment |  |  |  |  |
| d. | Manual administration, internal approval and regulatory acceptance |  |  |  |  |

## SMS Regulatory Requirements

Objective: *Address current SMS regulations and guidance material for necessary reference and awareness by all concerned.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | References to current SMS regulatory requirements and advisory material as applicable |  |  |  |  |
| b. | Compliance timeframes |  |  |  |  |
| c. | Correlation with other safety related requirements such as OSHA. |  |  |  |  |

## Scope and integration of the SMS

Objective: *Describe the scope and extent of the organization’s aviation-related operations and facilities within which the SMS will apply. The scope of the processes, equipment and operations deemed eligible for the organization’s hazard identification and risk management (HIRM) programme should also be addressed.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Brief description of the organisation’s aviation business(es) |  |  |  |  |
| b. | Identification of major areas where SMS will apply |  |  |  |  |
| c. | Identification of major processes where SMS will apply or reference to supplementary document |  |  |  |  |
| d. | Relationship with other related management systems such as QMS, OSHA. |  |  |  |  |

## Safety Policy

Objective: *Describe the organization’s intentions, management principles and commitment to improving aviation safety in terms of the product or service provider. A safety policy should be a short description similar to a mission statement.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Appropriate to the size and complexity of the organization. |  |  |  |  |
| b. | States the organization’s intentions, management principles and commitment to continuous improvement in aviation safety |  |  |  |  |
| c. | Approved and signed by the accountable executive. |  |  |  |  |
| d. | Promoted by the accountable executive and all other managers. |  |  |  |  |
| e. | Reviewed periodically |  |  |  |  |
| f. | Personnel at all levels are involved in the establishment and maintenance of the safety management system. |  |  |  |  |
| g. | Communicated to all employees with the intent that they are made aware of their individual safety obligations. |  |  |  |  |

## Safety objectives

Objective: *Describe the safety objectives of the organization. The safety objectives should be a short statement that describes in broad terms what the organization hopes to achieve.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Objectives established and documented |  |  |  |  |
| b. | Expressed as a top-level statement describing the organisations commitment to achieving safety. |  |  |  |  |
| c. | Formal process to develop a coherent set of safety objectives |  |  |  |  |
| d. | Objectives are publicized and distributed |  |  |  |  |
| e. | Resources allocated to achieving the objectives |  |  |  |  |
| f. | Objectives linked to safety indicators for monitoring and measurement |  |  |  |  |

## Roles and responsibilities

Objective: *Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Accountable manager is responsible for ensuring the SMS is implemented and performs |  |  |  |  |
| b. | Appointment of   * Safety Manager * Safety committee or safety action groups as appropriate |  |  |  |  |
|  | SRB/SAG – ToR, Composition and Agenda |  |  |  |  |
| c. | Safety authorities, responsibilities and accountabilities of management personnel defined. |  |  |  |  |
| d. | All personnel understand their responsibilities etc |  |  |  |  |
| e. | Organisation chart |  |  |  |  |
| f. | Personnel requirements |  |  |  |  |

## Safety reporting

Objective: *A reporting system should include both reactive (accident/incident reports, etc.) and proactive/ predictive (hazard reports). Describe the respective reporting systems. Factors to consider include: report format, confidentiality, addressees, investigation/evaluation procedures, corrective/ preventive actions and report dissemination.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Procedure for reporting   * Distinction between mandatory reportable occurrence reports |  |  |  |  |
| b. | Voluntary and confidential hazard / occurrence reporting systems   * Adequate identity/data protection |  |  |  |  |
| c. | Process – simple and accessible |  |  |  |  |
| d. | Management involvement in high-consequence reports |  |  |  |  |
| e. | Database for report collection |  |  |  |  |

## Hazard identification and risk assessment

Objective: *Describe the hazard identification system and how such data are collated. Describe the process for the categorization of hazards/risks and their subsequent prioritization for a documented safety assessment. Describe how the safety assessment process is conducted and how preventive action plans are implemented.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Procedure for evaluation, prioritisation and processing for risk assessment |  |  |  |  |
| b. | Structured risk assessment process. Should account for   * Severity, likelihood, tolerability and preventive controls. |  |  |  |  |
| c. | Procedures focus on aviation safety as their fundamental context |  |  |  |  |
| d. | Tools (such as worksheets, forms or software) appropriate for the complexity of the operation and operations. |  |  |  |  |
| e. | Safety assessments approved by the appropriate level of management |  |  |  |  |
| f. | Process for evaluating the effectiveness of corrective, preventive and recovery measures in place |  |  |  |  |
| g. | Procedures require periodic review of completed assessments and documenting their outcomes. |  |  |  |  |

## Safety performance monitoring and measurement

Objective: *Describe the safety performance monitoring and measurement component of the SMS. This includes the organization’s SMS safety performance indicators (SPIs).*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Formal process to develop and maintain a set of safety performance indicators and their associated performance targets. |  |  |  |  |
| b. | Correlation established between the SPIs and the organization’s / CAA’s safety objectives |  |  |  |  |
| c. | Process of monitoring the performance of these SPIs including remedial action procedure |  |  |  |  |
| d. | Supplementary SMS or safety performance monitoring and measurement criteria or process. |  |  |  |  |

## Safety-related investigations and remedial actions

Objective: *Describe how accidents/incidents/occurrences are investigated and processed within the organization, including their correlation with the organization’s SMS hazard identification and risk management system.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Internal investigation procedure for reported incident and accidents |  |  |  |  |
| b. | Procedure – includes identification of active failures as well as contributing factors and hazards |  |  |  |  |
| c. | Procedure – contributing factors or hazards processed for follow-up action |  |  |  |  |
| d. | Time periods to complete investigations and close the action items. |  |  |  |  |
| e. | Dissemination of completed reports:   * Internal * CAA |  |  |  |  |
| f. | Process for   * ensuring the corrective actions taken or recommended are carried out * Evaluation of the effectiveness of corrective actions |  |  |  |  |
| g. | Procedure for disciplinary inquiry and actions associated with investigation report outcomes. |  |  |  |  |
| h | Conditions for punitive disciplinary actions |  |  |  |  |

## Safety training and communication

Objective: *Describe the type of SMS and other safety-related training that staff receive and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication processes/channels within the organization.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Training syllabus   * Eligibility * Requirements * Initial, recurrent and update training requirements * Links with overall company training programme |  |  |  |  |
| b. | Training effectiveness validation process |  |  |  |  |
| c. | Induction programme – Safety awareness briefing |  |  |  |  |
| d. | Safety communication channels |  |  |  |  |

## Continuous improvement and SMS audit

Objective: *Describe the process for the continuous review and improvement of the SMS.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Internal audits |  |  |  |  |
| b. | Other programmes contributing to continuous improvement if applicable. E.g. ISO systems |  |  |  |  |

## SMS records management

Objective: *Describe the method of storing all SMS-related records and documents.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Retention of records generated with implementation and operation of the SMS |  |  |  |  |
|  | * Hazard reports |  |  |  |  |
|  | * Risk assessment reports |  |  |  |  |
|  | * Safety action group / safety meeting notes |  |  |  |  |
|  | * SPI charts |  |  |  |  |
|  | * SMS audit reports |  |  |  |  |
|  | * SMS training records |  |  |  |  |
| b. | Traceability and accessibility |  |  |  |  |

## Management of change

Objective: *Describe the organization’s process for managing changes that may have an impact on safety risks and how such processes are integrated with the SMS.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Procedure for management of change |  |  |  |  |
|  | * impact on existing safety risks |  |  |  |  |
|  | * safety assessment done prior to changes that have safety risk implications |  |  |  |  |
|  | * Review of existing safety assessments whenever there are changes to the associated processes or equipment. |  |  |  |  |

## Emergency/contingency response plan

Objective: *Describe the organization’s intentions regarding, and commitment to dealing with, emergency situations and their corresponding recovery controls. Outline the roles and responsibilities of key personnel. The emergency response plan can be a separate document or it can be part of the SMS manual.*

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| **#** | **Markers** | **P** | **S** | **Reference(s)** | **CAA Score + Remarks** |
| a. | Emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or accident |  |  |  |  |
| b. | Notification process that includes an emergency call list and an internal mobilization process |  |  |  |  |
| c. | Arrangements with other agencies for aid and the provision of emergency services as applicable |  |  |  |  |
| d. | Procedures for emergency mode operations where applicable |  |  |  |  |
| e. | Procedure for overseeing the welfare of all affected individuals and for notifying next of kin. |  |  |  |  |
| f. | Procedures for handling the media and insurance-related issues |  |  |  |  |
| g. | Defined accident investigation responsibilities within the organization |  |  |  |  |
| h. | Requirement for preservation of evidence, securing the affected area, and mandatory reporting is clearly stated |  |  |  |  |
| i. | Emergency preparedness and response training for affected personnel |  |  |  |  |
| j. | Disabled aircraft or equipment evacuation plan has been developed by the organization in consultation with aircraft/equipment owners, aerodrome operators or other agencies as  applicable |  |  |  |  |
| k. | Procedure exists for recording activities during an emergency response. |  |  |  |  |