

DOCUMENT INITIAL REVIEW FORM - SMS

(GACAR PART 151)

Document(s)	Safety Management System Manual (SMS)
Organization	
Issue Date	
Review Date	

Conformance	S = Satisfactory	U = Unsatisfactory	X = Not Applicable
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Item	Subject / Subtopic	S	U	X
1.	General / Administration			
1.1	Issue/Edition number and Effectivity/Validity Date	☐	☐	☐
1.2	Company Name, Location and Contact Details	☐	☐	☐
1.3	Scope, Size, & Complexity of Organization	☐	☐	☐
1.4	List of Effective Pages	☐	☐	☐
1.5	Record of Revision (Date & Page included)	☐	☐	☐
1.6	Distribution list	☐	☐	☐
1.7	Table of Contents	☐	☐	☐
1.8	Definitions / Abbreviations	☐	☐	☐
1.9	Appendices / List and Sample of Forms	☐	☐	☐
1.10	Manual Review and Amendment procedure including the Notification to the President for Acceptance of Revisions	☐	☐	☐
1.11	Document Administration and Control Procedures	☐	☐	☐
1.12	SMS Duties & Responsibilities (SMS Organizational Chart)	☐	☐	☐
1.13	Accountable Executive has Ultimate Responsibility for the SMS	☐	☐	☐
1.14	Key Person/Management Representative Responsible for the Administration & Maintenance of the SMS (Day-to-Day Implementation of the SMS)	☐	☐	☐
1.15	Competencies for Key Safety-related Positions	☐	☐	☐
1.16	Safety Accountabilities of Management and Non-management Personnel	☐	☐	☐
2.	SMS Component One – Safety Policy and Objectives (ICAO Doc 9859)			
2.1	Safety Policy Includes Commitment to:	☐	☐	☐
	(a) Provide all Resources Needed to Implement & Maintain SMS	☐	☐	☐
	(b) Continuously Improve the Level of Safety	☐	☐	☐
	(c) Manage Safety Risks	☐	☐	☐
	(d) Comply with all Applicable Regulatory Requirements	☐	☐	☐
	(e) Adopt a Non-punitive Approach & Encourage Employees to Report Safety Issues (Incidents/Accidents, Near-misses, Hazards)	☐	☐	☐
2.2	Safety Objectives	☐	☐	☐
2.3	Promotion of Positive & Just Safety Culture	☐	☐	☐
3.	SMS Component Two - Safety Risk Management (ICAO Doc 9859)			
3.1	Hazard Identification Process	☐	☐	☐
3.2	Safety Targets (Acceptable Level of Safety Risks)	☐	☐	☐
3.3	Safety Risk Analysis & Assessment (definition of Severity & Likelihood matrix)	☐	☐	☐
3.4	Safety Risk Control & Mitigation Process	☐	☐	☐
3.5	Secondary Risks Identification	☐	☐	☐

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3.6	F.O.D. Prevention Program	☐	☐	☐
4.	SMS Component Three - Safety Assurance (ICAO Doc 9859)			
4.1	Voluntary Safety/Hazard Reporting System	☐	☐	☐
4.2	Mandatory Occurrences Reporting System	☐	☐	☐
	Occurrence Investigation Procedures include:	☐	☐	☐
4.3	(a) Root Cause Analysis (RCA)	☐	☐	☐
	(b) Corrective & Preventative Actions	☐	☐	☐
4.4	Monitoring / Measurement of Safety Performance Indicators (SPIs)	☐	☐	☐
4.5	Safety Data Collection / Incident & Accident Database	☐	☐	☐
4.6	Management of Change	☐	☐	☐
	Continuous Safety Improvement:	☐	☐	☐
4.7	(a) Safety Committee Meetings	☐	☐	☐
	(b) SMS Internal Review	☐	☐	☐
	(c) Follow up of Corrective & Preventative Actions	☐	☐	☐
5.	SMS Component Four - Safety Promotion (ICAO Doc 9859)			
5.1	Training Program for Safety Personnel	☐	☐	☐
5.2	Review & Update of Training	☐	☐	☐
5.3	Safety Communication/Promotion	☐	☐	☐
5.4	SMS Implementation Plan	☐	☐	☐
6.	Local SMS Supplement (where applicable)			
6.1	Local Key Person/Management Representative Responsible for the Administration & Maintenance of the SMS (Day-to-Day Implementation of SMS)	☐	☐	☐
6.2	Local SMS Duties & Responsibilities of Safety Personnel	☐	☐	☐
6.3	Local Safety Performance Indicators (SPIs) Measurement & Monitoring	☐	☐	☐
6.4	Local Hazard Identification (documented)	☐	☐	☐
6.5	Local Safety Risk Assessment & Mitigation	☐	☐	☐
6.6	Special SMS Procedures/SPIs not Described in the Generic SMS Manual.	☐	☐	☐

