

CHECKLIST-SAFETY MANAGEMENT SYSTEM MANUAL STRUCTURE EVALUATION

| | | | |
|--------------------------------------|------|-------------|--------|
| Operator/Organization Name | | | |
| Address | | | |
| Operator/Organization Safety Manager | Name | Contact No. | E-mail |
| | | | |

Chapter 0

ADMINISTRATION AND CONTROL OF THE SAFETY MANAGEMENT SYSTEM MANUAL

| No. | REQUIREMENTS | SMM Reference | Compliance | |
|-----|--|---------------|--------------------------|--------------------------|
| | | | YES | NO |
| 0.1 | Introduction | | | |
| (a) | A statement that the manual complies with all applicable regulations and with the terms and conditions of the applicable Air Operator/Organization Certificate | | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) | A statement that the manual contains safety instructions that are to be complied with by the relevant personnel | | <input type="checkbox"/> | <input type="checkbox"/> |
| (c) | Explanations and definitions of terms and words needed for the use of the manual | | <input type="checkbox"/> | <input type="checkbox"/> |
| 0.2 | System of amendment and revision | | | |
| (a) | Details of the person(s) responsible for the issuance and insertion of amendments and revisions. | | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) | A record of amendments and revisions with insertion dates and effective dates | | <input type="checkbox"/> | <input type="checkbox"/> |
| (c) | A statement that handwritten amendments and revisions are not permitted except in situations requiring immediate amendment or revision in the interest of safety | | <input type="checkbox"/> | <input type="checkbox"/> |
| (d) | A description of the system for the annotation of pages and their effective dates. | | <input type="checkbox"/> | <input type="checkbox"/> |
| (e) | A list of effective pages | | <input type="checkbox"/> | <input type="checkbox"/> |
| (f) | Annotation of changes (on text pages and, as far as practicable, on charts and diagrams) | | <input type="checkbox"/> | <input type="checkbox"/> |
| (g) | Temporary revisions | | <input type="checkbox"/> | <input type="checkbox"/> |
| (h) | A description of the distribution system for the manuals, amendments and revisions. | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 1 | | ORGANIZATION AND RESPONSIBILITIES | | |
|-----------|--|-----------------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 1.1 | Organizational structure. A description of the organizational structure including the general company organigram and flight operations, ground operations, crew training, maintenance system departments and safety management system department organigram. The organigram must depict the relationship between the safety management system department and the other Departments of the company. | | <input type="checkbox"/> | <input type="checkbox"/> |
| 1.2 | Names of nominated post holders. The name of each nominated post holder responsible for flight operations, the maintenance system, crew training, ground operations, quality management system and safety management system post holder, as prescribed in applicable GACARs and GACAR PART 5. A description of their, minimum qualifications, experience, functions and responsibilities must be included | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 2 | | SMS REGULATORY REQUIREMENTS | | |
|-----------|--|-----------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 2 | Address current SMS regulations and guidance material for necessary reference and awareness by all concerned | | | |
| 2.1 | Spell out the current SMS regulations/standards. Include the compliance timeframe and advisory material references as applicable | | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.2 | Where appropriate, elaborate on or explain the significance and implications of the regulations to the organization | | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.3 | Establish a correlation with other safety-related requirements or standards where appropriate | | <input type="checkbox"/> | <input type="checkbox"/> |

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Chapter 3

SCOPE AND INTEGRATION OF THE SAFETY MANAGEMENT SYSTEM

| No. | REQUIREMENTS | SMM Reference | Compliance | |
|-----|---|---------------|--------------------------|--------------------------|
| | | | YES | NO |
| 3 | 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) program should also be addressed | | | |
| 3.1 | Spelling out the nature of the organization's aviation business and its position or role within the industry as a whole | | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.2 | Identify the major areas, departments, workshops and facilities of the organization within which the SMS will apply | | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.3 | Identify the major processes, operations and equipment which are deemed eligible for the organization's HIRM program, especially those which are pertinent to aviation safety. If the scope of the HIRM-eligible processes, operations and equipment is too detailed or extensive, it may be controlled under a supplementary document as appropriate | | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.4 | Where the SMS is expected to be operated or administered across a group of interlinked organizations or contractors, define and document such integration and associated accountabilities as applicable | | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.5 | Where there are other related control/management systems within the organization, such as QMS, OSHE and SMS, identify their relevant integration (where applicable) within the aviation SMS. | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 4 | | SAFETY POLICY | | |
|-----------|---|---------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 4 | 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 | | | |
| 4.1 | The safety policy should be appropriate to the size and complexity of the organization | | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.2 | The safety policy states the organization's intentions, management principles and commitment to continuous improvement in aviation safety | | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.3 | The safety policy is approved and signed by the accountable executive | | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.4 | The safety policy is promoted by the accountable executive and all other managers | | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.5 | The safety policy is reviewed periodically | | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.6 | Personnel at all levels are involved in the establishment and maintenance of the safety management system | | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.7 | The safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 5 | | SAFETY OBJECTIVES | | |
|-----------|--|-------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 5 | 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 | | | |
| 5.1 | The safety objectives have been established | | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.2 | The safety objectives are expressed as a top-level statement describing the organization’s commitment to achieving safety | | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.3 | There is a formal process to develop a coherent set of safety objectives | | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.4 | The safety objectives are publicized and distributed | | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.5 | Resources have been allocated for achieving the objectives | | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.6 | The safety objectives are linked to safety indicators to facilitate monitoring and measurement where appropriate | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 6 | | SAFETY ACCOUNTABILITIES AND KEY PERSONNEL | | |
|-----------|---|---|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 6 | Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS. (e.g. Safety Office, SAG, SRB, etc.) | | | |
| 6.1 | The accountable executive is responsible for ensuring that the safety management system is properly implemented and is performing to requirements in all areas of the organization | | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.2 | An appropriate key safety person (safety manager) (Safety office), safety committee or safety action groups have been appointed as appropriate (e.g. SAG, SRB, etc.) Note: Safety Manager must report directly to the accountable executive. | | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.3 | Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization are defined and documented. | | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.4 | All personnel understand their authorities, responsibilities and accountabilities with regard to all safety management processes, decisions and actions (e.g. Safety Officers, Management, operational, etc.) | | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.5 | Safety Officers (team), qualifications, experience, responsibilities, functions, etc. | | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.6 | An SMS organizational accountabilities diagram is available and Organizational structure | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 7 | | SAFETY REPORTING AND REMEDIAL ACTIONS | | |
|-----------|---|---------------------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 7 | 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, addresses, investigation/evaluation procedures, corrective/ preventive actions and report dissemination | | | |
| 7.1 | The organization has a procedure that provides for the capture of internal occurrences including accidents, incidents and other occurrences relevant to SMS | | <input type="checkbox"/> | <input type="checkbox"/> |
| 7.2 | A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.), which are required to be notified to the CAA, and other routine occurrence reports, which remain within the organization | | <input type="checkbox"/> | <input type="checkbox"/> |
| 7.3 | There is also a voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data protection as applicable | | <input type="checkbox"/> | <input type="checkbox"/> |
| 7.4 | The respective reporting processes are simple, accessible and commensurate with the size of the organization. | | <input type="checkbox"/> | <input type="checkbox"/> |
| 7.5 | High-consequence reports and associated recommendations are addressed to and reviewed by the appropriate level of management | | <input type="checkbox"/> | <input type="checkbox"/> |
| 7.6 | Reports are collected in an appropriate database to facilitate the necessary analysis | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 8 | | HAZARD IDENTIFICATION AND RISK ASSESSMENT | | |
|-----------|--|---|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 8 | 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 | | | |
| 8.1 | Identified hazards are evaluated, prioritized and processed for risk assessment as appropriate | | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.2 | There is a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability and preventive controls | | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.3 | Hazard identification and risk assessment procedures focus on aviation safety as their fundamental context | | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.4 | The risk assessment process utilizes worksheets, forms or software appropriate to the complexity of the organization and operations involved | | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.5 | Completed safety assessments are approved by the appropriate level of management | | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.6 | There is a process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed | | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.7 | There is a process for periodic review of completed safety assessments and documenting their outcomes | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 9 | | SAFETY PERFORMANCE MONITORING AND MEASUREMENT | | |
|-----------|--|---|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 9 | Describe the safety performance monitoring and measurement component of the SMS. This includes the organization’s SMS safety performance indicators (SPIs) | | | |
| 9.1 | The formal process to develop and maintain a set of safety performance indicators and their associated performance targets | | <input type="checkbox"/> | <input type="checkbox"/> |
| 9.2 | Correlation established between the SPIs and the organization’s safety objectives where applicable and the process of regulatory acceptance of the SPIs where required | | <input type="checkbox"/> | <input type="checkbox"/> |
| 9.3 | The process of monitoring the performance of these SPIs including remedial action procedure whenever unacceptable or abnormal trends are triggered | | <input type="checkbox"/> | <input type="checkbox"/> |
| 9.4 | Any other supplementary SMS or safety performance monitoring and measurement criteria or process | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 10 | | SAFETY-RELATED INVESTIGATIONS AND REMEDIAL ACTIONS | | |
|------------|---|--|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 10 | 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 | | | |
| 10.1 | Procedures to ensure that reported accidents and incidents are investigated internally | | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.2 | Dissemination of completed investigation reports internally as well as to the CAA as applicable | | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.3 | A process for ensuring that corrective actions taken or recommended are carried out and for evaluating their outcomes/effectiveness | | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.4 | Procedure on disciplinary inquiry and actions associated with investigation report outcomes | | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.5 | Clearly defined conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or willful misconduct) | | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.6 | A process to ensure that investigations include identification of active failures as well as contributing factors and hazards | | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.7 | Investigation procedure and format provides for findings on contributing factors or hazards to be processed for follow-up action by the organization's hazard identification and risk management system where appropriate | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 11 | | SAFETY TRAINING AND COMMUNICATION | | |
|------------|--|-----------------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 11 | 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 | | | |
| 11.1 | The training syllabus, eligibility and requirements are documented | | <input type="checkbox"/> | <input type="checkbox"/> |
| 11.2 | There is a validation process that measures the effectiveness of training | | <input type="checkbox"/> | <input type="checkbox"/> |
| 11.3 | The training includes initial, recurrent and update training, where applicable. Note: Normally the SMS recurrent Training every 2 years | | <input type="checkbox"/> | <input type="checkbox"/> |
| 11.4 | The organization's SMS training is part of the organization's overall training program | | <input type="checkbox"/> | <input type="checkbox"/> |
| 11.5 | SMS awareness is incorporated into the employment or indoctrination program | | <input type="checkbox"/> | <input type="checkbox"/> |
| 11.6 | The safety communication processes/channels within the organization | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 12 | | CONTINUOUS IMPROVEMENT AND SMS AUDIT | | |
|------------|---|--------------------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 12 | Describe the process for the continuous review and improvement of the SMS | | | |
| 12.1 | The process for regular internal audit/review of the organization's SMS to ensure its continuing suitability, adequacy and effectiveness | | <input type="checkbox"/> | <input type="checkbox"/> |
| 12.2 | Describe any other programs contributing to continuous improvement of the organization's SMS and safety performance, e.g. MEDA, safety surveys, ISO systems | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 13 | | SMS RECORDS MANAGEMENT | | |
|------------|---|------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 13 | Describe the method of storing all SMS-related records and documents | | | |
| 13.1 | The organization has an SMS record or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS | | <input type="checkbox"/> | <input type="checkbox"/> |
| 13.2 | Records to be kept include hazard reports, risk assessment reports, safety action group/safety meeting notes, safety performance indicator charts, SMS audit reports and SMS training records | | <input type="checkbox"/> | <input type="checkbox"/> |
| 13.3 | Records should be traceable for all elements of the SMS and be accessible for routine administration of the SMS as well as internal and external audits purposes | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 14 | | MANAGEMENT OF CHANGE | | |
|------------|---|----------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 14 | 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 | | | |
| 14.1 | Procedures to ensure that substantial organizational or operational changes take into consideration any impact which they may have on existing safety risks | | <input type="checkbox"/> | <input type="checkbox"/> |
| 14.2 | Procedures to ensure that an appropriate safety assessment is performed prior to the introduction of new equipment or processes which have safety risk implications | | <input type="checkbox"/> | <input type="checkbox"/> |
| 14.3 | Procedures for reviewing existing safety assessments whenever there are changes to the associated process or equipment | | <input type="checkbox"/> | <input type="checkbox"/> |

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| Chapter 15 | | EMERGENCY/CONTINGENCY RESPONSE PLAN | | |
|------------|---|-------------------------------------|--------------------------|--------------------------|
| No. | REQUIREMENTS | SMM Reference | Compliance | |
| | | | YES | NO |
| 15 | 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 | | | |
| 15.1 | The organization has an emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or accident | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.2 | There is a notification process that includes an emergency call list and an internal mobilization process | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.3 | The organization has arrangements with other agencies for aid and the provision of emergency services as applicable | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.4 | The organization has procedures for emergency mode operations where applicable | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.5 | There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.6 | The organization has established procedures for handling the media and insurance-related issues | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.7 | There are defined accident investigation responsibilities within the organization | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.8 | The requirement for preservation of evidence, securing the affected area, and mandatory/ governmental reporting is clearly stated | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.9 | There is emergency preparation and response training for affected personnel | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.10 | A 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 | | <input type="checkbox"/> | <input type="checkbox"/> |
| 15.11 | A procedure exists for recording activities during an emergency response | | <input type="checkbox"/> | <input type="checkbox"/> |

CHECKLIST-SAFETY MANAGEMENT SYSTEM MANUAL STRUCTURE EVALUATION

FOR GACA USE ONLY

Assessment Result

☐ Accepted

☐ Rejected

Remarks

| |
|--|
| |
|--|

| Inspector Name | Position | Signature | Date |
|----------------|----------|-----------|------|
| | | | |