SMS Initial Acceptance Checklist

SMS Element	Level 1	Input	Doc ref/ remarks	Level 2	Input	Doc ref/ remarks	Level 3	Input	Doc ref/remarks
**SMS Assessment Checklist — Initial Acceptance**								
Input column: Annotate "Y" for Yes," N " for No, "N/A" for not applicable								
Name of Organisation:				Assessed by:				Date:
	SMS Component 1. Safety Policy and Objectives								

SMS Element	Level 1	Input	Doc ref/ remarks	Level 2	Input	Doc ref/ remarks	Level 3	Input	Doc ref/remarks
Management commitment and responsibilities [1.1]	1.1/L1/1			1.1/L2/1			1.1/L3/1		
	There is a documented safety policy statement.			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.			There is a periodic review of the safety policy by senior management or the safety committee.		
	1.1/L1/2			1.1/L2/2			1.1/L3/2		
	The safety policy is relevant to aviation safety.			The safety policy is endorsed by the accountable manager.			The accountable manager's terms of reference indicate his overall responsibility for all safety issues.		
	1.1/L1/3			1.1/L2/3					
	The safety policy is relevant to the scope and complexity of the organisation's operations.			The safety policy addresses the provision of the necessary human and financial resources for its implementation.			–		
Safety accountabilities [1.2]	1.2/L1/1			1.2/L2/1					
	There is a documented safety (SMS) accountability within the organisation that begins with the accountable manager.			The accountable manager's terms of reference indicate his ultimate responsibility for his organisation's safety management.			–		
	1.2/L1/2			1.2/L2/2					
	The accountable executive has final authority over all the aviation activities of his organisation.			The accountable manager's final authority over all operations conducted under his organisation's certificate(s) is indicated in his terms of reference.			–		

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SMS Element	Level 1	Input	Doc ref/ remarks	Level 2	Input	Doc ref/ remarks	Level 3	Input	Doc ref/remarks
Safety accountabilities [1.2]	1.2/L1/3			1.2/L2/3			1.2/L3/1		
	There is a safety committee (or equivalent mechanism) that reviews the SMS and its safety performance.			For a large organisation, there are departmental or section safety action groups that work in conjunction with the safety committee.			The safety committee is chaired by the accountable manager or (for very large organisations) by an appropriately assigned deputy, duly substantiated in the SMS manual.		
	1.2/L1/4			1.2/L2/4			1.2/L3/2		
	The safety committee includes relevant operational or departmental heads as applicable.			There is an appointed safety (SMS) coordinator within the safety action group.			The safety action groups are chaired by the departmental or section head where applicable.		
Appointment of key safety personnel [1.3]	1.3/L1/1			1.3/L2/1			1.3/L3/1		
	There is a manager who performs the role of administering the SMS.			The manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.			The SMS manager has direct access or reporting to the accountable manager concerning the implementation and operation of the SMS.		
	1.3/L1/2						1.3/L3/2		
	The manager performing the SMS role has relevant SMS functions included in his terms of reference.			–			The SMS manager is a senior management position not lower than or subservient to other operational or production positions.		
Emergency response planning [1.4]	1.4/L1/1			1.4/L2/1			1.4/L3/1		
	There is a documented ERP or equivalent operational contingency procedure.			The ERP includes procedures for the continuing safe production, delivery or support of aviation products or services during such emergencies or contingencies.			The ERP addresses relevant integration with external customer or subcontractor organisations where applicable.		
	1.4/L1/2			1.4/L2/2			1.4/L3/2		
	The ERP is appropriate to the size, nature and complexity of the organisation.			There is a plan for drills or exercises with respect to the ERP.			There is a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness.		
	1.4/L1/3			1.4/L2/3					
	The emergency plan addresses possible or likely emergency/crisis scenarios relating to the organisation's aviation product or service deliveries.			ERP drills or exercises are carried out according to plan and the result of drills carried out are documented.			–		

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SMS documentation [1.5]	1.5/L1/1			1.5/L2/1			1.5/L3/1		
	There is an SMS document or exposition which is approved by the accountable manager and accepted by the CAA.			The SMS document is accepted or endorsed by the organisation's national aviation authority.			The SMS procedures reflect appropriate integration with other relevant management systems within the organisation, such as QMS, OSHE, security, as applicable.		
	1.5/L1/2			1.5/L2/2			1.5/L3/2		
	The SMS document provides an overview or exposition of the organisation's SMS framework and elements.			The SMS document's exposition of each SMS element includes cross-references to supporting or related procedures, manuals or systems as appropriate.			The SMS procedures reflect relevant coordination or integration with external customer or subcontractor organisations where applicable.		
	1.5/L1/3			1.5/L2/3			1.5/L3/3		
	The SMS document is a stand-alone controlled document or a distinct part/section of an existing CAA endorsed/accepted document.			Records are maintained pertaining to safety committee/SAG meeting (or equivalent) minutes.			There is a process to periodically review the SMS exposition and supporting documentation to ensure their continuing relevance.		
	1.5/L1/4			1.5/L2/4					
	All components and elements of SMS regulatory requirements are addressed in the SMS document.			Records pertaining to periodic review of existing safety/risk assessments or special review in conjunction with relevant changes are available.			–		
	1.5/L1/5								
	Records are maintained pertaining to safety risk assessments performed.			–			–		
	1.5/L1/6								
	Records pertaining to identified or reported hazards/threats are maintained.			–			–		

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SMS Component 2. Safety Risk Management									
Hazard identification [2.1]	2.1/L1/1			2.1/L2/1			2.1/L3/1		
	There is a procedure for voluntary hazards/threats reporting by all employees.			In the hazard identification system, there is a clear definition of and distinction between hazards and consequences.			There is a procedure to identify hazards/threats from internal incident/accident investigation reports for follow-up risk mitigation where appropriate.		
	2.1/L1/2			2.1/L2/2			2.1/L3/2		
	There is a procedure for incident/accident reporting by operational or production personnel.			The hazard reporting system is confidential and has provisions to protect the reporter's identity.			There is a procedure to review hazards/threats from relevant industry service or incident/accident reports for risk mitigation where applicable.		
	2.1/L1/3			2.1/L2/3			2.1/L3/3		
	There is a procedure for investigation of incident/accidents relating to quality or safety.			The organisation's internal investigation and disciplinary procedures distinguish between premeditated and deliberate violations and unintentional errors and mistakes.			There is a procedure for periodic review of existing risk analysis records.		
Safety risk assessment and mitigation [2.2]	2.2/L1/1			2.2/L2/1					
	There is a documented HIRM procedure involving the use of objective risk analysis tools.			Risk assessment reports are approved by departmental managers or at a higher level where appropriate.			–		
	2.2/L1/2			2.2/L2/2					
	There is a procedure for identification of operations, processes, facilities and equipment which are deemed (by the organisation) as relevant for HIRM.			Recommended mitigation actions which require senior management decision or approval are accounted for and documented.			–		
	2.2/L1/3			2.2/L2/3			2.2/L3/1		
	There is a programme for progressive HIRA performance of all aviation safety-related operations, processes, facilities and equipment as identified by the organisation.			There is a procedure to prioritize HIRA performance for operations, processes, facilities and equipment with identified or known safety-critical hazards/risks.			There is evidence of progressive compliance and maintenance of the organisation's HIRA performance programme.		

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SMS Component 3. Safety Assurance									
Safety performance monitoring and measurement [3.1]	3.1/L1/1			3.1/L2/1			3.1/L3/1		
	There are identified safety performance indicators for measuring and monitoring the organisation's safety performance.			There are lower-consequence safety performance indicators (e.g. non-compliance, deviation events).			There is a procedure for corrective or follow-up action to be taken when targets are not achieved and/or alert levels are breached.		
	3.1/L1/2			3.1/L2/2			3.1/L3/2		
	There are high-consequence data-based safety performance indicators (e.g. accident and serious incident rates).			There are alert and/or target level settings within the safety performance indicators where appropriate.			Safety performance indicators are reviewed by the safety committee for trending, alert levels that have been exceeded and target achievement where applicable.		
The management of change [3.2]	3.2/L1/1			3.2/L2/1			3.2/L3/1		
	There is a procedure for review of relevant existing aviation safety-related facilities and equipment (including HIRA records) whenever there are pertinent changes to those facilities or equipment.			There is a procedure for review of new aviation safety-related facilities and equipment for hazards/risks before they are commissioned.			There is a procedure for review of relevant existing facilities, equipment, operations or processes (including HIRM records) whenever there are pertinent changes external to the organisation such as regulatory/industry standards, best practices or technology.		
	3.2/L1/2			3.2/L2/2					
	There is a procedure for review of relevant existing aviation operations and processes (including HIRA records) whenever there are pertinent changes to those operations or processes.			There is a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are commissioned.			–		

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Continuous improvement of the SMS [3.3]	3.3/L1/1			3.3/L2/1			3.3/L3/1		
	There is a procedure for periodic internal audit/assessment of the SMS.			There is a follow-up procedure to address audit corrective actions.			SMS audit/assessment has been carried out according to plan.		
	3.3/L1/2			3.3/L2/2			3.3/L3/2		
	There is a current internal SMS audit/assessment plan.			–			There is a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention when necessary.		
	3.3/L1/3			3.3/L2/3			3.3/L3/3		
	There is a documented internal SMS audit/assessment procedure.			The SMS audit plan includes the sampling of completed safety assessments.			The SMS audit plan covers the SMS roles/inputs of contractors where applicable.		
	SMS Component 4. Safety Promotion								
Training and communication [4.1, 4.2]	4.1/L1/1			4.1/L2/1			4.1/L3/1		
	There is a documented SMS training/familiarization policy for personnel.			Personnel involved in conducting risk evaluation are provided with appropriate risk management training or familiarization.			There is evidence of organisation-wide SMS education or awareness efforts.		
	4.1/L1/2			4.1/L2/2			4.1/L3/2		
	The manager responsible for SMS administration has undergone an appropriate SMS training course.			Personnel directly involved in the SMS (safety committee/SAG members) have undergone appropriate SMS training or familiarization.			There is evidence of a safety (SMS) publication, circular or channel for communicating safety and SMS matters to employees.		
	4.1/L1/3								
	The accountable manager has undergone appropriate SMS familiarization, briefing or training.			–			–		

SMS Initial Acceptance Checklist

SUBTOTAL	CATEGORY 1
Y	
N	
N/A	
Number of questions completed	

CATEGORY 2		

CATEGORY 3		

GRAND TOTAL*	
Y	
N	
N/A	
Number of questions completed	

ASSESSMENT RESULT (% OF YES):

CORRECTIVE ACTION NOTICE (CAN) PROCEDURE

1) Minimum overall acceptable performance (phased SMS implementation):

   First year/phase of assessment (e.g. 2012) — 45%.
   Second year/phase of assessment (e.g. 2013) — 65%.
   Third year/phase of assessment (e.g. 2014) and thereafter — 85%.
   Ninety (90) days for corrective action to obtain not less than 45% overall performance.

2) Baseline performance (Level 1 questions) (during any year/phase of assessment subsequent to CAAM's SMS required applicability date:

   Corrective action notice (CAN) to be issued for "No" answers to any Level 1 questions (during any year/phase of assessment).
   (Sixty (60) days for corrective action to obtain a "Yes" answer to the relevant question(s)).