

Flight Crew Licensing & Training Section - Flying Training Organizations

Safety Management System Level III - Third Year Implementation Assessment Checklist

ICAO Doc 9859

A. SISCOMPONENT 1 - SAFETY POLICY AND OBJECTIVES 1 Management Commitment and Responsibilities 2 NO a There is a periodic review of the safety policy by senior management or the safety committee. b The accountable manager's terms of reference indicate his overall responsibility for all safety issues c The safety policy addresses the provision of the necessary human and financial resources for its implementation d The safety policy must include a commitment to 10 Achieve the hishest safety standards 12. Comply with all applicable regulatory requirements 13. Comply with international standards 14. Adopt proven best practices appropriate to the activity 15. Provide all the necessary resources 16. ensure safety is a primary responsibility of all managers 16. ensure safety is a primary responsibility of all managers 16. Insure that the safety policy is understood, implemented and maintained at all levels e Once the safety policy has been developed senior management should: 10 Visibly endores the policy 10 Visibly endores the policy of all appropriate staff 11 Safety objectives and the safety performance standards must be linked to 13 Establish safety objectives that identify what the organization intends to achieve in terms of safety management 1 Safety objectives and the safety performance standards must be linked to 13 Safety higherimance indicates in the safety performance indicates in sulfimate responsibility for his organization's safety management 1 Safety Accountabilities 1 The accountable manager's final authority over all operations conducted under his organization's safety management a The accountable manager's final authority over all operations conducted under his organization's safety management d The safety action groups are chaired by the departmental or section head where applicable e The accountable manager's final authority over all operations conducted under his organization's safety management in his terms of reference c The safety action groups are chaired by the departmental or sec	• Inspector Name		Organization	on Name				
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Establishing and maintaining the organization's competence to learn from the analysis of data collected through its safety

(7) Having final responsibility for the resolution of all safety issues

reporting system



Flight Crew Licensing & Training Section - Flying Training Organizations Safety Management System Level III - Third Year Implementation Assessment Checklist

ICAO Doc 9859

A. SMS COMPONENT 1 - SAFETY POLICY AND OBJECTIVES Continue

The service provider should ensure that: The ris a policy clearly establishing a safety accountability and authority flow between the service provider and the subcontractor The subcontractor has a safety reporting system commensurate with its size and complexity that facilitates the early identification of hzaards and systemic failures of concern to the service provider of the service provider's safety review board includes subcontractor representation, where appropriate				
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	(~)	are provided appropriate opportunities to participate in safety management activities		

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A. SMS COMPONENT 1 - SAFETY POLICY AND OBJECTIVES Continue

4	Emergency Response Planning	YES	NO
a	The ERP addresses relevant integration with external customer or subcontractor organizations where applicable		
b	There is a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness		
С	ERP drills or exercises are carried out according to plan and the result of drills carried out are documented		
	EXT drins of exercises are earned out according to plan and the result of drins earned out are documented		
5	SMS Documentation	YES	NO
		120	1,0
a	The SMS procedures reflect appropriate integration with other relevant management systems within the organization, such as QMS, OSHE, security, as applicable		
-			
b	The SMS procedures reflect relevant coordination or integration with external customer or subcontractor organizations where applicable		
c	There is a process to periodically review the SMS exposition and supporting documentation to ensure their continuing		
	relevance		
			1
d	Records pertaining to periodic review of existing safety/risk assessments or special review in conjunction with relevant changes are available		
e	Records are maintained pertaining to safety risk assessments performed.		
£	Records pertaining to identified or reported hazards/threats are maintained		
	Records pertaining to identified of reported flazards/tiffeats are maintained		
g	The SMS documentation covers all elements and processes of the SMS and normally includes a consolidated		
	description of the SMS components and elements such as		
(1)	Document and records management		
(2)	Regulatory SMS requirements		
(3)	Framework, scope and integration		
(4)	Safety policy and safety objectives		
(5)	Safety accountabilities and key personnel		
(6)	Voluntary hazard reporting system		
(7)	Incident reporting and investigation procedures		
(8)	Hazard identification and risk assessment processes		
(9)	Safety performance indicators		
(10)	Safety training and communication		
(11)	Continuous improvement and SMS audit		
(12)	Management of change		
(13)	Emergency or operations contingency planning		
h	The SMS documentation covers all elements and processes of the SMS and normally includes a compilation of		
	current SMS related records and documents such as:		
(1)	Hazards report register and samples of actual reports		
(2)	Safety performance indicators and related charts		
(3)			
(4)	Record of completed or in-progress safety assessments		
(4)	SMS internal review or audit records		
(5)	SMS internal review or audit records Safety promotion records		
	SMS internal review or audit records		

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B. SMS COMPONENT 2 - SAFETY RISK MANAGEMENT

1	Hazard Identification	YES	NO
a	There is a procedure to identify hazards/threats from internal incident/accident investigation reports for follow-up risk		
	mitigation where appropriate		
b	There is a procedure to review hazards/threats from relevant industry service or incident/accident reports for risk		
	mitigation where applicable		
С	There is a procedure for periodic review of existing risk analysis records		
d	The service provider shall develop and maintain a formal process that ensures that hazards associated with its		
(4)	aviation products or services are identified. The safety risk management process		
(1)	Hazard identification. Equipment, procedures, organization, etc		
(2)	Risk analysis probability. Analyze the likelihood of the consequence occurring		
(3)	Risk analysis severity. Evaluate the seriousness of the consequence if it does occur		
(4)	Risk assessment and tolerability. Is the assessed risk(s) acceptable and within the organization's safety performance		
(=)	criteria		
(5)	Risk control/ mitigation. Yes, accept the risk or No, take action to reduce risk(s) to an acceptable level		
e	Hazard identification shall be based on a combination of reactive, proactive and predictive methods of safety data		
	collection		
f	The following may be considered while engaged in the hazard identification process:		
(1)	Design factors, including equipment and task design		
(2)	Human performance limitations (e.g. physiological, psychological and cognitive)		
(3)	Procedures and operating practices, including their documentation and checklists and their validation under actual		
	operating conditions		
(4)	Communication factors, including media, terminology and language		
(5)	Organizational factors, such as those related to the recruitment, training and retention of personnel, the compatibility of		
	production and safety goals, the allocation of resources, operating pressures and the		
(6)	corporate safety culture		
(6)	Factors related to the operational environment of the aviation system (e.g. ambient noise and vibration, temperature,		
(7)	lighting and the availability of protective equipment and clothing)		
(7)	Regulatory oversight factors, including the applicability and enforceability of regulations and the certification of		
(0)	equipment, personnel and procedures		
(8)	Performance monitoring systems that can detect practical drift or operational deviations		
(9)	Human-machine interface factors		
c			
f	There are a variety of data sources of hazard identification that may be both internal and external to the		
(1)	organization. Examples of the internal hazard identification data sources include Normal operation monitoring schemes (e.g. flight data analysis for aircraft operators)		
(1)			
(2)	Voluntary and mandatory reporting systems		
(3)	Safety surveys		
(4)	Safety audits		
(5)	Feedback from training		
(6)	Investigation and follow-up reports on accidents/incidents		
	There are a residue of data assumes of heaved threather that are the back trace in the data.		
g	There are a variety of data sources of hazard identification that may be both internal and external to the		
(1)	organization, Examples of the internal hazard identification data sources include:		
(1)	Industry accident reports		
(2)	State mandatory incident reporting systems		
(3)	State voluntary incident reporting systems		
(4)	State oversight audits		
(5)	Information exchange systems		

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2	Safety Risk Assessment and Mitigation	YES	NO
a	Risk assessment reports are approved by departmental managers or at a higher level where appropriate		
b	Recommended mitigation actions which require senior management decision or approval are accounted for and documented		
c	There is evidence of progressive compliance and maintenance of the organization's HIRA performance program		
d	The organization shall develop and maintain a formal process that ensures		
(1)	Analysis (probability and severity of occurrence)		
(2)	Assessment (tolerability)		
(3)	Control (mitigation) of the safety risks assessed to the consequences of hazards in operations to ALARP. The main elements of the risk management process		
(4)	Communicate and consult		
(5)	Establish the context. Establish the external, internal and risk management context in which the rest of the process will take place		
(6)	Identify risks. Identify where, when, why and how events could prevent, degrade, and/or delay the achievement of safety objectives		
(7)	Analyze risks. Determine consequences and likelihood of the event and therefore the level of risk. Identify and evaluate existing controls (measures in place that control the hazard or reduce the likelihood of occurrence or consequence)		
(8)	Evaluate risks. Compare estimated levels of risk against the pre-established criteria of acceptability and consider the balance between potential benefits and adverse outcomes		
(9)	Treat/Mitigate risks. Develop and implement specific cost-effective strategies and action plans for increasing potential benefits and reducing potential costs and losses		
(10)	Monitor and review. It is necessary to monitor the effectiveness of all steps of the risk management process		
(11)	A formal record of each stage of the risk management process shall be initiated and kept. Assumptions, methods, data sources, analyses, results and reasons for decisions shall all be documented		
C. S	MS COMPONENT 3 - SAFETY ASSURANCE		
1	Safety Performance Monitoring and Measurement	YES	NO
a	There is a procedure for corrective or follow-up action to be taken when targets are not achieved and/or alert levels are breached		
b	Safety performance indicators are reviewed by the safety committee for trending, alert levels that have been exceeded and target achievement where applicable.		
c	Sources of safety information to support safety performance monitoring and measurement		
(1)	Mandatory incident reporting systems require the reporting of certain types of events (e.g. serious incidents, runway incursions)		
(2)	Voluntary reporting systems allow for the submission of information related to observed hazards or inadvertent errors without an associated legal or administrative requirement to do so.		
d	Other sources of safety information to support safety performance monitoring and measurement may include:		
(1)	Safety studies are analyses used to gain an understanding of broad safety issues or those of a global nature		

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Internal investigations are conducted for certain reportable safety events in accordance with internal or regulatory

(2) Safety reviews are a fundamental component of change management

requirements

Safety surveys examine procedures or processes related to a specific operation Audits focus on the integrity of the organization's SMS and its supporting systems



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C. SMS COMPONENT 3 - SAFETY ASSURANCE Continue

2	The Management of Change	YES	NO
a	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 organization such as regulatory/industry standards, best		
	practices or technology		
b	There is a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are		
	commissioned		
	Commissioned		<u>. </u>
	A sixting and in a second and a second a second and a second a second and a second		
C	Aviation service providers experience change due to a number of factors including, but not limited to		
(1)	Organizational expansion or contraction		
(2)	Changes to internal systems, processes or procedures that support delivery of the products and services		
(3)	Changes to the organization's operating environment		
d	The organization's management of change process should take into account the following three considerations		
(1)	Criticality assessments determine the systems, equipment or activities that are essential to		
	the safe operation of aircraft		
(2)	Stability of systems and operational environments		
(3)	Past performance of critical systems and trend analyses in the safety assurance process should be employed to anticipate		
(3)	and monitor safety performance under situations of change		
<u> </u>	and monitor sarety performance under situations of change		<u> </u>
-	Continue Language of the CMC	VEC	NO
3	Continuous Improvement of the SMS	YES	NO
			1
a	SMS audit/assessment has been carried out according to plan		
b	There is a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention		
	when necessary		
С	The SMS audit plan covers the SMS roles/inputs of contractors where applicable		
<u> </u>	,		
d	Continuous improvement is measured through the monitoring of an organization's safety performance indicators		
u	and is related to the maturity and effectiveness of an SMS. These objectives are achieved through the application of		
	internal evaluations and independent audits of the SMS.		
(1)	Internal evaluations and independent address of the sixts.		
(1)	Internal evaluations involve assessment of the service provider's aviation activities that can provide information useful to		
	the organization's decision-making processes		
(2)	Internal audits involve the systematic and scheduled examination of the service provider's aviation activities, including		
	those specific to implementation of the SMS		
(3)	External audits of the SMS may be conducted by relevant authorities responsible for acceptance of the service provider's		
	SMS		
D. 5	SMS COMPONENT 4 - SAFETY PROMOTION		
1	Training and Communication	YES	NO
	,		
a	There is evidence of organization wide SMS education or awareness efforts		
_ a	There is evidence of organization wide sixts education of awareness efforts		<u> </u>
b	There is avidence of a sofety (SMS) publication, circular or channel for communicating sofety and SMS methors to		
В	There is evidence of a safety (SMS) publication, circular or channel for communicating safety and SMS matters to		
	employees		<u> </u>
	I m		1
c	The accountable manager has undergone appropriate SMS familiarization, briefing or training		
d	Safety training and education curricula should consist of the following		
(1)	Organizational safety policies, goals and objectives		
(2)	Organizational safety roles and responsibilities related to safety		
(3)	Basic safety risk management principles		
(4)	Safety reporting systems		
(5)	Safety management support (including evaluation and audit programs)		
(6)	Lines of communication for dissemination of safety information		
(7)	A validation process that measures the effectiveness of training		
(8)	Documented initial indoctrination and recurrent training requirements		1

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D. SMS COMPONENT 4 - SAFETY PROMOTION Continue

1	Training and Communication		YES	NO
	T			1
(1)	Training procedures should specify initial and recurrent safety tra Operational personnel,	aining standards for		
(2)	Managers and supervisors,			
(3)	Senior managers and the accountable executive			
(5)	Some managers and the decounter cheesing			
f	The training should include the			
(1)	Organization's safety policy,			
(2)	Safety roles and responsibilities,			
(3)	SMS principles related to safety risk management and safety assurance	e		
(4)	Organization's safety reporting system(s)			
g	Safety training for senior managers should include			
(1)	Content related to compliance with national and organizational safety r	requirements,		
(2)	Allocation of resources and active promotion of the SMS including eff	fective interdepartmental safety com	nmunication.	
(3)	Material on establishing safety performance targets and alert levels			
	spection Result			
	tisfactory	☐ Unsatisfactory		
• Re	marks			
<u> </u>				
	Inspector Name	Signature	Date	
	Inspector runne	Signature	Date	

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