



Flight Operations Standards Department
Flight Crew Licensing & Training Section – Flying Training Organizations
Safety Management System Level I - First Year Implementation Assessment Checklist

ICAO Doc 9859

• Inspector Name		• Organization Name	
• Date		• Safety Manager Name	

A. SMS COMPONENT 1 - SAFETY POLICY AND OBJECTIVES

1	Management Commitment and Responsibilities	YES		NO
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a	There is a documented safety policy statement.			
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b	The safety policy is relevant to aviation safety			
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c	The safety policy is relevant to the scope and complexity of the organization's operations			
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d	The safety policy must include a commitment to			
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(1)	Achieve the highest safety standards			
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(2)	Comply with all applicable regulatory requirements			
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(3)	Comply with international standards			
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(4)	Adopt proven best practices appropriate to the activity			
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(5)	Provide all the necessary resources			
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(6)	ensure safety is a primary responsibility of all managers			
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(7)	Follow the disciplinary policy			
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(8)	Ensure that the safety policy is understood, implemented and maintained at all levels			
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e	Once the safety policy has been developed senior management should:			
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(1)	Visibly endorse the policy			
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(2)	Communicate the policy to all appropriate staff			
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(3)	Establish safety performance targets for the SMS and the organization			
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(4)	establish safety objectives that identify what the organization intends to achieve in terms of safety management			
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f	Safety objectives and the safety performance standards must be linked to			
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(1)	Safety performance indicators			
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(2)	Safety performance targets			
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(3)	SMS mitigation actions			
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2	Safety Accountabilities	YES		NO
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a	There is a documented safety (SMS) accountability within the organization that begins with the accountable manager			
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b	The accountable executive has final authority over all the aviation activities of his organization			
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c	There is a safety committee (or equivalent mechanism) that reviews the SMS and its safety performance			
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d	The safety committee includes relevant operational or departmental heads as applicable			
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e	The accountable executive's authorities and responsibilities include, but are not limited to:			
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(1)	Provision and allocation of human, technical, financial or other resources necessary for the effective and efficient performance of SMS			
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(2)	Direct responsibility for the conduct of the organization's affairs			
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(3)	Final authority over operations under the certificate/approval of the organization			
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(4)	Establishment and promotion of the safety policy			
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(5)	Establishment of the organization's safety objectives and safety targets			
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(6)	Acting as the organization's safety champion			
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(7)	Having final responsibility for the resolution of all safety issues			
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(8)	Establishing and maintaining the organization's competence to learn from the analysis of data collected through its safety reporting system			
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2	Safety Accountabilities	YES	NO
f	The service provider should ensure that:		
(1)	There is a policy clearly establishing a safety accountability and authority flow between the service provider and the subcontractor		
(2)	The subcontractor has a safety reporting system commensurate with its size and complexity that facilitates the early identification of hazards and systemic failures of concern to the service provider		
(3)	The service provider's safety review board includes subcontractor representation, where appropriate		
(4)	Safety/quality indicators to monitor subcontractor performance are developed, where appropriate		
(5)	The service provider's safety promotion process ensures subcontractor employees are provided with the organization's applicable safety communications		
(6)	Any subcontractor roles, responsibilities and functions relevant to the service provider's emergency response plan are developed and tested		
3	Appointment of Key Safety Personnel	YES	NO
a	There is a manager who performs the role of administering the SMS		
b	The manager performing the SMS role has relevant SMS functions included in his terms of reference		
c	The safety manager's functions include, but are not necessarily limited to:		
(1)	Managing the SMS implementation plan on behalf of the accountable executive		
(2)	Performing/facilitating hazard identification and safety risk analysis		
(3)	Monitoring corrective actions and evaluating their results		
(4)	Providing periodic reports on the organization's safety performance		
(5)	Maintaining records and safety documentation		
(6)	Planning and facilitating staff safety training		
(7)	Providing independent advice on safety matters		
(8)	Monitoring safety concerns in the aviation industry and their perceived impact on the organization's operations aimed at service delivery		
(9)	Coordinating and communicating (on behalf of the accountable executive) with the State's oversight authority and other State agencies as necessary on issues relating to safety		
(10)	Coordinating and communicating (on behalf of the accountable executive) with international organizations on issues relating to safety		
d	The safety manager participates in the Safety Review Committee (SRC) in an advisory capacity only. The SRC may meet infrequently. The SRC:		
(1)	Monitors the effectiveness of the SMS		
(2)	Monitors that any necessary corrective action is taken in a timely manner		
(3)	Monitors safety performance against the organization's safety policy and objectives		
(4)	Monitors the effectiveness of the organization's safety management processes which support the declared corporate priority of safety management as another core business process		
(5)	Monitors the effectiveness of the safety supervision of subcontracted operations		
(6)	Ensures that appropriate resources are allocated to achieve safety performance beyond that required by regulatory compliance		
e	The Safety Action Group (SAG) is composed of line managers and front-line personnel and are normally chaired by a designated line manager. SAGs are tactical entities that deal with specific implementation issues per the direction of the SRC. The SAG:		
(1)	Oversees operational safety performance within the functional areas of the organization and ensures that appropriate safety risk management activities are carried out with staff involvement as necessary to build up safety awareness		
(2)	Coordinates the resolution of mitigation strategies for the identified consequences of hazards and ensures that satisfactory arrangements exist for safety data capture and employee feedback		
(3)	Assesses the safety impact related to the introduction of operational changes or new technologies		
(4)	Coordinates the implementation of corrective action plans and ensures that corrective action is taken in a timely manner		
(5)	reviews the effectiveness of previous safety recommendations		
(6)	Oversees safety promotion activities as necessary to increase employee awareness of safety issues and to ensure that they are provided appropriate opportunities to participate in safety management activities		



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4	Emergency Response Planning	YES	NO
a	There is a documented ERP or equivalent operational contingency procedure		
b	The ERP is appropriate to the size, nature and complexity of the organization		
c	The emergency plan addresses possible or likely emergency/crisis scenarios relating to the organization's aviation product or service deliveries		
5	SMS Documentation	YES	NO
a	There is an SMS document or exposition which is approved by the accountable manager and accepted by the CAA		
b	The SMS document provides an overview or exposition of the organization's SMS framework and elements		
c	The SMS document is a standalone controlled document or a distinct part/section of an existing CAA endorsed/accepted document		
d	All components and elements of SMS regulatory requirements are addressed in the SMS document		
e	Records are maintained pertaining to safety risk assessments performed.		
f	Records pertaining to identified or reported hazards/threats 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)	Record of completed or in-progress safety assessments		
(4)	SMS internal review or audit records		
(5)	Safety promotion records		
(6)	Personnel SMS/safety training records		
(7)	SMS/safety committee meeting minutes		
(8)	SMS implementation plan (during implementation process).		



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B. SMS COMPONENT 2 - SAFETY RISK MANAGEMENT

1	Hazard Identification	YES	NO
a	There is a procedure for voluntary hazards/threats reporting by all employees		
b	There is a procedure for incident/accident reporting by operational or production personnel		
c	There is a procedure for investigation of incident/accidents relating to quality or safety		
d	The service provider shall develop and maintain a formal process that ensures that hazards associated with its 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 corporate safety culture		
(6)	Factors related to the operational environment of the aviation system (e.g. ambient noise and vibration, temperature, lighting and the availability of protective equipment and clothing)		
(7)	Regulatory oversight factors, including the applicability and enforceability of regulations and the certification of equipment, personnel and procedures		
(8)	Performance monitoring systems that can detect practical drift or operational deviations		
(9)	Human-machine interface factors		
f	There are a variety of data sources of hazard identification that may be both internal and external to the organization. Examples of the internal hazard identification data sources include		
(1)	Normal operation monitoring schemes (e.g. flight data analysis for aircraft operators)		
(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		
g	There are a variety of data sources of hazard identification that may be both internal and external to the 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	There is a documented HIRM procedure involving the use of objective risk analysis tools		
b	There is a procedure for identification of operations, processes, facilities and equipment which are deemed (by the organization) as relevant for HIRM		
c	There is a program for progressive HIRA performance of all aviation safety-related operations, processes, facilities and equipment as identified by the organization.		
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. SMS COMPONENT 3 - SAFETY ASSURANCE

1	Safety Performance Monitoring and Measurement	YES	NO
a	There are identified safety performance indicators for measuring and monitoring the organization's safety performance		
b	There are high-consequence data based safety performance indicators (e.g. accident and serious incident rates).		
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		
(2)	Safety reviews are a fundamental component of change management		
(3)	Safety surveys examine procedures or processes related to a specific operation		
(4)	Audits focus on the integrity of the organization's SMS and its supporting systems		
(5)	Internal investigations are conducted for certain reportable safety events in accordance with internal or regulatory requirements		



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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 aviation safety related facilities and equipment (including HIRA records) whenever there are pertinent changes to those facilities or equipment		
b	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		
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 and monitor safety performance under situations of change		
3	Continuous Improvement of the SMS	YES	NO
a	There is a procedure for periodic internal audit/assessment of the SMS		
b	There is a current internal SMS audit/assessment plan		
c	There is a documented internal SMS audit/assessment procedure		
d	Continuous improvement is measured through the monitoring of an organization's safety performance indicators 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 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. SMS COMPONENT 4 - SAFETY PROMOTION

1	Training and Communication	YES	NO
a	There is a documented SMS training/familiarization policy for personnel		
b	The manager responsible for SMS administration has undergone an appropriate SMS training course		
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		

