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<tr><td rowspan="4"></td><td>Flight Operations Standards Department</td></tr>
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	Flight Operations Standards Department
	Flight Crew Licensing & Training Section - Flying Training Organizations
	Safety Management System Inspection 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**
a	The safety policy is relevant to the scope and complexity of the organization's operations		
b	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		
c	There is a periodic review of the safety policy by senior management or the safety committee		
d	The accountable manager's terms of reference indicate his overall responsibility for all safety issues		

2	**Safety Accountabilities**	**YES**	**NO**
a	There is a safety committee (or equivalent mechanism) that reviews the SMS and its safety performance		
b	The accountable manager's final authority over all operations conducted under his organization's certificate(s) is indicated in his terms of reference		

3	**Appointment of Key Safety Personnel**	**YES**	**NO**
a	The manager performing the SMS role has relevant SMS functions included in his terms of reference		
b	The manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager		
c	The SMS manager has direct access or reporting to the accountable manager concerning the implementation and operation of the SMS		
d	The SMS manager is a senior management position not lower than or subservient to other operational or production positions		

4	**Emergency Response Planning**	**YES**	**NO**
a	The ERP addresses possible or likely emergency/crisis scenarios relating to the organization's aviation service deliveries		
b	The ERP includes procedures for the continuing safe production, delivery or support of its aviation products or services during emergencies or contingencies		
c	ERP drills or exercises are carried out according to plan and the result of drills carried out are documented		
d	The ERP addresses relevant integration with external customer or subcontractor organizations where applicable		
e	There is evidence of periodic review of the ERP to ensure its continuing relevance and effectiveness		

5	**SMS Documentation**	**YES**	**NO**
a	The organization's SMS components and elements are adequately manifested in the SMS document		
b	The organization's documented SMS components and elements are in line with the aviation authority's SMS requirements		
c	There is evidence of relevant SMS coordination or integration with external customer or subcontractor organizations where applicable		
d	There is evidence of procedures for periodic review of the SMS document and supporting documentation to ensure their continuing relevance		
e	Records pertaining to periodic review of existing safety/risk assessments are available.		

B. SMS COMPONENT 2 - SAFETY RISK MANAGEMENT

1	**Hazard Identification**	**YES**	**NO**

a	The number or rate of the organization's registered/collected hazard reports is commensurate with the size and scope of the organization's operations		
b	The hazard reporting system is confidential and has provisions to protect the reporter's identity		
c	There is evidence that hazards/threats uncovered during the incident/accident investigation process are registered with the HIRM system		
d	There is evidence that registered hazards are systematically processed for risk mitigation where applicable		

2	**Safety Risk Assessment and Mitigation**	**YES**	**NO**

a	There is evidence that operations, processes, facilities and equipment with aviation safety implications are progressively subjected to the organization's HIRM process		
b	Completed risk assessment reports are approved by an appropriate level of management		
c	There is a procedure for periodic review of completed risk mitigation records		

C. SMS COMPONENT 3 - SAFETY ASSURANCE

1	**Safety Performance Monitoring and Measurement**	**YES**	**NO**

a	The organization's SMS safety performance indicators have been agreed with the relevant national aviation authority		
b	There are high-consequence data-based safety performance indicators (e.g. accident and serious incident rates)		
c	There are lower-consequence safety performance indicators (e.g. noncompliance, deviation events)		
d	There are alert and/or target level settings within the safety performance indicators where appropriate		
e	The organization's management of change procedure includes the requirement for a safety risk assessment to be conducted whenever applicable		
f	There is evidence of corrective or follow-up action taken when targets are not achieved and/or alert levels are breached		

2	**The Management of Change**	**YES**	**NO**

a	There is evidence that relevant aviation safety-related processes and operations have been subjected to the organization's HIRM process as applicable		
b	The organization's management of change procedure includes the requirement for a safety risk assessment to be conducted whenever applicable		

3	**Continuous Improvement of the SMS**	**YES**	**NO**

a	There is evidence that an internal SMS audit/assessment has been planned and carried out		

D. SMS COMPONENT 4 - SAFETY PROMOTION

1	**Training Education and Communication**	**YES**	**NO**

a	There is evidence that all personnel involved in SMS operations have undergone appropriate SMS training or familiarization		
b	Personnel involved in conducting risk evaluation are provided with appropriate risk management training or familiarization		
c	There is evidence of a safety (SMS) publication, circular or channel for communicating safety and SMS matters to employees		

• Inspection Result	
☐ Satisfactory	☐ Unsatisfactory

• Remarks	

Inspector Name	Title	Signature	Date