

**The Hashemite Kingdom of Jordan**  
**Civil Aviation Regulatory Commission**



**SMS Assessment Checklist**

|                                      |                      |                        |
|--------------------------------------|----------------------|------------------------|
| <b>Audited Organization</b>          | <b>Audit Started</b> | <b>Audit Completed</b> |
| <b>CARC/AWSD Approval Reference:</b> |                      |                        |
| <b>Inspector's Name</b>              | <b>Signature</b>     |                        |



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SMS Assessment Checklist

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| <b>Annex 19 SARPS Ref</b>   | <b>1 SAFETY POLICY AND OBJECTIVES</b>   |   |  |
|   | <b>1.1 MANAGEMENT COMMITMENT (1.1.1)</b>  |   |  |
| <b>SMS Checklist Ref</b>  | <b>1.1.1.1</b>  |   |  |
| <p>The Organization shall define its safety policy in accordance with international and national requirements.</p> <p>The <u>safety policy</u> shall:</p> <ul style="list-style-type: none"> <li>be <u>signed</u> by the accountable executive of the organization</li> <li>be <u>periodically reviewed</u> to ensure it remains relevant and appropriate to the Organization</li> </ul>  |   |   |  |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>   |
| There is a safety policy that includes a commitment to continuous improvement, observe all applicable legal requirements, standards and considers best practice signed by the accountable manager.  | There are no suitability considerations<br>A safety policy should be short and succinct whether it's in a large complex organization or in a small simple organization. | It is reviewed periodically to ensure it remains relevant to the organization.<br>The accountable manager is familiar with the contents of the safety policy. | The accountable manager is familiar with the contents of the safety policy.<br>The policy is updated for continuous improvement. |
| <b>Assessment results</b>   |   |   |  |
|   |   |   |  |
| <b>What to look for</b>   |   |   |  |
| <ul style="list-style-type: none"> <li>- Safety Policy signed by the Accountable Manager</li> <li>- Ensure that All Safety components are detailed in the Safety Policy are presents.</li> <li>- What triggers the last revision of the Safety Policy?</li> <li>- Talk to accountable manager to assess his/her knowledge and understanding of the safety policy.</li> <li>- Interview staff to determine how readable and understandable it is.</li> </ul> |   |   |  |







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| <b>Annex 19 SARPS Ref</b>   | 1.1 MANAGEMENT COMMITMENT (1.1.1)  |   |   |
| <b>SMS Checklist Ref</b>  | 1.1.1.2  |   |   |
| The safety policy shall <ul style="list-style-type: none"> <li>include a clear statement about the provision of the necessary resources for the implementation of the safety policy</li> </ul>  |  |   |   |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |
| The safety policy includes a statement to provide appropriate resources   | The larger the organization the more likely a sophisticated resource management tool is needed | The organization is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls. | The organization is reviewing and taking action to address any <u>forecasted</u> shortfalls in resources. |
| <b>Assessment results</b>   |  |   |   |
|   |  |   |   |
| <b>What to look for</b>   |  |   |   |
| <ul style="list-style-type: none"> <li>- Review available resources including personnel, equipment and financial.</li> <li>- There are sufficient and competent personnel.</li> <li>- Review planned manpower vs actual manpower.</li> <li>- SAG (Safety Action Group ) minutes are reporting resources issues</li> </ul> |  |   |   |





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| <b>Annex 19 SARPS Ref</b>  | 1.1 MANAGEMENT COMMITMENT (1.1.1)   |   |   |
| <b>SMS Checklist Ref</b>   | 1.1.1.3   |   |   |
| The safety policy shall : <ul style="list-style-type: none"> <li>• be communicated, with visible endorsement, throughout the organization</li> </ul>   |   |   |   |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |
| There is a means in place for the communication of the safety policy.  | Consider whether the means of communication has sufficient visibility for all staff, and where appropriate, customers and staff in external | The safety policy is communicated to all personnel (including relevant contract staff and organizations). | People across the organization are familiar with the policy and can describe their obligations in respect of the safety policy. |
| <b>Assessment results</b>  |   |   |   |
|  |   |   |   |
| <b>What to look for</b>  |   |   |   |
| <ul style="list-style-type: none"> <li>- Review how safety policy is communicated.</li> <li>- Safety policy is clearly visible.</li> <li>- Question managers and staff regarding knowledge of the safety policy</li> </ul> |   |   |   |



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| <b>Annex 19 SARPS Ref</b>   | 1.1 MANAGEMENT COMMITMENT (1.1.1)   |  |   |
| <b>SMS Checklist Ref</b>  | 1.1.1.4   |  |   |
| The <u>safety policy</u> shall <ul style="list-style-type: none"> <li>Reflect <u>organizational commitment</u> regarding safety, including the promotion of a <u>positive safety culture</u></li> </ul>   |   |  |   |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| The management commitment to safety is documented within the safety policy.   | Consider how a positive safety culture is promoted and assessed in organizations that have multiple sites and bases | The accountable manager and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system. | Decision making, actions and behaviors Annex 19 SARPS select a positive safety culture and there is good safety leadership that demonstrates commitment to the safety policy. |
| <b>Assessment results</b>   |   |  |   |
|   |   |  |   |
| <b>What to look for</b>   |   |  |   |
| <ul style="list-style-type: none"> <li>- All Managers are familiar with the key elements of the safety policy.</li> <li>- Evidence of senior management participation in safety meetings - Review Attendance list of SRM (Safety Risk Management), SAG, and review delegation list.</li> <li>- Evidence of senior management participation in safety training, conferences</li> <li>- Feedback from safety culture surveys and related actions.</li> <li>- Relationship with regulator and other stakeholders. ( how can it be seen)</li> </ul> |   |  |   |







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| <b>Annex 19 SARPS Ref</b>   | 1.1 MANAGEMENT COMMITMENT (1.1.1)   |   |   |
| <b>SMS Checklist Ref</b>  | 1.1.1.5   |   |   |
| The <u>safety policy</u> shall: <ul style="list-style-type: none"> <li>Clearly indicate which types of behaviors are <u>unacceptable</u> related to the Organization 's aviation activities and include the circumstances under which <u>disciplinary action</u> would not apply.</li> </ul>  |   |   |   |
| <b>PRESENT</b>  | <b>SUITABILITY<br/>CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |
| A Just Culture Policy and principles have been defined that clearly identifies acceptable and unacceptable behaviors to promote a Just Culture.   | Consider whether there are supporting procedures for the just culture policy and in larger organization and independent review board to make any decisions on disciplinary actions. | There is evidence of the Just Culture policy and supporting principles being applied and promoted to staff. | The Just Culture policy is applied in a fair and consistent manner and people trust the policy.<br>There is evidence that the line between acceptable and unacceptable behavior has been determined in consultation with staff and staff representatives. |
| <b>Assessment results</b>   |   |   |   |
|   |   |   |   |
| <b>What to look for</b>   |   |   |   |
| <ul style="list-style-type: none"> <li>- Evidence of when the just culture principles have been applied following an event.</li> <li>- Evidence of interventions from safety investigations addressing organizational issues rather than focusing only on the individual.</li> <li>- Review how the organization is monitoring reporting rates.</li> <li>- The number of aviation safety reports appropriate to the activities.</li> <li>- Safety Reports include the reporter's own errors and events they are involved in (events where no one was watching).</li> <li>- Feedback on just culture from staff safety culture surveys.</li> <li>- Interview staff representatives to confirm that they agree with just culture policy and principles.</li> <li>- Talk to staff to check they are aware of the just culture policy and principles</li> </ul> |   |   |   |





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| <b>Annex 19 SARPS Ref</b>  | 1.1 MANAGEMENT COMMITMENT (1.1.2)   |  |   |
| <b>SMS Checklist Ref</b>   | 1.1.1.6   |  |   |
| <p>Taking due account of its safety policy, the Organization shall define safety objectives.<br/> <u>The safety objectives shall:</u></p> <ul style="list-style-type: none"> <li>form the basis for safety performance monitoring and measurement as required</li> <li>reflect the Organization 's <u>commitment to maintain or continuously improve</u> the overall effectiveness of the SMS</li> <li><u>be communicated</u> throughout the organization</li> <li><u>be periodically reviewed</u> to ensure they remain relevant and appropriate to the Organization</li> </ul> |   |  |   |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organization.   | Consider whether the safety objectives selected are suitable for the type of activity and the size and nature of the organization. A small organization may just have one or 2 safety objectives. | Safety objectives are being regularly reviewed and are communicated throughout the organization. | Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met. |
| <b>Assessment results</b>  |   |  |   |
|  |   |  |   |
| <b>What to look for</b>  |   |  |   |
| <ul style="list-style-type: none"> <li>- Assess whether the safety objectives are appropriate and relevant?</li> <li>- Objectives are defined that will lead to an improvement in processes, outcomes and the development of a positive safety culture</li> <li>- Assess how safety objectives are communicated throughout the organization.</li> <li>- Safety objectives are being measured to monitor achievement through SPIs (Safety Performance Indicators).</li> <li>- SPI reported in SRM and action taken in case of Alert Level reached</li> </ul>                      |   |  |   |





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**SUMMARY COMMENTS on 1.1. SAFETY POLICY AND OBJECTIVES. 'MANAGEMENT COMMITMENT'**





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| <b>Annex 19 SARPS Ref</b>  | 1.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES  |  |  |
| <b>SMS Checklist Ref</b>   | 1.2.1.1   |  |  |
| The Organization shall: <ul style="list-style-type: none"> <li>identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization, for the implementation and maintenance of an effective SMS</li> </ul>  |   |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| An accountable manager has been appointed with full responsibility and ultimate accountability for the SMS.  | Consider whether the right person is selected for the role of the Accountable Executive, their ability to control resources and their proximity to the operation (neither too remote or where there may be a conflict of interest). | The accountable manager ensures that the SMS is properly resourced, implemented and maintained and has the authority to stop the operation if there is an unacceptable level of safety risk. | The accountable manager ensures that the performance of the SMS is being monitored, reviewed and improved. |
| <b>Assessment results</b>  |   |  |  |
|  |   |  |  |
| <b>What to look for</b>  |   |  |  |
| <ul style="list-style-type: none"> <li>Evidence that the accountable manager has the authority to provide sufficient resources for relevant safety improvements.</li> <li>Evidence of decision making on risk acceptability.</li> <li>Review SMS activities are being carried out in a timely manner and the SMS is sufficiently resourced.</li> <li>Evidence of activities being stopped due to unacceptable level of safety risk.</li> </ul> |   |  |  |







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| <b>Annex 19 SARPS Ref</b>  | 1.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES  |  |  |
| <b>SMS Checklist Ref</b>   | 1.2.1.2   |  |  |
| <p>The Organization shall:</p> <ul style="list-style-type: none"> <li>clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management,</li> <li>identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization</li> <li>document and communicate safety accountability, responsibilities, and authorities throughout the organization,</li> <li>define the levels of management with CARC to make decisions regarding safety risk tolerability</li> </ul> |   |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| The safety accountability, authorities and responsibilities are clearly defined and documented.  | Consider whether they have been defined clearly enough for the individuals. Large complex organizations may require several organizational charts to show the organizational structure and lines of accountability whereas a small organization may just need a single chart. | Everyone in the organization is aware of and fulfil their safety responsibilities, authorities and accountabilities and encouraged to contribute to the SMS. | The accountable manager and the senior management team are aware of the risks faced by the organization and safety management system principles exist throughout the organization so that safety is part of the everyday language. |
| <b>Assessment results</b>  |   |  |  |
|  |   |  |  |
| <b>What to look for</b>  |   |  |  |
| <ul style="list-style-type: none"> <li>- Question managers and staff regarding their roles and responsibilities.</li> <li>- Confirm senior managers are aware of the organization's safety performance and its most significant risks.</li> <li>- Evidence of managers having safety related performance targets.</li> <li>- Look for active participation of the management team in the SMS.</li> <li>- Evidence of appropriate risk mitigation, action and ownership.</li> <li>- Levels of Management authorised to make decisions on risk acceptance are defined.</li> <li>- Acceptance of risk is aligned with authorisations.</li> </ul>                        |   |  |  |





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**SUMMARY COMMENTS on 1.2. 'SAFETY ACCOUNTABILITY AND RESPONSIBILITIES'**





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| <b>Annex 19 SARPS Ref</b>   | 1.3 APPOINTMENT OF KEY SAFETY PERSONNEL  |   |   |
| <b>SMS Checklist Ref</b>  | 1.3.1.1  |   |   |
| <p>The Organization shall appoint a <u>safety manager</u> accepted by CARC who is responsible for the implementation and maintenance of the SMS.<br/> <i>Depending on the size of the Organization and the complexity of its aviation products or services, the responsibilities for the implementation and maintenance of the SMS may be assigned to one or more persons, fulfilling the role of safety manager, as their sole function or combined with other duties, provided these do not result in any conflicts of interest</i></p>   |  |   |   |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |
| A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line with the accountable manager.   | The Safety Managers background/experience & qualifications are appropriate for the size and complexity of the organization. Check position description/role requirements for the Safety Manager. | The safety manager has implemented and is maintaining the SMS.<br>The safety manager is in regular communication with the accountable manager and escalates safety issues when appropriate. | The safety manager is competent to manage the SMS and identifying improvements in a timely manner.<br>There is a close working relationship with the accountable manager and the safety manager is considered a trusted advisor and given appropriate status in the organization. |
| <b>Assessment results</b>   |  |   |   |
|   |  |   |   |
| <b>What to look for</b>   |  |   |   |
| <ul style="list-style-type: none"> <li>- Review safety manager role including credibility and status.</li> <li>- Appropriate safety training received.</li> <li>- Evidence of maintained competency.</li> <li>- Review how the safety manager gets access to internal and external safety information.</li> <li>- Review how the safety manager communicates and engages with operational staff and senior management.</li> <li>- Review safety manager workload / allocated time to fulfil role.</li> <li>- Check there are sufficient resources for SMS activities such as safety investigation, analysis, auditing, safety meeting attendance and promotion.</li> <li>- Review of safety report action and closure timescales.</li> <li>- Interviews with accountable manager and safety manager.</li> </ul> |  |   |   |





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| <b>Annex 19 SARPS Ref</b>  | 1.3 APPOINTMENT OF KEY SAFETY PERSONNEL  |  |   |
| <b>SMS Checklist Ref</b>   | 1.3.1.2  |  |   |
| Management System AMCs for complex organizations.  |  |  |   |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| The organization has established appropriate safety committees(s) that discuss and address safety risks and compliance issues and includes the accountable manager and the heads of functional areas.  | Review safety committee and meeting structure incl. Terms of Annex 19 SARPS Reference for each committee / meeting, Meeting attendance levels, meeting records and actions. Outcomes are communicated to the rest of the organization. | There is evidence of meetings taking place in accordance with the terms of Annex 19 SARPS Reference detailing the attendance and frequency of meetings. The safety committees monitor the effectiveness of the SMS and compliance monitoring function by reviewing there are sufficient resources, actions are being monitored and appropriate safety objectives and SPIs have been established. | Safety committees include key stakeholders. The outcomes of the meetings are documented and communicated and any actions are agreed, taken and followed up in a timely manner. The safety performance and safety objectives are reviewed and actioned as appropriate. |
| <b>Assessment results</b>  |  |  |   |
|  |  |  |   |
| <b>What to look for</b>  |  |  |   |
| Review safety committee and meeting structure and Terms of Annex 19 SARP S Reference for each committee / meeting.<br>Review meeting attendance levels (SRB (Safety Review Board ) and SAG). <ul style="list-style-type: none"> <li>- Review meeting records and actions.</li> <li>- Outcomes are communicated to the rest of the organization</li> <li>- Evidence of safety objectives, safety performance and compliance being reviewed and discussed at meetings.</li> <li>- Participants challenging what is being presented when there is limited evidence.</li> <li>- Senior management are aware of the most significant risks faced by the organization and the overall safety performance of the organization.</li> <li>- Safety Strategies are implemented by SAG</li> </ul> |  |  |   |







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**SUMMARY COMMENTS on 1.3. 'APPOINTMENT OF KEY SAFETY PERSONNEL'**



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| <b>Annex 19 SARPS Ref</b>  | 1.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING  |   |   |
| <b>SMS Checklist Ref</b>   | 1.4.1.1   |   |   |
| <p>The Organization is required to establish and maintain an <u>emergency response plan</u> for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is <u>properly coordinated with the emergency response plans of those organizations</u> it must interface with during the provision of its products and services.</p>  |   |   |   |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |
| An appropriate emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities and actions of the various organizations and key personnel.   | Structure of Plan matches with scope of activity.<br>Agreement (SLA) and Coordination with internal and external Stakeholders (as described in the ERP).<br>Training and Competencies as appropriate. | The ERP is reviewed and tested to make sure it remains up to date. Key personnel have easy access to the relevant parts of the ERP at all times. There is evidence of coordination with other organizations as appropriate. | The results of the ERP review and testing are assessed and actioned to improve its effectiveness. |
| <b>Assessment results</b>  |   |   |   |
|  |   |   |   |
| <b>What to look for</b>  |   |   |   |
| <ul style="list-style-type: none"> <li>- Review emergency response plan.</li> <li>- Review how co-ordination with other organizations is planned.</li> <li>- Review how ERP is distributed and where copies are held.</li> <li>- Talk to key personnel and check they have access to the ERP</li> <li>- Different types of foreseeable emergencies have been considered.</li> <li>- Review when plan was last reviewed and tested and any actions taken as a result</li> </ul> |   |   |   |





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**SUMMARY COMMENTS on 1.4. 'CO-ORDINATION OF EMERGENCY RESPONSE PLANNING'**





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| <b>Annex 19 SARPS Ref</b>   | 1.5 SMS DOCUMENTATION (1.5.1)   |  |   |
| <b>SMS Checklist Ref</b>  | 1.5.1.1   |  |   |
| <p>The Organization shall develop and maintain an <u>SMS manual</u> that describes its (<i>Endorsed by the Accountable Manager A</i>) and approved by CARC:</p> <ul style="list-style-type: none"> <li>safety policy and objectives</li> <li>SMS requirements</li> <li>SMS processes and procedures</li> <li>Accountability, responsibilities and authorities for SMS processes and procedures</li> </ul> |   |  |   |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| The SMS documentation includes the policies and processes that describe the organization's safety management system and processes.  | SMS documentation includes not only general contents but also contents which Annex 19 SARP Select the size, nature and complexity of the Organization and/or SMS documentation is reviewed and updated based on the specific condition of the Organization's. | SMS documentation is consistent with other internal management systems and is representative of the actual processes in place. Changes to the SMS documentation are managed Everyone has easy access to, familiar with and follow the relevant parts of the SMS documentation. | SMS Documentation is proactively reviewed for improvement |
| <b>Assessment results</b>   |   |  |   |
|   |   |  |   |
| <b>What to look for</b>   |   |  |   |
| <ul style="list-style-type: none"> <li>- Review the SMS Documentation and amendment procedures</li> <li>- Check for cross Annex 19 SARPS Reference to other documents and procedures.</li> <li>- Check availability of SMS documentation to all staff</li> <li>- Check staff know where to find safety related documentation including procedures appropriate to their role.</li> </ul>                   |   |  |   |







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| <b>Annex 19 SARPS Ref</b>  | 1.5 SMS DOCUMENTATION (1.5.2)   |  |  |
| <b>SMS Checklist Ref</b>   | 1.5.1.2   |  |  |
| The Organization shall develop and maintain SMS operational records as part of its SMS documentation.  |   |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| The SMS documentation defines the SMS outputs and which records of SMS activities will be stored.  | SMS operational records to be stored are appropriately selected based on the size, nature and complexity of Organization and system for gathering and storing SMS operational record is appropriately developed | SMS Outputs are produced as per Manual . SMS activities are appropriately stored and found to be complete and consistent with appropriate data protection and control. | SMS records are routinely used as inputs for safety management related tasks and continuous improvement of the SMS |
| <b>Assessment results</b>  |   |  |  |
|  |   |  |  |
| <b>What to look for</b>  |   |  |  |
| <ul style="list-style-type: none"> <li>- Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc).</li> <li>- Check how safety records are stored and version controlled.</li> <li>- Data protection and confidentiality rules have been defined and are consistently applied.</li> <li>- Check appropriate staff are aware of the records control processes and procedures</li> </ul> |   |  |  |





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**SUMMARY COMMENTS on 1.5. 'SMS DOCUMENTATION'**

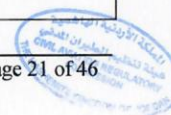
| SAFETY POLICY AND OBJECTIVES SUMMARY               |   |                                  |
|--|---|----------------------------------|
| Number of Markers assessed as being effective:     | (out of 13)                             |                                  |
| Percentage of Markers assessed as being effective: | (100/13 x number of effective markers ) |                                  |
| Effectiveness Achieved for Component:              | (must be in excess of 75%)              | YES / NO (delete as appropriate) |





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|--|---|---|--|
| <b>Annex 19 SARPS Ref</b>  | <b>2 SAFETY RISK MANAGEMENT</b>   |   |  |
|  | 2.1 HAZARD IDENTIFICATION (2.1.1 & 2.1.2)   |   |  |
| <b>SMS Checklist Ref</b>   | 2.1.1.1   |   |  |
| <p>The Organization shall <u>develop and maintain a process to identify hazards</u> associated with its aviation products or services.<br/> Hazard identification shall be based on a combination of reactive and proactive methods.</p>   |   |   |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>   |
| There is a process that defines how reactive and proactive hazard identification is gathered from multiple sources (internal and external).  | <p>Different sources (reporting, internal audit results, safety surveys, safety investigations etc) are defined to be used as a source for continuing reactive and proactive hazard identification.</p> <p>Hazard identification process is defined so that it can be included as a part of all daily operations and management of the organization and makes possible effective hazard identification.</p> <p>Process acts and recognizes situations where hazards activate safety investigation</p> | The hazards are identified and documented. Human and organizational Factors related hazards are being identified. | <p>The organization has a register of the hazards that is maintained and reviewed to ensure it remains up to date. It is continuously and proactively identifying hazards related to its activities and operational environment and involves all key personnel and appropriate stakeholders.</p> <p>Hazards are assessed in a systematic and timely manner</p> |
| <b>Assessment results</b>  |   |   |  |
|  |   |   |  |
| <b>What to look for</b>  |   |   |  |
| <ul style="list-style-type: none"> <li>- Review how hazards are identified, analysed and recorded.</li> <li>- Consider hazards related to; <ul style="list-style-type: none"> <li>o possible accident scenarios.                      Human and organizational factors</li> <li>o business decisions and processes              Third party organizations</li> </ul> </li> <li>- Review what internal and external sources of hazards are considered such as: Safety reports / audits / safety surveys / investigations / inspections / brainstorming / Management of Change activities / Commercial and other external influences etc.</li> <li>- Investigations of safety occurrences establish causal/contributing factors (why it happened, not just what happened) and identify Human and organizational contributing factors.</li> </ul> |   |   |  |





|   |   |   |   |
|---|---|---|---|
| <b>Annex 19 SARPS Ref</b>   | 2.1 HAZARD IDENTIFICATION   |   |   |
| <b>SMS Checklist Ref</b>  | 2.1.1.2   |   |   |
| Safety reporting procedures   |   |   |   |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |
| There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. The process identifies how reports are actioned and timescales specified.   | <p>Addition to Present.</p> <p>All reporting systems, including confidential reporting schemes include an effective feedback process.</p> <p>Feedback process including responsibilities and time-lines concerning feedback from different phases of reporting process (receiving, analyzing etc) are defined</p> | <p>The reporting system is simple to use, being used and accessible to all personnel.</p> <p>There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organization.</p> <p>Reports are evaluated, processed, analyzed and stored.</p> <p>People are aware and fulfill their responsibilities in respect of the reporting system</p> <p>Reports are processed within the defined timescales.</p> | <p>There is a healthy reporting system based on the volume of reporting and the quality of reports received.</p> <p>Safety reports are acted on in a timely manner</p> <p>Personnel express confidence and trust in the organizations reporting policy and process.</p> <p>The reporting system is being used to make better management decision making and continuous improvement</p> <p>The reporting system is available for third parties to report (partners, suppliers, contractors).</p> |
| <b>Assessment results</b>   |   |   |   |
|   |   |   |   |
| <b>What to look for</b>   |   |   |   |
| <ul style="list-style-type: none"> <li>- Review the reporting system for access and ease of use ( Eg – Safety Reporting Box in a private area).</li> <li>- Check staff trust the reporting system, are familiar with it and know what should be reported.</li> <li>- Review how data protection and confidentiality is achieved.</li> <li>- Evidence of feedback to reporter, the organization and third parties.</li> <li>- Assess volume and quality of reports including self-reporting.</li> <li>- Review report closure rates.</li> <li>- Check availability to contracted organizations and customers to make reports.</li> <li>- The system supports analysis and follow-up.</li> <li>- Confirm responsibilities with regards to occurrence analysis, storage and follow-up clearly defined.</li> <li>- Check relevant staff are aware of which occurrences should be mandatory.</li> <li>- Assess how senior management engage with the outputs of the reporting system.</li> </ul> |   |   |   |





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**SUMMARY COMMENTS on 2.1. 'HAZARD IDENTIFICATION'**



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| <b>Annex 19 SARPS Ref</b>  | 2.2 SAFETY RISK ASSESSMENT AND MITIGATION   |  |  |
| <b>SMS Checklist Ref</b>   | 2.2.1.1   |  |  |
| The Organization shall develop and maintain a process that ensures <i>analysis, assessment</i> [and control] of the safety risks associated with identified hazards.   |   |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| There is a process for the analysis and assessment of safety risks. The level of risk the organization is willing to accept is defined.  | Organization has tailored and defined it's severity and likelihood criteria to fit it's actual circumstances.<br>Risk assessment and mitigation responsibilities, rights and time-lines are clearly defined in the risk assessment and mitigation process and practical based on the size and complexity of the organization. | Risk analysis and assessments are carried out in a consistent manner based on the defined process.<br>The defined risk acceptability is being applied. | Risk analysis and assessments are reviewed for consistency and to identify improvements in the processes. Risk assessments are regularly reviewed to ensure they remain current.<br>Risk acceptability criteria are used routinely and applied in management decision making processes and are regularly reviewed. |
| <b>Assessment results</b>  |   |  |  |
|  |   |  |  |
| <b>What to look for</b>  |   |  |  |
| <ul style="list-style-type: none"> <li>- Review risk classification scheme and procedures.</li> <li>- Severity and likelihood criteria defined (or alternative methodology described).</li> <li>- Review layout of risk register.</li> <li>- Sample an identified hazard and how it is processed and documented.</li> <li>- Review what triggers a risk assessment.</li> <li>- Check any assumptions made and whether they are reviewed.</li> <li>- Review how issues are classified when there is insufficient quantitative data available.</li> <li>- Process defines who can accept what level of risk.</li> <li>- Risk register is being reviewed and monitored by the appropriate safety committee(s).</li> <li>- Evidence of risk acceptability being routinely applied in decision making processes.</li> </ul> |   |  |  |





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| <b>Annex 19 SARPS Red</b>   | <b>2.2 SAFETY RISK ASSESSMENT AND MITIGATION</b>   |   |  |
| <b>SMS Checklist Ref</b>  | <b>2.2.1.2</b>   |   |  |
| The Organization shall develop and maintain a process that ensures [analysis, assessment and] <b>control</b> of the safety risks associated with identified hazards.  |  |   |  |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>   |
| The organization has a process in place to decide and apply the appropriate risk controls.  | The process includes clearly defined responsibilities, time-lines and it is defined the way that it can be included as a part of daily operations of organization. | Appropriate risk controls are being applied to reduce the risk to an acceptable level including timelines and allocation of responsibilities.<br>Human Factors are considered as part of the development of risk controls | Risk controls are practical and sustainable and applied in a timely manner and do not create additional risks.<br>Risk Controls take into consideration Human Factors. |
| <b>Assessment results</b>   |  |   |  |
|   |  |   |  |
| <b>What to look for</b>   |  |   |  |
| <ul style="list-style-type: none"> <li>- Risk controls consider human and organizational factors.</li> <li>- Evidence of risk controls being actioned and follow up.</li> <li>- Aggregate risk is being considered.</li> <li>- Look at whether the risk controls have reduced the residual risk.</li> <li>- Risk controls clearly identified.</li> <li>- Review the use of risk controls that rely solely on human intervention.</li> </ul> |  |   |  |





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**SUMMARY COMMENTS on 2.2. 'RISK ASSESSMENT AND MITIGATION'**

| <b>SAFETY RISK MANAGEMENT SUMMARY</b>                   |  |   |
|---|--|---|
| Number of Requirements assessed as being effective:     | (out of 4)                                 |   |
| Percentage of Requirements assessed as being effective: | (100/4 x number of effective Requirements) |   |
| <b>Effectiveness Achieved for Component:</b>            | (must be in excess of 75%)                 | <b>YES / NO</b> (delete as appropriate) |





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|--|--|--|--|
| <b>Annex 19 SARPS Ref</b>  | <b>3</b>   | <b>SAFETY ASSURANCE</b>  |  |
|  | <b>3.1</b>   | <b>SAFETY PERFORMANCE MONITORING AND MEASUREMENT (3.1.1)</b>                       |  |
| <b>SMS Checklist Ref</b>   | <b>3.1.1.1</b>   |  |  |
| The Organization shall <u>develop and maintain</u> the means to <u>verify the safety performance</u> of the organization and to <u>validate the effectiveness</u> of safety risk controls.   |  |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| There is a process in place to assess whether the risk controls are applied and effective.   | The process covers the scope and nature of the operation.<br>The process is frequent enough.<br>Individuals responsible for gathering, evaluating, monitoring the effectiveness of risk control are competent. | Risk controls are being verified to assess whether they are applied and effective. | Risk controls are assessed and actions taken to ensure they are effective and delivering a safe service.<br>The reasons for ineffectiveness of risk controls are investigated. |
| <b>Assessment results</b>  |  |  |  |
|  |  |  |  |
| <b>What to look for</b>  |  |  |  |
| <ul style="list-style-type: none"> <li>- Evidence of risk controls being assessed for effectiveness (eg. audits, surveys, reviews).</li> <li>- Evidence of risk controls applied by contracted organizations / third parties being assessed.</li> <li>- Information from safety assurance and compliance monitoring activities feeds back into the safety risk management process.</li> <li>- Review where risk controls have been changed as a result of the assessment.</li> </ul> |  |  |  |

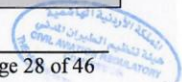






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|--|--|--|---|
| <b>Annex 19 SARPS Ref</b>  | 3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT (3.1.2)  |  |   |
| <b>SMS Checklist Ref</b>   | 3.1.1.2  |  |   |
| <p>The Organization's safety performance shall be <u>verified</u> in reference to the safety performance indicators and Safety performance targets of the SMS in support of the organization's safety objectives.</p>  |  |  |   |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| <p>There is a process in place on how the safety performance of the organization will be measured including safety performance indicators and targets linked to the organization's safety objectives.</p>  | <p>SPIs are based on reliable sources of data.<br/>         SPIs are focused on what is important rather than what is easy to measure<br/>         The process covers the scope and nature of the operation.<br/>         The process is frequent enough.<br/>         Individuals responsible for gathering, evaluating, monitoring the effectiveness of SPI and SPT (Safety Performance Targets) are competent</p> | <p>The safety performance of the organization is being measured and the SPIs are being continuously monitored and analysed for trends.</p> | <p>SPIs are demonstrating the safety performance of the organization and the effectiveness of risk controls based on reliable data.<br/>         SPIs are reviewed and regularly updated to ensure they remain relevant.<br/>         Where the SPIs indicate a risk control not being effective appropriate action is taken.</p> |
| <b>Assessment results</b>  |  |  |   |
|  |  |  |   |
| <b>What to look for</b>  |  |  |   |
| <ul style="list-style-type: none"> <li>- Evidence that SPIs are based on reliable sources of data.</li> <li>- Evidence of when Safety performance indicators were last reviewed.</li> <li>- The defined SPIs and targets are appropriate to the organization's activities, risks and safety objectives.</li> <li>- SPIs are focused on what is important rather than what is easy to measure.</li> <li>- Consideration of any State SPIs.</li> <li>- Review whether any action has been taken when an SPI is indicating a negative trend (Annex 19 SARP Selecting a risk control or an inappropriate SPI).</li> <li>- Evidence that results of safety performance monitoring are discussed at senior management level.</li> <li>- Evidence of feedback provided to the accountable manager.</li> </ul> |  |  |   |







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**SUMMARY COMMENTS on 3.1. 'SAFETY PERFORMANCE MONITORING AND MEASUREMENT'**





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|--|--|--|---|
| Annex 19 SARPS Ref   | 3.2 MANAGEMENT OF CHANGE   |  |   |
| SMS Checklist Ref  | 3.2.1.1  |  |   |
| The Organization shall develop and maintain a process to <u>identify changes which may affect the level of safety risk</u> associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.  |  |  |   |
| PRESENT  | SUITABILITY CONSIDERATIONS   | OPERATIONAL  | EFFECTIVE   |
| The organization has established a management of change process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.  | The triggers and scope of the process.<br>The complexity of the procedure with regards to the size and complexity of the organization.<br>The integration with the risk management and safety assurance processes.<br>The level of sign-off. | The management of change process is being used. It includes hazard identification and risk assessments with appropriate risk controls being put in place before the decision to make the change is taken.<br>Human Factors issues have been considered and being addressed as part of the change management process. | The management of change process is used for all safety related changes including Human Factors issues and considers the accumulation of multiple changes. It is initiated in a planned, timely and consistent manner and includes follow up action that the change was implemented safely. |
| Assessment results   |  |  |   |
|  |  |  |   |
| What to look for   |  |  |   |
| <ul style="list-style-type: none"><li>- Key stakeholders are involved in the process.</li><li>- Review what triggers the process.</li><li>- Review recent changes that have been through the risk assessment process.</li><li>- Change is signed off by an appropriately authorised person.</li><li>- Transitional risks are being identified and managed.</li><li>- Review follow up actions such as whether any assumptions made have been validated.</li><li>- Review whether there is an impact on previous risk assessments and existing hazards.</li><li>- Review whether consideration is given to the accumulative effect of multiple changes.</li><li>- Review that business related changes have considered safety risks (organizational restructuring, downsizing, IT projects etc.)</li><li>- Evidence of Human Factors issues being addressed during changes.</li><li>- Review impact of change on training and competencies.</li></ul> |  |  |   |





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**SUMMARY COMMENTS on 3.2. 'THE MANAGEMENT OF CHANGE'**





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| <b>Annex 19 SARPS Ref</b>  | 3.3 CONTINUOUS IMPROVEMENT OF THE SMS   |   |  |
| <b>SMS Checklist Ref</b>   | 3.3.1.1   |   |  |
| The Organization shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.  |   |   |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>   |
| There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.   | The expected frequency for the SMS review.<br>The variety of stakeholders involved.<br>The variety of data used.<br>The proper balance between qualitative and quantitative data.<br>The links with the safety assurance process. | There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken. | The assessment of SMS effectiveness uses multiple sources of information including the safety data analysis that supports decisions for continuous improvements. |
| <b>Assessment results</b>  |   |   |  |
|  |   |   |  |
| <b>What to look for</b>  |   |   |  |
| <ul style="list-style-type: none"> <li>- What information and safety data is used for management decision making for continuous improvement?</li> <li>- Evidence of:               <ul style="list-style-type: none"> <li>o Lessons learnt being incorporated into SMS and operational processes;</li> <li>o Best practice being sought and embraced</li> <li>o Surveys and assessments of organizational culture being carried out and acted upon.</li> <li>o Data being analysed and results shared with Safety Committees.</li> </ul> </li> <li>- Evidence of follow up actions.</li> <li>- Feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis all contribute towards continuous improvement of the SMS.</li> </ul> |   |   |  |





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**SUMMARY COMMENTS on 3.3. 'CONTINUOUS IMPROVEMENT OF THE SMS'**

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| Number of Markers assessed as being effective:     | (out of 4)                             |   |
| Percentage of Markers assessed as being effective: | (100/4 x number of effective markers ) |   |
| <b>Effectiveness Achieved for Component:</b>       | (must be in excess of 75%)             | <b>YES / NO (delete as appropriate)</b> |



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|--|---|--|---|
| <b>Annex 19 SARPS Ref</b>  | <b>4 SAFETY PROMOTION</b>   |  |   |
|  | 4.1 TRAINING AND EDUCATION (4.1.1 & 4.1.2)  |  |   |
| <b>SMS Checklist Ref</b>   | 4.1.1.1   |  |   |
| <p>The Organization shall <u>develop and maintain a safety training programme</u> that ensures that personnel are trained and competent to perform their SMS duties. The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.</p>  |   |  |   |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| There is a training programme for SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities and accountabilities) and how the organization's SMS operates.  | The training program should be compatible with the size and complexity of the activities developed by the organization. The program considers the profile of the target audience, the training syllabus, the competency of the instructors and the frequency of the training events. There is a process to maintain training records for all personnel trained. | The SMS training programme is delivering appropriate training to the different staff in the organization and being delivered by competent personnel. | <p>SMS Training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests) and is linked to the competency assessment.</p> <p>Training is routinely reviewed to take into consideration feedback from different sources.</p> |
| <b>Assessment results</b>  |   |  |   |
|  |   |  |   |
| <b>What to look for</b>  |   |  |   |
| <ul style="list-style-type: none"> <li>- Review the SMS training programme including course content and delivery method.</li> <li>- Check training records against the training programme.</li> <li>- Review how the competence of the instructors is being assessed.</li> <li>- Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations etc.</li> <li>- Review how training is assessed for new staff and changes in position.</li> <li>- Review any training evaluation.</li> <li>- Does the training include human and organizational factors?</li> <li>- Ask staff about their own understanding of their role in the organization's SMS and their safety duties.</li> <li>- Check all staff are briefed on compliance.</li> </ul> |   |  |   |







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|---|---|---|---|--|
| <b>Annex 19 SARPS Ref</b>   | 4.1   | <b>TRAINING AND EDUCATION</b>                                   |   |  |
| <b>SMS Checklist Ref</b>  | 4.1.1.2   |   |   |  |
| Requirements for maintaining personnel trained and competent to perform their safety and compliance tasks   |   |   |   |  |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>   | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>  |  |
| There is a process in place to ensure that the organization has trained and competent personnel.  | The means of communication are appropriate to the size and complexity of the organization.<br>The information is targeted to reach the relevant audience. | There is evidence of the process being used and being recorded. | The competency assessment programme takes appropriate remedial action when necessary and feeds into the training programme. |  |
| <b>Assessment results</b>   |   |   |   |  |
|   |   |   |   |  |
| <b>What to look for</b>   |   |   |   |  |
| <ul style="list-style-type: none"> <li>- Review how competence assessment is carried out on initial recruitment and recurrently.</li> <li>- Check it includes safety duties and responsibilities and compliance management</li> </ul> |   |   |   |  |



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**SUMMARY COMMENTS on 4.1. 'TRAINING AND EDUCATION'**







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|---|--|---|--|
| <b>Annex 19 SARPS Ref</b>   | 4.2  | <b>SAFETY COMMUNICATION</b>   |  |
| <b>SMS Checklist Ref</b>  | 4.2.1.1  |   |  |
| <p>The Organization shall develop and maintain a formal means for safety communication that:</p> <ul style="list-style-type: none"> <li>ensures personnel are aware of the SMS to a degree commensurate with their positions</li> <li>conveys safety-critical information</li> <li>explains why particular actions are taken to improve safety; and</li> <li>explains why safety procedures are introduced or changed</li> </ul>  |  |   |  |
| <b>PRESENT</b>  | <b>SUITABILITY CONSIDERATIONS</b>  | <b>OPERATIONAL</b>  | <b>EFFECTIVE</b>   |
| There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organization to all personnel as relevant. This includes contracted organizations and personnel where appropriate.  | <p>The means of communication are appropriate to the size and complexity of the organization.</p> <p>The information is targeted to reach the relevant audience.</p> | Safety critical information is being identified and communicated throughout the organization to all personnel as relevant including contracted organizations and personnel where appropriate. | <p>The organization analyses and communicates safety critical information effectively through a variety of methods as appropriate to maximize it being understood.</p> <p>Safety communication is assessed to determine how it is being used and understood and to improve it where appropriate.</p> |
| <b>Assessment results</b>   |  |   |  |
|   |  |   |  |
| <b>What to look for</b>   |  |   |  |
| <ul style="list-style-type: none"> <li>Review the sources of information used for safety communication.</li> <li>Review the methods used to communicate safety information e.g., meetings, presentations, emails, website access, newsletters, bulletins, posters etc.</li> <li>Assess whether the means of communication is appropriate.</li> <li>Is the means for safety communication being reviewed for effectiveness and material used to update relevant training.</li> <li>Significant events, changes and investigation outcomes are being communicated.</li> <li>Check accessibility to safety information.</li> <li>Ask staff about any recent safety communication.</li> <li>Review whether information from occurrences are communicated to all relevant personnel (internal and external) and it has been appropriately dis-identified.</li> </ul> |  |   |  |



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**SUMMARY COMMENTS on 4.2. 'SAFETY COMMUNICATION'**

| <b>SAFETY PROMOTION SUMMARY</b>                    |  |   |
|--|--|---|
| Number of Markers assessed as being effective:     | (out of 3)                             |   |
| Percentage of Markers assessed as being effective: | (100/3 x number of effective markers ) |   |
| <b>Effectiveness Achieved for Component:</b>       | (must be in excess of 75%)             | <b>YES / NO</b> (delete as appropriate) |





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### 5 - ADDITIONAL ITEMS TO BE CONSIDERED

These additional items included for the assessment relate to CARC Management System requirements or new notes in Annex 19 Edition 2. They are considered important parts of an effective SMS.

|   |  |   |   |
|---|--|---|---|
| considered important parts of an effective SMS.   |  |   |   |
| Annex 19 SARPS Ref  | APPENDIX 2 NOTE 2  |   |   |
| SMS Checklist Ref   | 5.1 INTERFACE MANAGMENT  |   |   |
| The Organization 's interfaces with other organizations can have a significant contribution to the safety of its products or services.  |  |   |   |
| PRESENT   | SUITABILITY CONSIDERATIONS   | OPERATIONAL   | EFFECTIVE   |
| The organization has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.  | The SMS addresses all internal and external interfaces, which influence the safety of the organizations' products/services<br>External organizations are trained on the Organization s' safety critical issues and on the interface risks<br>Safety information is distributed to the right organization at the right time | The organization is managing the interfaces through hazard identification and risk management.<br>There is assurance activity to assess risk mitigations being delivered by external organizations. | The organization has a good understanding of interface management and there is evidence that interface risks are being identified and acted upon.<br>Interfacing organizations are sharing safety information and take actions when needed. |
| Assessment results  |  |   |   |
|   |  |   |   |
| What to look for  |  |   |   |
| <ul style="list-style-type: none"><li>- Review how interfaces have been documented. It may be included in a system description.</li><li>- Evidence that:<ul style="list-style-type: none"><li>o Safety critical issues, areas and associated hazards are identified;</li><li>o Safety occurrences are being reported and addressed ;</li><li>o Risk controls actions are applied and regularly reviewed;</li><li>o Interfaces are reviewed periodically</li></ul></li><li>- The organization's SMS covers hazard identification for the external services and activities and internal interfaces.</li><li>- Training and safety promotion sessions are organised with relevant external organizations.</li><li>- External organizations participate in SMS activities and share safety information.</li></ul> |  |   |   |
|   |  |   |   |





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**SUMMARY COMMENTS on 5.1. 'INTERFACE MANAGEMENT'**





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|  |  |  |  |
|--|--|--|--|
| <b>SMS Checklist Ref</b>   | 5.2 RESPONSIBILITIES FOR COMPLIANCE AND COMPLIANCE MONITORING FUNCTION |  |  |
|  | 5.2.1.1  |  |  |
| Responsibilities and accountability for ensuring compliance are defined  |  |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY CONSIDERATIONS</b>                                      | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| Applicable requirements are clearly identified and properly transcribed into organization manuals and procedures. Responsibilities and accountabilities for compliance are defined for all staff.                |  | Organization manuals and procedures are regularly reviewed in light of changes in applicable requirements. All staff are aware of their responsibilities and accountabilities for compliance and to follow processes and procedures. | Enhancements to processes and procedures are suggested from the workforce and management. Individuals are proactively identifying and reporting potential non-compliances. |
| <b>Assessment results</b>  |  |  |  |
|  |  |  |  |
| <b>What to look for</b>  |  |  |  |
| <ul style="list-style-type: none"> <li>- Review how senior management ensure the organization remains in compliance.</li> <li>- Review that job descriptions include responsibilities for compliance.</li> </ul> |  |  |  |



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|  |                                       |  |  |
|--|---------------------------------------|--|--|
| <b>SMS Checklist Ref</b>   | 5.2.1.2                               |  |  |
| Responsibilities and accountabilities for compliance monitoring are defined  |                                       |  |  |
| <b>PRESENT</b>   | <b>SUITABILITY<br/>CONSIDERATIONS</b> | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>   |
| It has been documented that there is a person or group of persons with responsibilities for compliance monitoring including the person acting as compliance monitoring manager with direct access to the accountable manager.<br>The accountable manager's accountability and responsibilities for compliance monitoring is documented.  |                                       | The compliance monitoring manager has implemented and is maintaining a compliance monitoring programme<br>The accountable manager is ensuring there are sufficient compliance monitoring resources and independence of the audit function is being maintained. | The organization has established a method to assess the efficiency and effectiveness of the compliance monitoring activities with feedback to the accountable manager.<br><br>The accountable manager and senior management actively seek feedback on the status of compliance monitoring activities |
| <b>Assessment results</b>  |                                       |  |  |
|  |                                       |  |  |
| <b>What to look for</b>  |                                       |  |  |
| <ul style="list-style-type: none"> <li>- How does the compliance monitoring manager interact with:               <ul style="list-style-type: none"> <li>o senior management,</li> <li>o line managers</li> <li>o the safety management staff ?</li> </ul> </li> <li>- Evidence that senior management take action on compliance monitoring results.</li> <li>- Check that the number of staff involved in compliance monitoring is appropriate</li> <li>- Check for evidence of direct reporting lines to the accountable manager.</li> <li>- Review how independence of the audit function is achieved</li> </ul> |                                       |  |  |





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|   |                                       |  |   |
|---|---------------------------------------|--|---|
| <b>SMS Checklist Ref</b>   5.2.1.3  |                                       |  |   |
| Compliance monitoring programme   |                                       |  |   |
| <b>PRESENT</b>  | <b>SUITABILITY<br/>CONSIDERATIONS</b> | <b>OPERATIONAL</b>   | <b>EFFECTIVE</b>  |
| The organization has a compliance monitoring programme including details of the schedule of monitoring activities and procedures for audits and inspections, reporting, follow up and records. The way independence of compliance monitoring is achieved is documented  |                                       | The compliance monitoring programme is being followed and regularly reviewed. This includes the modification of the programme to address identified risks or organizational and operational changes. Compliance monitoring is independent from operational activities and includes contracted activities | The organization regularly reviews its compliance monitoring programme and procedures to identify the need for changes and to ensure they remain effective. |
| <b>Assessment results</b>   |                                       |  |   |
|   |                                       |  |   |
| <b>What to look for</b>   |                                       |  |   |
| <ul style="list-style-type: none"> <li>- Assess the contents of the programme against any regulatory requirements.</li> <li>- Review how risk and performance is used to determine the depth and frequency of monitoring activities.</li> <li>- Review how independence is achieved.</li> <li>- Assess what triggers a change in the programme.</li> <li>- Review whether there are any potential conflicts of interest.</li> </ul> |                                       |  |   |



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| SMS Checklist Ref  |                               | 5.2.1.4  |  |
|--|-------------------------------|--|--|
| Compliance monitoring outcomes e.g. audit results including corrective and preventive actions follow-up.   |                               |  |  |
| PRESENT  | SUITABILITY<br>CONSIDERATIONS | OPERATIONAL  | EFFECTIVE  |
| <p>The organization has documented procedures for the identification and follow-up of corrective actions and preventive actions.</p> <p>There is a process for how audit results are communicated to the accountable manager and senior management.</p> <p>The interface between compliance monitoring and the safety risk management processes is described.</p>  |                               | <p>The identifying and follow-up of corrective and preventive actions is carried out in accordance with the procedures including causal analysis to address root causes.</p> <p>The status of corrective and preventive actions is regularly communicated to relevant senior management and staff.</p> | <p>The organization regularly reviews the status of corrective and preventive actions.</p> <p>The organization investigates the systemic causes and contributing factors of findings.</p> <p>Significant findings are used in internal safety training &amp; safety promotion sessions.</p> <p>The audit results and root causes, causal and contributing factors are analyzed and considered when reviewing internal policies and procedures.</p> <p>There is regular communication between compliance monitoring staff and staff involved in other SMS activities.</p> |
| Assessment results   |                               |  |  |
|  |                               |  |  |
| What to look for   |                               |  |  |
| <ul style="list-style-type: none"><li>- Review the methods used for causal analysis</li><li>- Is the method used consistently?</li><li>- Review any repeat findings or where actions have not been implemented or overdue.</li><li>- Check for timely implementation of actions.</li><li>- Awareness of senior management of the status of significant findings and related CA/PAs.</li><li>- Appropriate personnel participate in the determination of causes and contributing factors.</li><li>- Look for consistency between internal audit results and external audit results.</li></ul> |                               |  |  |





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**SUMMARY COMMENTS on 5.2. 'RESPONSIBILITIES FOR COMPLIANCE AND COMPLIANCE MONITORING FUNCTION'**



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**SMS ASSESSMENT - SUMMARY**

| Component                    | Element   | Present | Suitable | Operational | Effective |
|------------------------------|---|---------|----------|-------------|-----------|
| SAFETY POLICY AND OBJECTIVES | 1.1 - MANAGEMENT COMMITMENT                         |         |          |             |           |
|                              | 1.2 - SAFETY ACCOUNTABILITY AND RESPONSIBILITIES    |         |          |             |           |
|                              | 1.3 - APPOINTMENT OF KEY PERSONNEL                  |         |          |             |           |
|                              | 1.4 - CO-ORDINATION OF EMERGENCY RESPONSE PLANNING  |         |          |             |           |
|                              | 1.5 - SMS DOCUMENTATION                             |         |          |             |           |
| SAFETY RISK MANAGEMENT       | 2.1 - HAZARD IDENTIFICATION                         |         |          |             |           |
| SAFETY ASSURANCE             | 3.1 - SAFETY PERFORMANCE MONITORING AND MEASUREMENT |         |          |             |           |
|                              | 3.2 - MANAGEMENT OF CHANGE                          |         |          |             |           |
|                              | 3.3 - CONTINUOUS IMPROVEMENT OF THE SMS             |         |          |             |           |
| SAFETY PROMOTION             | 4.1 - TRAINING AND EDUCATION                        |         |          |             |           |
|                              | 4.2 - SAFETY COMMUNICATION                          |         |          |             |           |

Airworthiness Inspector(s) (Name & Signature):

Date:

Chief Division (Name & Sig.):

Date:

Director Airworthiness Standards (Name & Signature):

Date: