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| **Safety Management System****Requirements** | Response**(Yes/No)** | If **yes**, state where the requirement it addresses. If no, recordSMS processes that need further development |
| **Component 1, Safety Management Plan – Element 1.1, Safety Policy**  |
| Is a safety management system with defined components established, maintained and adhered to?  |  Choose an item. |       |
| Is the safety management system appropriate to the size and complexity of the organisation?  | Choose an item. |       |
| Is there a safety policy in place?  | Choose an item. |       |
| Has the organisation based its safety management system on the safety policy?  | Choose an item. |       |
| Is the safety policy approved by the accountable executive?  | Choose an item. |       |
| Is the safety policy promoted by the accountable executive?  | Choose an item. |       |
| Is the safety policy reviewed periodically?  | Choose an item. |       |
| Is the safety policy communicated to all employees with the intent that they are made aware of their individual safety obligations?  | Choose an item. |       |
| **Component 1, Safety Management Plan – Element 1.2, Non-Punitive Safety Reporting**  |
| Is there a policy in place that provides immunity from disciplinary action for employees that report safety deficiencies, hazards or occurrences?  |  Choose an item. |       |
| **Component 1, Safety Management Plan – Element 1.3 Roles & Responsibility**  |
| Has an accountable executive been appointed with responsibility for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organization?  | Choose an item. |       |
| Does the accountable executive have control of the financial and human resources required for the proper execution of his/her SMS responsibilities?  | Choose an item. |       |
| Has a qualified person been appointed to manage the operation of the SMS?  | Choose an item. |       |
| Does the person managing the operation of the SMS fulfil the required job functions and responsibilities?  | Choose an item. |       |
| Are the safety authorities, responsibilities and accountabilities of personnel at all levels of the organization defined and documented?  | Choose an item. |       |
| Do all personnel understand their authorities, responsibilities and  | Choose an item. |       |
| accountabilities in regards to all safety management processes, decisions and actions?  | Choose an item. |       |
| **Component 1, Safety Management Plan – Element 1.4, Communication** |
| Are there communication processes in place within the organization that permit the safety management system to function effectively?  | Choose an item. |       |
| Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the organization?  | Choose an item. |       |
| Is information established and maintained in a suitable medium that provides direction in related documents?  | Choose an item. |       |

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| Is there a process for the dissemination of safety information throughout the organization and a means of monitoring the effectiveness of this process?  |  Choose an item. |       |
| **Component 1, Safety Management Plan – Element 1.5, Performance Measurement**  |
| Have safety objectives been established?  | Choose an item. |       |
| Is there a formal process to develop a coherent set of safety goals necessary to achieve overall safety objectives?  | Choose an item. |       |
| Are safety objectives and goals publicized and distributed?  | Choose an item. |       |
| **Component 1, Safety Management Plan – Element 1.6, Performance Measurement**  |
| Is there a formal process to develop and maintain a set of performance parameters to be measured?  |  Choose an item. |       |
| **Component 1, Safety Management Plan – Element 1.7, Management Review**  |
| Are regular and periodic, planned reviews of company safety performance and achievement including an examination of the company’s Safety Management System conducted to ensure its continuing suitability, adequacy and effectiveness?  | Choose an item. |       |
| Is there a process to evaluate the effectiveness of corrective actions?  | Choose an item. |       |
| **Component 2, Documentation – Element 2.1, Identification & Maintenance of Applicable Regulations**  |
| Has a documented procedure been established and maintained for identifying applicable regulatory requirements?  | Choose an item. |       |
| Are Regulations, Standards and Exemptions periodically reviewed to ensure that the most current information is available?  | Choose an item. |       |
| **Component 2, Documentation – Element 2.2, SMS Documentation**  |
| Is there consolidated documentation that describes the safety management system and the interrelationship between all of its elements?  | Choose an item. |       |
| Does this information reside or is it incorporated by reference into approved documentation, such as Company Operations Manual, Maintenance Control/Policy Manual, Airport Operations Manual, as applicable, and where these approved documents are not required by regulation, the organization includes the information in a separate, controlled document?  | Choose an item. |       |
| **Component 2, Documentation – Element 2.3, Records Management**  |
| Does the organization have a records system that ensures the generation and retention of all records necessary to document and support operational requirements, and is in accordance with applicable regulatory requirements?  | Choose an item. |       |
| Does the system provide the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?  | Choose an item. |       |

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| **Component 3, Safety Oversight – Element 3.1, Reactive Processes**  |
| Does the organization have a reactive process or system that provides for the capture of internal information including incidents, accidents and other data relevant to SMS?  | Choose an item. |       |
| Is the reactive reporting process simple, accessible and commensurate with the size of the organization?  | Choose an item. |       |
| Are reactive reports reviewed at the appropriate level of management?  | Choose an item. |       |
| Is there a feedback process to notify contributors that their reports have been received and to share the results of the analysis?  | Choose an item. |       |
| Is there a process in place to monitor and analyse trends?  | Choose an item. |       |
| Are corrective and preventive actions generated in response to event analysis?  | Choose an item. |       |
| **Component 3, Safety Oversight – Element 3.2, Proactive Processes**  |
| Does the organization have a process or system that provides for the capture of internal information including hazard identification, occurrences and other data relevant to SMS?  | Choose an item. |       |
| and root causes?  | Choose an item. |       |
| Are corrective and preventative actions generated in response to event investigation and analysis?  | Choose an item. |       |
| Is the proactive reporting process simple, accessible and commensurate with the size of the organization?  | Choose an item. |       |
| Are proactive reports reviewed at the appropriate level of management?  | Choose an item. |       |
| Is there a feedback process to notify contributors that their reports have been received and to share the results of the analysis?  | Choose an item. |       |
| Is there a process in place to monitor and analyse trends?  | Choose an item. |       |
| Has the organization planned self-evaluation processes, such as regularly scheduled reviews, evaluations, surveys, operational audits, assessments, etc?  | Choose an item. |       |
| Are corrective and preventive actions generated in response to hazard analysis?  | Choose an item. |       |
| Is a process in place for analysing changes to operations or key personnel for hazards?  | Choose an item. |       |
| **Component 3, Safety Oversight – Element 3.3, Investigation & Analysis**  |
| Are there procedures in place for the conduct of investigations?  | Choose an item. |       |
| Do measures exist that ensure all reported occurrences and deficiencies are investigated?  | Choose an item. |       |
| Is there a process to ensure that occurrences and deficiencies reported are analysed to identify contributing  | Choose an item. |       |

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| **Component 3, Safety Oversight – Element 3.4, Risk Management**  |
| Is there a structured process for the assessment of risk associated with identified hazards, expressed in terms of severity, level of exposure and probability of occurrence?  | Choose an item. |       |
| Are there criteria for evaluating risk and the tolerable level of risk the organization is willing to accept?  | Choose an item. |       |
| Does the organization have risk control strategies that include corrective/preventive action plans to prevent recurrence of reported occurrences and deficiencies?  | Choose an item. |       |
| Does the organization have a process for evaluating the effectiveness of the corrective/preventive measures that have been developed?  | Choose an item. |       |
| Are corrective/preventive actions, including timelines, documented?  | Choose an item. |       |
| **Component 6, Emergency Preparedness – Element 6.1, Emergency Preparedness & Response**  |
| Does the organization have an emergency preparedness procedure, appropriate to the size, nature and complexity of the organization?  | Choose an item. |       |
| Have the Emergency preparedness procedures been documented, implemented and assigned to a responsible manager?  | Choose an item. |       |
| Have the emergency preparedness procedures been periodically reviewed as a part of the management review and after key personnel or organizational change?  | Choose an item. |       |
| Does the organization have a process to distribute the ERP procedures and to communicate the content to all personnel?  | Choose an item. |       |
| Has the organization conducted drills and exercises with all key personnel at intervals defined in the approved control manual?  | Choose an item. |       |
| **Component 4, Training – Element 4.1, Training, Awareness & Competence**  |
| Is there a documented process to identify training requirements so that personnel are competent to perform their duties?  | Choose an item. |       |
| Is there a validation process that measures the effectiveness of training?  | Choose an item. |       |
| Does the training include initial, recurrent and update training, as applicable?  | Choose an item. |       |
| Is the organization’s safety management training incorporated into indoctrination training upon employment?  | Choose an item. |       |
| Does the training include human and organizational factors?  | Choose an item. |       |
| Is there emergency preparedness and response training for affected personnel?  | Choose an item. |       |

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| **Component 5, Quality Assurance – Element 5.1, Operational Quality Assurance**  |
| Is a quality assurance system established and maintained and is under the management of an appropriate person?  | Choose an item. |       |
| Does the organization conduct reviews and audits of its processes, its procedures, analyses, inspections and training?  | Choose an item. |       |
| Does the organization have a system to monitor for completeness, the internal reporting process and the corrective action completion?  | Choose an item. |       |
| Is there an operationally independent audit function with the authority required to carry out an effective internal evaluation program?  | Choose an item. |       |
| Does the quality assurance system cover all functions defined within the certificate(s)?  | Choose an item. |       |
| Are there defined audit scope, criteria, frequency and methods?  | Choose an item. |       |
| Are there selection/training processes to ensure the objectivity and competence of auditors as well as the impartiality of the audit process?  | Choose an item. |       |
| Is there a procedure for reporting audit results and maintaining records?  | Choose an item. |       |
| Is there a procedure outlining requirements for timely corrective and preventive action in response to audit results?  | Choose an item. |       |
| Is there a procedure to record verification of action(s) taken and the reporting of verification results?  | Choose an item. |       |
| Does the organization perform periodic Management reviews of safety critical functions and relevant safety or quality issues that arise from the internal evaluation program?  | Choose an item. |       |