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| **AUDIT INFORMATION** | | | | | | |
| **Audit Tile :** | SMS Statement of Compliance – Assessment/Evaluation | **Date :** | | |  | |
| **Organisation :** |  | **Certificate Number (if available)** | | |  | |
| **Post Holder / Nominated Personnel Name : assigned to the Audit** |  | **Title:** |  | | **Present** | **Absent** |
| **Delegated / Representative:** |  | **Title:** |  | | | |
| **Interviewees and position:** |  |  | | | | |
| **CAA Lead Inspector – Name:** |  | **Compliance** | | | **Oversight** | |
| **CAA Inspectors – Name:** |  | | | | | |
| **AUDIT CRITERIA** | | | | | | |
| **Applicable Regulations :** | CAR 100  CAR ORA GEN  ICAO ANNEX 19 SARPS | | | **Other Applicable Regulations**  **(Safety Alert, Safety Decision, Safety Notices)** | |  |
| **Applicable Manual - Ref.** |  | | | **Version / Revision Number :** | |  |

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| **INTRODUCTION** |
| The Statement of Compliance benefits the applicant by systematically ensuring that all applicable specific regulatory requirements are appropriately addressed during the certification process. The Statement of Compliance also serves as a master index to the applicant’s Manual System. The Statement of Compliance is an important source document and serves as the applicant’s “roadmap of compliance” during the initial certification process as well as after the certificate is granted. |
| **Instructions for completion:** |
| When completing this document, it is important to make a positive statement showing how the applicant complies with any relevant requirement in the column and procedure reference, if any part is not relevant then N/A should be inserted in the column. It should be stated in the comments why the part is not applicable. If additional information is required to demonstrate compliance, please use the space below or attach an appropriately referenced continuation sheet. Where the term 'The Owner' is used this also means 'The Operator'. Checklist – 2 must be completed as it covers the further compliance requirements for the SMM manual. Checklist – 3 will be used by the Inspectors to assess the integrity, continuity, maturity and effectiveness of the SMS systems and procedures. The Accountable Person completing this form is required Name, Sign and date to Certify that Operation Manuals are in compliance with Civil Aviation laws and Regulations (CARs). Inspector(s) to fill column S/US column (S - satisfactory; US - \*unsatisfactory ; N/A-Not applicable). \*Note: If unsatisfactory, Inspector(s) shall mark the box not approved the complete and sign the deficiency form Deficiency and Review Checklist (AOC-109), to pass onto the operator for corrective action. A signed copy Must be retained in FSD for records with the review number/Version. |

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| **ITEM** | | **Operator SMS**  **Manual Reference** | **S/US** | **Required Corrective Action** | | **Comments** |
| **1. Document control**  Describe how the manual(s) will be kept up to date and how the organization will ensure that all personnel involved in safety-related duties have the most current version. (Cross-  reference documents: Quality manual, engineering manual, etc. | | | | | | |
| (a) Hard copy or controlled electronic media and distribution list. | |  |  |  | |  |
| (b) The correlation between the SMS manual and other existing manuals such as the maintenance control manual (MCM) or the  operations manual. | |  |  |  | |  |
| (c) The process for periodic review of the manual and its related forms/documents to ensure their continuing suitability, adequacy  and effectiveness. | |  |  |  | |  |
| (d) The manual’s administration, approval and regulatory acceptance process. | |  |  |  | |  |
| **2. SMS regulatory requirements**  Address current SMS regulations and guidance material for necessary reference and awareness by all concerned. | | | | | | |
| a) Spell out the current SMS regulations/standards. Include the compliance timeframe and advisory material references as  applicable | |  |  |  | |  |
| (b) Where appropriate, elaborate on or explain the significance and implications of the  regulations to the organization | |  |  |  | |  |
| (c) Establish a correlation with other safety- related requirements or standards where appropriate.  Cross-reference documents: SMS  regulation/requirement references, SMS guidance document references, etc. | |  |  |  | |  |
| **3. Scope and integration of the Safety Management System** | | | | | | |
| Describe the scope and extent of the organization’s aviation-related operations and facilities within which the SMS will apply. The scope of the processes, equipment and operations  deemed eligible for the organization’s hazard identification and risk management (HIRM) programme should also be addressed. | | | | | | |
| a) Spell out the nature of the organization’s aviation business and its position or role within  the industry as a whole. |  | |  |  |  | |
| **ITEM** | **Operator SMS**  **Manual Reference** | | **S/US** | **Required Corrective Action** | **Comments** | |
| (b) Identify the major areas, departments, workshops and facilities of the organization  within which the SMS will apply. |  | |  |  |  | |
| (c) Identify the major processes, operations and equipment, which are deemed eligible for the organization’s HIRM programme, especially those that are pertinent to aviation safety. If the scope of the HIRM-eligible processes, operations and equipment is too detailed or extensive, it may be controlled under a supplementary document as  appropriate. |  | |  |  |  | |
| (d) Where the SMS is expected to be operated or administered across a group of interlinked organizations or contractors; define and document such integration and associated  accountabilities as applicable. |  | |  |  |  | |
| (e) Where there are other related control/management systems within the organization, such as QMS, OSHE and SeMS, identify their relevant integration (where applicable) within the aviation SMS.  *Cross-reference documents:* Quality manual,  engineering manual, etc |  | |  |  |  | |
| **4. Safety policy**  Describe the organization’s intentions, management principles and commitment to improving aviation safety in terms of the product or Organization. A safety policy should be a short  description similar to a mission statement. | | | | | | |
| (a) The safety policy should be appropriate to  the size and complexity of the organization |  | |  |  |  | |
| b) The safety policy states the organization’s intentions, management principles and |  | |  |  |  | |

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| commitment to continuous improvement in  aviation safety. |  | |  | |  |  |
| c) The safety policy is approved and signed by the Accountable Manager. |  | |  | |  |  |
| (d) The safety policy is promoted by the  Accountable Manager and all other managers |  | |  | |  |  |
| e) The safety policy is reviewed periodically. |  | |  | |  |  |
| (f) Personnel at all levels are involved in the establishment and maintenance of the Safety  Management System. |  | |  | |  |  |
| **ITEM** | **Operator SMS**  **Manual Reference** | | **S/US** | | **Required Corrective Action** | **Comments** |
| (g) The safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations. Cross-reference documents: OSHE safety  policy, etc. |  | |  | |  |  |
| **5. Safety objectives**  Describe the safety objectives of the organization. The safety objectives should be a short statement that describes in broad terms what the organization hopes to achieve. | | | | | | |
| a) The safety objectives have been established. |  | |  | |  |  |
| (b) The safety objectives are expressed as a top-level statement describing the organization’s commitment to achieving safety |  | |  | |  |  |
| (c) There is a formal process to develop a coherent set of safety objectives |  | |  | |  |  |
| d) The safety objectives are publicized and distributed |  | |  | |  |  |
| (e) Resources have been allocated for  achieving the objectives. |  | |  | |  |  |
| (f) The safety objectives are linked to safety indicators to facilitate monitoring and measurement where appropriate.  Cross-reference documents: Safety Performance Indicators, documents, etc |  | |  | |  |  |
| **6. Roles and responsibilities**  **Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.** | | | | | | |
| (a) The Accountable Manager is responsible for ensuring that the Safety Management System is properly implemented and is performing as required in all areas of the organization. |  |  | |  | |  |
| (b) An appropriate safety manager (office), safety committee or Safety Action Groups (SAGs) have been appointed as appropriate |  |  | |  | |  |
| (c) Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization are defined and documented |  |  | |  | |  |
| (d) All personnel understand their authorities, responsibilities and accountabilities with regard to all safety management processes, decisions and actions. |  |  | |  | |  |
| (e) An SMS organizational accountabilities diagram is available. |  |  | |  | |  |
| **ITEM** | **Operator SMS**  **Manual Reference** | **S/US** | | **Required Corrective Action** | | **Comments** |
| **7. Safety reporting**  A reporting system should include both reactive (accident/incident reports, etc.) and proactive/predictive (hazard reports). Describe the respective reporting systems. Factors to consider include: report format, confidentiality, addressees, investigation/evaluation procedures, corrective/preventive actions and report dissemination. | | | | | | |
| (a) The organization has a procedure that provides for the capture of internal occurrences including accidents, incidents and  other occurrences relevant to SMS. |  |  | |  | |  |
| (b) A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.), which are required to be notified to CAA, and other routine occurrence reports, which remain  within the organization |  |  | |  | |  |
| (c) There is also a voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data  protection as applicable. |  |  | |  | |  |
| (d) The respective reporting processes are simple, accessible and commensurate with the  size of the organization. |  | |  | |  |  |
| (e) High-consequence reports and associated recommendations are addressed to, and reviewed by the appropriate level of  management. |  | |  | |  |  |
| (f) Reports are collated in an appropriate  database to facilitate the necessary analysis. |  | |  | |  |  |
| **8. Hazard identification and risk assessment**  Describe the hazard identification system and how such data are collated. Describe the process for the categorization of hazards/risks and their subsequent prioritization for a documented safety assessment. Describe how the safety assessment process is conducted and how preventive action plans are implemented. | | | | | | |
| (a) Identified hazards are evaluated, prioritized and processed for risk assessment as  appropriate. |  | |  | |  |  |
| (b) There is a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability and preventive  controls. |  | |  | |  |  |
| (c) Hazard identification and risk assessment procedures focus on aviation safety as their  fundamental context. |  | |  | |  |  |
| (d) The risk assessment process utilizes worksheets, forms or software appropriate to the complexity of the organization and  operations involved. |  | |  | |  |  |
| **ITEM** | **Operator SMS**  **Manual Reference** | | **S/US** | | **Required Corrective Action** | **Comments** |
| (e) Completed safety assessments are approved by the appropriate level of  management. |  | |  | |  |  |
| (f) There is a process for evaluating the effectiveness of the corrective, preventive and recovery  measures that have been developed. |  | |  | |  |  |
| (g) There is a process for periodic review of completed safety assessments and documenting them  outcomes |  | |  | |  |  |
| **9. Safety performance monitoring and measurement**  Describe the safety performance monitoring and measurement component of the SMS. This includes the organization’s SMS Safety Performance Indicators (SPIs). | | | | | | |
| (a) The formal process to develop and maintain a set of Safety Performance Indicators and their associated performance targets. |  |  | |  | |  |
| (b) Correlation established between the SPIs and the organization’s safety objectives where applicable  and the process of regulatory acceptance of the SPIs where required. |  |  | |  | |  |
| (c) The process of monitoring the performance of these SPIs including the remedial action procedure,  whenever unacceptable or abnormal trends  are triggered. |  |  | |  | |  |
| (d) Any other supplementary SMS or safety performance monitoring and measurement  criteria or process |  |  | |  | |  |
| **10. Safety-related investigations and remedial actions**  Describe how accidents/incidents/occurrences are investigated and processed within the organization, including their correlation with the organization’s SMS hazard identification and risk management system. | | | | | | |
| (a) Procedures to ensure that reported accidents and incidents are investigated  internally. |  |  | |  | |  |
| (b) Dissemination of completed investigation reports internally as well as to CAA applicable. |  |  | |  | |  |
| (c) A process for ensuring that corrective actions taken or recommended are carried out and for evaluating their  outcomes/effectiveness. |  |  | |  | |  |
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| (d) Procedure on disciplinary inquiry and actions associated with investigation report outcomes |  |  | |  | |  |

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| (e) Clearly defined conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or willful misconduct). |  |  | |  | |  |
| (f) A process to ensure that investigations include identification of active failures as well as contributing factors and hazards. |  |  | |  | |  |
| (g) Investigation procedure and format provides for findings on contributing factors or hazards to be processed for follow-up action by the organization’s hazard identification and risk management system, where appropriate. |  |  | |  | |  |
| **11. Safety training and communication**  Describe the type of SMS and other safety-related training that staff receive and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication processes/channels within the organization | | | | | | |
| (a) The training syllabus, eligibility and requirements are documented. |  |  | |  | |  |
| (b) There is a validation process that measures the effectiveness of training. |  |  | |  | |  |
| (c) The training includes initial, recurrent and update training, where applicable. |  |  | |  | |  |
| (d) The organization’s SMS training is part of the organization’s overall training programme. |  |  | |  | |  |
| (e) SMS awareness is incorporated into the employment or indoctrination programme. |  |  | |  | |  |
| (f) The safety communication  processes/channels within the organization. |  |  | |  | |  |
| **12. Continuous improvement and SMS audit**  Describe the process for the continuous review and improvement of the SMS. | | | | | | |
| (a) The process for regular internal audit/review of the organization’s SMS to ensure its continuing suitability, adequacy and effectiveness. |  |  | |  | |  |
| (b) Describe any other programmes  contributing to continuous improvement of |  |  | |  | |  |
| the organization’s SMS and safety  performance, e.g. Safety surveys, ISO systems. |  | |  | |  |  |
| **ITEM** | **Operator SMS Manual Reference** | | **S/US** | | **Required Corrective Action** | **Comments** |
| **13. SMS records management**  Describe the method of storing all SMS-related records and documents | | | | | | |
| (a) The organization has an SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS. |  | |  | |  |  |
| (b) Records to be kept include hazard reports, risk assessment reports, Safety Action Group/safety meeting notes, Safety Performance Indicator charts, SMS audit  reports and SMS training records. |  | |  | |  |  |
| (c) Records should be traceable for all elements of the SMS and be accessible for routine administration of the SMS as well as internal and external audits purposes. |  | |  | |  |  |
| **14. Management of change** | | | | | | |
| (a) Procedures to ensure that substantial organizational or operational changes take into consideration any impact which they may have on existing safety risks. |  | |  | |  |  |
| (b) Procedures to ensure that appropriate safety assessment is performed prior to introduction of new equipment or processes which have safety risk implications. |  | |  | |  |  |
| (c) Procedures for review of existing safety assessments whenever there are changes to the associated processes or equipment. |  | |  | |  |  |
| **15. Emergency/contingency response plan**  Describe the organization’s intentions regarding, and commitment to dealing with, emergency situations and their corresponding recovery controls. Outline the roles and responsibilities of  key personnel. The Emergency Response Plan (ERP) can be a separate document or it can be part of the SMS manual. | | | | | | |
| (a) The organization has an emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or  accident. |  | |  | |  |  |

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| (b) There is a notification process that includes an emergency call list and an internal  mobilization process. |  |  |  |  | |
| (c) The organization has arrangements with other agencies for aid and the provision of  emergency services as applicable. |  |  |  |  | |
| (d) The organization has procedures for  emergency mode operations where applicable. |  |  |  |  | |
| (e) There is a procedure for overseeing the welfare of all affected individuals and for  notifying next of kin. |  |  |  |  | |
| (f) The organization has established procedures for handling the media and  insurance-related issues. |  |  |  |  | |
| (g) There are defined accident investigation  responsibilities within the organization. |  |  |  |  | |
| (h) The requirement for preservation of evidence, securing the affected area, and mandatory/ governmental reporting is clearly  stated. |  |  |  |  | |
| (i) There is emergency preparedness and  response training for affected personnel. |  |  |  |  | |
| (j) A disabled aircraft or equipment evacuation plan has been developed by the organization in consultation with aircraft/equipment owners, aerodrome operators or other agencies as  applicable. |  |  |  |  | |
| (k) A procedure exists for recording activities during an emergency response. |  |  |  |  | |
| (l) Emergency response exercises are conducted annually or on a two (2) yearly  basis. |  |  |  |  | |
| **CAR 100 Appendix 4 ERP Manual** | | | | | |
| (a) Governing policies: The ERP should provide direction for responding to emergencies, such as governing laws and regulations for investigations, agreements with local  authorities, company policies and priorities. |  |  |  |  | |
| (b) Organisation: The ERP should outline management’s intentions with respect to the responding organisations by:  1) designating who will lead and who will be assigned to the response teams;   1. defining the roles and responsibilities of personnel assigned to the response teams; 2. clarifying the reporting lines of authority; 3. setting up an Emergency Management Centre (EMC); 4. establishing procedures for receiving a large number of requests for information, especially during the first few days after a major accident; 5. designating the corporate spokesperson for dealing with the media; 6. defining what resources will be available, including financial authorities for immediate activities; 7. designating the company representative to any formal investigations undertaken by State officials; 8. defining a call-out plan for key personnel. An organisational chart will be used to show the organisational functions and communication relationships. |  |  |  |  |
| 1. Notifications: The plan should specify who in the organisation should be notified of an emergency, who will make external notifications and by what means. The notification needs of the following should be considered:    1. management;    2. State authorities (search and rescue, the regulatory authority, the accident investigation board, etc.);    3. local emergency response services (aerodrome authorities, fire fighters, police,   ambulance, medical agencies, etc.); |  |  |  |  |
| 1. relatives of victims (a sensitive issue that, in many States, is handled by the police); 2. company personnel; 3. media; and 4. legal, accounting, insurers, etc |  |  |  |  |
| (d) Initial response: Depending on the circumstances, an initial response team may be dispatched to the accident or crisis site to augment local resources and oversee the organisation’s interests.  Factors to be considered for such a team include:   1. Who should lead the initial response team? 2. Who should be included on the initial response team? 3. Who should speak for the organisation at the accident site? 4. What would be required by way of special equipment, clothing, documentation,   transportation, accommodation, etc.? |  |  |  |  |
| 1. Additional assistance: Employees with appropriate training and experience can provide useful support during the preparation, exercising and updating of an organisation’s ERP. Their expertise may be useful in planning and executing such tasks as:    1. acting as passengers or customers in exercises;    2. handling survivors or external parties;    3. dealing with next of kin, authorities, etc. |  |  |  |  |
| (f) Emergency Management Centre (EMC): An EMC (normally on standby mode) may be established at the organisation’s headquarters once the activation criteria have been met. In addition, a command post (CP) may be established at or near the crisis site. The ERP should address how the following requirements  are to be met: |  |  |  |  |

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| 1. staffing (perhaps for 24 hours a day, 7 days per week, during the initial response period); 2. communications equipment (telephones, facsimile, Internet, etc.); 3. documentation requirements, maintenance of emergency activity logs; 4. impounding related company records; 5. office furnishings and supplies; and 6. reference documents (such as emergency response checklists and procedures, company manuals, aerodrome emergency plans and telephone lists).   The services of a crisis centre may be contracted from another airline or other specialist organisation to look after the Organisation’s interests in a crisis away from home base. Company personnel would normally supplement such a contracted centre as soon as  possible. |  |  |  |  |
| 1. Records: In addition to the organisation’s need to maintain logs of events and activities, the organisation will also be required to provide information to any State investigation team. The ERP should address the following types of information required by investigators:    1. all relevant records about the product or service concerned;    2. lists of points of contact and any personnel associated with the occurrence;    3. notes of any interviews (and statements) with anyone associated with the event;    4. any photographic or other evidence |  |  |  |  |
| (h) Accident site: For a major accident, representatives from many jurisdictions have legitimate reasons for accessing the site: for example, police; fire fighters; medics; aerodrome authorities; coroners (medical examining officers) to deal with fatalities; State accident investigators; relief agencies such as |  |  |  |  |
| the Red Cross (or equivalent) and even the media. Although coordination of the activities of these stakeholders is the responsibility of the State’s police and/or investigating authority, the Organisation should clarify the following aspects of activities at the accident site:   1. nominating a senior company representative at the accident site if:    1. at home base;    2. away from home base;    3. offshore or in a foreign State; 2. management of surviving victims; 3. the needs of the relatives of victims; 4. security of the wreckage; 5. handling of human remains and personal property of the deceased; 6. preservation of evidence; 7. provision of assistance (as required) to the investigation authorities; 8. removal and disposal of the wreckage; etc. |  |  |  |  |
| ws media: How the company responds to the media may affect how well the company recovers from the event. Clear direction is required regarding, for example:   1. what information is protected by statute (FDR data, CVR and ATC recordings, witness statements, etc.); 2. who may speak on behalf of the parent organisation at head office and at the accident site (public relations manager, chief executive officer or other senior executive, manager, owner); 3. prepared statements for immediate response to media queries; 4. what information may be released (what should be avoided); 5. the timing and content of the company’s initial statement; 6. provisions for regular updates to the media. |  |  |  |  |
| (j) Formal investigations: Guidance for company personnel dealing with State accident investigators and police should be provided |  |  |  |  |
| 1. Family assistance: The ERP should also include guidance on the organisation’s approach to assisting crisis victims or customer organisations. This guidance may include such things as:    1. State requirements for the provision of assistance services;    2. travel and accommodation arrangements to visit the crisis site;    3. programme coordinator and point(s) of contact for victims/customers;    4. provision of up-to-date information;    5. temporary assistance to victims or customers. |  |  |  |  |
| (l) Post-occurrence review: Direction should be provided to ensure that, following the emergency, key personnel carry out a full debrief and record all recognised deficiencies and or improvements which may result in amendments to the ERP and associated  procedures. |  |  |  |  |

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| **This is to certify that the company manual(s) have addressed all Sultanate of Oman relevant applicable Regulations (CARs) to the proposed operations.** | | |
| **Postholder Safety Management System Name:** | **Signature:** | **Date:** |
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| **FINDINGS & REMARKS** | | | |
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| **CAA Use Only** | | | |
| **Designation** | **Name** | **Signature** | **Date** |
| **Chief Operations Section (COS):** |  |  |  |
| **FOI Inspector:** |  |  |  |
| **AWI Inspector:** |  |  |  |
| **GOI/ DGR Inspector:** |  |  |  |
| **CSI Inspector:** |  |  |  |