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| **Name of Operator/**  **Organization** |  | **Date:** |  |
| **Accountable person:** |  | **Contact No:** |  |
| **Address** |  | **Location:** |  |
| **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.  The Accountable Person completing this form is required to fill 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 approve, 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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| **[Definitions used in the checklist – maturity levels](#Definitions1)** | |
| Present | There is evidence that the relevant item is documented within the organization’s Management  System Documentation. |
| Suitable | The relevant item is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity. |
| Operating | There is evidence that the relevant item is in use and an output is being produced. |
| Effective | There is evidence that the relevant item is achieving the desired outcome and has a positive safety impact. |

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| **No: -** | **Ref** | 1. **Safety Management System in General** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.005 | The Service Provider shall establish a SMS approved by CAA. |  |  |  |
|  | The SMS shall be based on a clear Safety Policy. |  |  |  |
|  | The SMS shall include a Safety Assurance Measures. |  |  |  |
|  | The SMS shall include a Process for Risk Management. |  |  |  |
|  | The SMS shall include a Safety Training Program. |  |  |  |
|  | The SMS shall be supported by SMS Documentation System. |  |  |  |
|  | The SMS shall correspond to the size of Service Provider, and the complexity of its activities. |  |  |  |
|  |  | 1. **Safety Management System Establishment** | **Applicant’s Manual**  **Reference** | **S/ US N/A** | **Comments** |
| **B1** |  | **B1 The Safety Management System Policy shall:** |  |  |  |
|  | CAR 100.105 | Include the overall safety objectives of the Service Provider |  |  |  |
|  | Include the commitment of senior management to provide the resources necessary for effective SMS. |  |  |  |
|  | Include a statement about responsibility and accountability for safety at all levels of the Service Provider |  |  |  |
|  | Include management’s explicit support of a positive safety culture |  |  |  |
|  | CAR 100.110 | Be signed by the Accountable Manager |  |  |  |
|  | Establish an effective management structure supports SMS. |  |  |  |
|  | Establish a non-punitive approach which supports safety reporting and encourages an open reporting culture for the purpose of safety improvement. |  |  |  |
|  | Clearly include the circumstances under which disciplinary action would or would not be applicable within the framework of the SMS |  |  |  |
|  | Be communicated throughout the Service Provider |  |  |  |
|  | Establish a procedure for SMS Amendment process. |  |  |  |
| **B2** |  | **B2. Safety Accountabilities** |  |  |  |
|  | CAR 100.115 | Identify the Accountable Manager who has full control of the resources, and accountability for the establishment, implementation and maintenance of the SMS, safety policies and the resolution of all safety issues. |  |  |  |
|  | Clearly define lines of safety accountability throughout the Service Provider. |  |  |  |
| **No: -** | **Ref** | **(Contd.) B2. Safety Accountabilities** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.115 | Identify the accountabilities of all members of management, and employees. |  |  |  |
|  | Document and communicate safety responsibilities, accountabilities and authorities throughout the Service Provider. |  |  |  |
|  | Define the levels of management with authority to make decisions regarding safety risk tolerability. |  |  |  |
| **B3** | **Ref.** | **B3. Appointment of Key Safety Personnel:** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.120 | The Service Provider shall appoint a properly educated, trained and experienced person who fulfils the role of Accountable executive/Manager – SMS for the development and maintenance of an effective Safety Management System |  |  |  |
|  | The appointed person shall have direct access to the Accountable Manager to ensure that the Accountable Manager is kept properly informed on safety matters. |  |  |  |
|  | The accountable executive/manager – SMS shall be accepted by the Authority. |  |  |  |
|  | The accountable executive/manager–SMS is a senior management position and shall not hold other positions that may conflict or impair his/her role as Manager SMS unless specifically approved by the Authority. |  |  |  |
|  | Depending on size, complexity and nature The Service Provider may need to establish a Safety Review Board (SRB), and a Safety Action Group (SAG). |  |  |  |
| **B4** |  | **B4. Coordination of Emergency Response Planning:** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Commentss** |
|  | CAR 100.125 | The ERP should be documented in the format of a manual or directly integrated into the SMS Manual and reflect the size |  |  |  |
|  | If the ERP is documented in a separate document, it should be cross-linked to SMS manual. |  |  |  |
|  | Ensure an orderly, safe and efficient transition from normal to emergency operations, and back to normal; |  |  |  |
|  | Ensure delegation of emergency authority |  |  |  |
|  | Ensure authorization by key personnel for actions contained in the plan |  |  |  |
|  | Ensure coordination of efforts to cope with the emergency |  |  |  |
|  | Ensure that the responsibilities, roles and actions of various agencies and personnel involved in dealing with emergencies are defined and personnel are trained |  |  |  |
|  | **Ref** | **(Contd.)**  **B4. Coordination of emergency response planning** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.125 | Periodically be tested for the adequacy of the plan and the results reviewed to improve its overall effectiveness. |  |  |  |
|  | The Emergency Response Plan addresses all possible or likely emergency/crisis scenarios relating to the Service Provider. |  |  |  |
|  | Take Into Account Considerations Such As:   1. Governing Policies |  |  |  |
|  | 1. Organization |  |  |  |
|  | 1. Notifications |  |  |  |
|  | 1. Initial Response |  |  |  |
|  | 1. Additional Assistance |  |  |  |
|  | 1. Crisis Management Centre (CMC) |  |  |  |
|  | 1. Records |  |  |  |
|  | 1. Accident Site |  |  |  |
|  | 1. News Media |  |  |  |
|  | 1. Formal Investigations |  |  |  |
|  | 1. Family Assistance |  |  |  |
|  | 1. Post-Critical Incident Stress Counselling |  |  |  |
|  | 1. Post-Occurrence Review |  |  |  |
| **B5** |  | **B5. SMS Documentation** |  |  |  |
|  | CAR 100.130 | An SMS manual defines the Service Provider approach to the management of safety in a manner that meets the Service Provider safety policy and the requirements of this regulation. |  |  |  |
|  | The Service Provider should develop and maintain SMS documentation that describes how the Service Provider is going to comply with this regulation. |  |  |  |
|  | Describes its: -   1. safety policy and objectives; |  |  |  |
| 1. SMS requirements |  |  |  |
| 1. SMS processes and procedures; |  |  |  |
| 1. Accountabilities, responsibilities and authorities for SMS processes and procedures. |  |  |  |
|  | The format of the records should be specified in the Service Provider procedures |  |  |  |
|  | Records should be stored in a manner that ensures protection from damage, alteration, and theft. |  |  |  |
| **No: -** | **Ref** | **(Contd.) B5. SMS Documentation** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Commentss** |
|  | CAR 100.130 | The record keeping system should ensure that all records are accessible whenever needed. |  |  |  |
|  | Paper systems should use robust material that can withstand normal handling and filing |  |  |  |
|  | Computer systems should have at least one backup system, which is updated within twenty-four (24) hours. |  |  |  |
|  | Computer systems should include safeguards against the ability of unauthorized personnel altering the data. |  |  |  |
|  | All computer hardware used to ensure data backup should be stored in a different location from that containing the working data, and in an environment that ensures they remain in good condition. |  |  |  |
|  | The Service Provider should specify the period for keeping records |  |  |  |
| **B6** |  | **B6. Safety Risk Management** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | SMS shall include hazard identification. |  |  |  |
|  |  | Hazards should be identified through proactive methodologies or as a result of accident or incident investigations (reactive), and where practical through predictive methodologies. |  |  |  |
|  |  | Data sources of hazard identification should be both internal and external to the Service Provider. |  |  |  |
|  |  | Service Provider shall establish internal confidential reporting channels to maximize data capturing. |  |  |  |
|  |  | Flight data analysis and internal audits, Internal hazard identification data sources may include:   1. Normal operation monitoring schemes. |  |  |  |
|  | 1. Safety surveys |  |  |  |
|  | 1. Feedback from training |  |  |  |
|  | 1. Investigation and follow-up reports on accidents/incidents. |  |  |  |
|  |  | External data sources for hazard identification may include:   1. Industry accident reports |  |  |  |
|  | 1. CAA mandatory occurrence reporting systems (MORS). |  |  |  |
|  | 1. CAA audits |  |  |  |
|  | 1. Information exchange systems |  |  |  |

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|  |  | **(Contd.) B6. The Safety Reporting System should contain following elements:** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.135 | The collection and evaluation of those errors, near-misses, and hazards reported internally. |  |  |  |
|  | Corrective and preventive actions are taken internally to address any safety issues and hazards |  |  |  |
|  | Feedback to the Service Provider safety training, whilst maintaining appropriate confidentiality. |  |  |  |
|  | Provision of feedback to the reporter to ensure his support to the occurrence reporting system and disseminate the results to other relevant parties. |  |  |  |
|  | A non-punitive approach which encourages safety reporting within a system that clearly indicates which types of behaviors are unacceptable. |  |  |  |
|  | An investigation process to:   1. Identify and address the factors contributing to occurrences in order to reduce the likelihood of reoccurrence |  |  |  |
| 1. Identify adverse trends; |  |  |  |
| 1. Identify those reports which require further investigation; |  |  |  |
| 1. Establish all root causes, including any technical, organizational, managerial, or human factors issues, and any other contributing factors relating to the event. |  |  |  |
| **B7** |  | **B7 Safety Risk Assessment and Mitigations** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.140 | The Service Provider shall develop, implement and maintain a process that ensures analysis, assessment, and acceptable control of the safety risks associated with identified hazards. |  |  |  |
|  | Safety Risk Assessment should include a Safety Risk Matrix. |  |  |  |
|  | Safety Risk Mitigation measure should be examined from the following perspectives |  |  |  |
| 1. Effectiveness |  |  |  |
| 1. Cost/benefit |  |  |  |
| 1. Practicality |  |  |  |
| 1. Acceptability |  |  |  |
| 1. Enforceability |  |  |  |
| 1. Durability |  |  |  |
| 1. Residual safety risks. |  |  |  |
| 1. Unintended consequences |  |  |  |

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|  |  | **(Contd.) B7 Safety Risk Assessment and Mitigations** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | CAR 100.140 | The three generic safety risk mitigation approaches include: |  |  |  |
| 1. Avoidance |  |  |  |
| 1. Reduction |  |  |  |
| 1. Segregation of exposure |  |  |  |
|  |  | Written procedures for developing and implementing Corrective Actions will be established |  |  |  |
|  | **These specific corrective action plans shall address the following:** | | | | |
|  |  | 1. Development and proposal of the corrective action. |  |  |  |
|  | 1. Analysis and final approval level of the corrective action, including who is responsible for approval of the corrective action. |  |  |  |
|  | 1. Who will implement the corrective action? |  |  |  |
|  | 1. How the responsible person will implement the corrective action. |  |  |  |
|  |  | 1. When the corrective action completion due date is. |  |  |  |
|  |  | 1. Who will evaluate the outcome and how, including identification of data requiring collection, awareness of the possibility of unintended consequences, and events that should trigger a response. |  |  |  |
|  |  | 1. Who will monitor the status of the corrective action and how |  |  |  |
|  |  | 1. Reporting the status of the corrective action (to whom, with what frequency). |  |  |  |
| **B8** |  | **B8 Safety Assurance.** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comment** |
|  |  | 1. The Service Provider shall develop, document and maintain safety assurance processes to ensure that the safety risks controls established, as a consequence of the hazard identification and risk management activities, achieve their intended objectives |  |  |  |
|  |  | 1. The safety assurance process complements the quality assurance process, with each having requirements for analysis, documentation, and management reviews to ensure that certain performance criteria are met. While quality assurance typically focuses on the Service Provider’s compliance with regulatory requirements, safety assurance specifically monitors the effectiveness of safety risk controls |  |  |  |

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| **B9** |  | **B9 Safety Performance Monitoring and Measurement** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. The Service Provider shall establish safety performance monitoring and measurement processes by the establishment of Safety Performance Indicators (SPI) and Safety Performance Targets (SPT) to verify its safety performance and validate the effectiveness of the safety risk controls. |  |  |  |
|  |  | 1. The indicators, targets, alert levels and relevant action plans defined to achieve the targets shall be agreed with the CAA |  |  |  |
|  |  | 1. The actual performance shall be regularly provided to the CAA in a form and manner established by the CAA for monitoring purposes along with statistical data required for the CAA to establish and monitor the State Acceptable Level of Safety Performance (ALoSP). |  |  |  |
|  |  | 1. For Service Provider that do not have sufficient data for the establishment of SPI’s and SPT’s, the Service Provider shall establish safety initiatives aiming at continuous improvement in relation to safety standards. These initiatives shall be in line with the safety objectives of the Service Provider |  |  |  |
|  |  | 1. If an alert level or a target has been breached, the Service Provider shall immediately report it the CAA and submit a corrective plan accordingly. (Voluntary Safety Report – VSR) |  |  |  |
|  | Safety Performance Monitoring processes and systems should include processes and systems for the following: | | | | |
|  |  | 1. Continuous monitoring of operational processes including establishment and monitoring of SPIs and SPTs, SPTs, alert levels and the required reporting of safety performance or other statistics data to the CAA. |  |  |  |
|  |  | 1. Periodic monitoring of the operational environment to detect changes. |  |  |  |
|  |  | 1. Auditing of operational processes and systems. |  |  |  |
|  |  | 1. Evaluations of the SMS. |  |  |  |
|  |  | 1. Evaluations of safety data. |  |  |  |
|  |  | 1. Evaluation of contextual data related the Service Provider environment, conditions, resources and management. |  |  |  |
|  | The SPIs, SPTs and alert levels should be. | | | | |
|  |  | 1. a combination of high and lower-consequence SPIs as appropriate |  |  |  |
|  |  | 1. pertinent to the Service Provider’s aviation activities |  |  |  |

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|  |  | **(Contd.)**  **B9 Safety Performance Monitoring and Measurement** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. consistent with other Service Provider of the same sector/category |  |  |  |
|  |  | 1. congruent with the State’s SSP aggregate safety indicators for the Service Provider sector/category. |  |  |  |
| **B10** |  | **B10 Management of Change** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | The Service Provider shall develop, document, implement and maintain a process to identify changes that may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks or hazards that may arise from those changes. |  |  |  |
|  | **The Service Provider should demonstrate that:** | | | | |
|  |  | 1. It has established a process, and conducts formal hazard analyses/risk assessment for major operational changes, major Service Provider changes, and changes in key personnel. |  |  |  |
|  |  | 1. Safety assessment/risk assessments are aviation safety focused. |  |  |  |
|  |  | 1. Key stakeholders are involved in the change management process, as appropriate. |  |  |  |
|  | **Considerations for management of change are** | | | | |
|  |  | 1. Unless properly managed, changes in Service Provider structure, facilities, scope of work/approval, personnel, documentation, policies and procedures, etc., may result in the inadvertent introduction of new hazards, exposing the Service Provider to new or increased risk |  |  |  |
|  |  | 1. The management of change should be a process aiming at identifying external and internal changes that may have an adverse effect on safety before implementation. It should make use of the Service Provider existing hazard identification, risk assessment, and mitigation processes. |  |  |  |
|  |  | 1. Regardless of the magnitude of change, large or small, there should always be a proactive consideration for safety implications. |  |  |  |
|  |  | 1. This is primarily the responsibility of the team proposing and/or implementing the change. However, change can only be successful if all personnel affected by the change are engaged, involved, and participate in the process. |  |  |  |
|  |  | 1. The magnitude of change, its safety criticality, and its potential impact on human performance should be assessed in any change management process. |  |  |  |

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|  |  | **(Contd.)**  **B10 Management of Change** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Management of change provides principles and a structured framework for managing all aspects of the change. Disciplined application of change management can maximize the effectiveness of the change, engage staff, and minimize the risks inherent in change. |  |  |  |
|  |  | 3.7. Some examples of change include, but are not limited to:   1. Service Provider restructuring; |  |  |  |
|  | 1. acquisition of equipment; |  |  |  |
|  | 1. new aircraft type included in servicing. |  |  |  |
|  | 1. additional aircraft or equipment of the same or similar type; |  |  |  |
|  | 1. significant changes in personnel (affecting key personnel and/or large numbers of personnel, high turnover); |  |  |  |
|  | 1. new or amended regulations, procedures; |  |  |  |
|  | 1. competition; |  |  |  |
|  | 1. customer base; |  |  |  |
|  | 1. security; |  |  |  |
|  | 1. financial status; |  |  |  |
|  | 1. new schedule(s), location(s), type(s) of maintenance, and/or operational procedures; |  |  |  |
|  | 1. the generation or alteration of maintenance data |  |  |  |
|  | 1. change of a safety significant subcontractor. |  |  |  |
|  | 1. changes to risk control, policy, |  |  |  |
|  |  | * 1. The change also has the potential to introduce new, or exacerbate pre-existing, human factors issues. |  |  |  |
|  |  | * 1. The purpose of integrating human factors into the management of change is to minimize potential risks by specifically considering the impact of the change on the people within a system. |  |  |  |
|  |  | * 1. Special consideration, including any human factors issues, should be given to the ‘transitional period’. In addition, the activities utilized to manage these issues should be integrated into the change management plan |  |  |  |
|  | The Service Provider management of change process should take into account the following three considerations: | | | | |
|  |  | 1. Criticality: Criticality assessments determine the systems, equipment or activities that are essential to the safe operation of aircraft. |  |  |  |

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|  |  | **(Contd.)**  **B10 Management of Change** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Stability of systems and operational environments: Changes may be planned and under the direct control of the Service Provider. |  |  |  |
|  |  | 1. Past performance: Past performance of critical systems and trend analyses in the safety assurance process should be employed to anticipate and monitor safety performance under situations of change. |  |  |  |
| **B11** |  | **B11 Continuous Improvement of the SMS** |  |  |  |
|  |  | The Service Provider shall monitor and assess the effectiveness of its SMS processes to enable continuous improvement of the SMS |  |  |  |
|  |  | Monitoring and assessment activities conducted for the purpose of this requirement should be conducted by persons that are functionally independent of the technical processes being evaluated. |  |  |  |
|  |  | Continuous improvement is measured through the monitoring of an Service Provider Safety Performance Indicators, evaluations and independent SMS audits and is related to the maturity and effectiveness of an SMS. Safety assurance processes support improvements to the SMS through continual verification and follow-up actions. |  |  |  |
|  |  | Internal evaluations/ audits involve assessment of the Service Provider aviation activities that can provide information useful to the Service Provider decision-making processes. |  |  |  |
|  |  | The internal evaluation function includes evaluation of safety management functions, policymaking, safety risk management, safety assurance and safety promotion throughout the Service Provider. |  |  |  |
| **B12** |  | **B12 Safety Promotion** |  |  |  |
|  | CAR 100.165 | 1. Training and education. |  |  |  |
|  | 1. The Service Provider shall develop and maintain a safety-training program that ensures that personnel are trained and competent to perform their duties relevant to the Service Provider SMS. |  |  |  |
|  | 1. The scope of the safety training shall be appropriate to the individual’s involvement in the SMS. |  |  |  |
|  | 1. Safety training and education curricula should consist of the following: |  |  |  |
|  | 1. Service Provider safety policies, goals and objectives |  |  |  |
|  | 1. Service Provider safety roles and responsibilities related to safety |  |  |  |
|  | 1. Basic safety risk management principles |  |  |  |
| **B12** |  | **B12 Safety Promotion** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Safety reporting systems |  |  |  |
|  | CAR 100.165 | 1. Safety management support (including evaluation and audit programs) |  |  |  |
|  | 1. Lines of communication for dissemination of safety information |  |  |  |
|  | 1. Initial indoctrination and, if required, recurrent training requirements |  |  |  |
|  | 1. Training requirements should be consistent with the needs and complexity of the Service Provider |  |  |  |
|  | 1. Training procedures should specify initial and, if required, recurrent safety training standards for operational personnel, managers and supervisors, senior managers and the Accountable Manager |  |  |  |
|  | 1. The SMS training documentation should also specify responsibilities for development of training content and scheduling |  |  |  |
|  | 1. Safety training for senior managers should include content related to compliance with national and Service Provider safety requirements, allocation of resources and active promotion of the SMS including effective interdepartmental safety communication. In addition, safety training for senior managers should include material on establishing Safety Performance Targets and alert levels. |  |  |  |
|  | 1. The Accountable Manager training should be at a high level providing an understanding of the SMS and its relationship to the Service Provider’s overall business strategy. |  |  |  |
| **B13** |  | **B13 Safety Communication.** |  |  |  |
|  |  | The Service Provider shall develop, document, implement and maintain formal means for safety communication that: | | | |
|  |  | 1. Ensures personnel are aware of the SMS to a degree commensurate with their positions in a timely manner. |  |  |  |
|  |  | 1. Conveys safety-critical information in a timely manner. |  |  |  |
|  |  | 1. Explains why particular safety actions are taken |  |  |  |
|  |  | 1. Explains why safety procedures are introduced or changed. |  |  |  |
|  |  | 1. Safety communication is an essential foundation for the development and maintenance of an adequate safety culture. The modes of communication may include: |  |  |  |
| 1. Newsletters |  |  |  |
|  |  | **(Contd.) B13 Safety Communication.** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Presentations |  |  |  |
|  | 1. Safety notices |  |  |  |
|  | 1. Safety awareness posters |  |  |  |
|  | 1. Lectures |  |  |  |
|  | 1. Workshops |  |  |  |
|  | 1. Workplace safety-oriented meetings between staff and the Accountable Manager or Senior Managers |  |  |  |
| **C1** |  | **C1 Safety Culture & Just Culture** |  |  |  |
|  | Appendix 1 | 1. An important part of a good just culture depends on how an organization oversees safety reports, which may contain information about potentially unsafe/risky actions, either directly or indirectly taken by its employees. |  |  |  |
|  | 1. Employees at all levels should be encouraged to report any occurrences or issues that may affect safety and be open to learning from these. A safety culture and a just culture should be fostered. |  |  |  |
|  | 1. Overall, personnel must believe that they will be supported in any decisions made in the interest of safety but must also understand that intentional breaches of safety policy will not be tolerated. |  |  |  |
|  | 1. The voluntary reporting system should be confidential and operated in accordance with appropriate non-punitive policies. |  |  |  |
|  | 1. The system should also provide feedback to personnel on safety improvements achieved as a result of the reports received |  |  |  |
|  | 1. This objective requires secure and easy access to safety reporting systems, active safety data collection and management’s proactive treatment of the data. |  |  |  |
|  | 1. in rare cases in which gross negligence, wilful violations or destructive acts are apparent, such acts/behavior should not be tolerated |  |  |  |
|  | 1. Through the application of clear and proper procedures, anyone involved in cases of possible gross negligence should receive fair treatment and proportionate remedial action to prevent a reoccurrence. |  |  |  |

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|  |  | **(Contd.) C1 Safety Culture & Just Culture.** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | **The five key ingredients of an effective safety culture.** | | | |
|  | Appendix 1 | **Informed Culture:**  Those who manage and operate the system have current knowledge about the human, technical, Service Provider and environmental factors that determine the safety of the system as a whole. |  |  |  |
|  | **Learning Culture:**  A Service Provider must possess the willingness and the competence to draw the right conclusions from its safety information system and be willing to implement major reform |  |  |  |
|  | **Flexible Culture**  A Service Provider can adapt in the face of high-tempo operations or certain kinds of danger – often shifting from the conventional hierarchical mode to a flatter mode |  |  |  |
|  | **Just Culture**  There is an atmosphere of trust. People are encouraged (even rewarded) for providing essential safety-related information, but they are also clear about where the line must be drawn between acceptable and unacceptably |  |  |  |
|  | **Reporting Culture**  A Service Provider climate in which people are prepared to report their errors and near-misses. |  |  |  |
| **C2** | **Hazard Identification & Risk Management.** | | | | |
| 1. **.** |  | 1. Hazard Identification (Equipment, Procedures, Service Provider) **Step** |  |  |  |
|  |  | 1. Risk assessment probability (Analyses the likelihood of the consequence occurring) **Step** |  |  |  |
|  |  | 1. Risk assessment severity (Evaluate the severity of the consequence if it does occur) **Step** |  |  |  |
|  |  | 1. Risk assessment & tolerability safety performance criteria (Is the assessed risk(s) acceptable & within the Service Provider s safety performance criteria?) **Process** |  |  |  |
|  |  | 1. Risk control/mitigation (NO, reduce the risk(s) to an acceptable level) OR (YES, accept the risk(s) **Chose** |  |  |  |

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| **C3** |  | **Safety Risk Assessment Matrix.** | | | | | | **Comments** |
| C3.1 | Appendix 3 |  | **Risk Severity** | | | | |  |
| C3.2 | **Risk Probability** | **Catastrophic A** | **Hazardous B** | **Major C** | **Minor D** | **Negligible E** |  |
| C3.3 | **Frequent (5)** | **5A** | **5B** | **5C** | **5D** | **5E** |  |
| C3.4 | **Occasional (4)** | **4A** | **4B** | **4C** | **4D** | **4E** |  |
| C3.5 | **Remote (3)** | **3A** | **3B** | **3C** | **3D** | **3E** |  |
| C3.6 | **Improbable (2)** | **2A** | **2B** | **2C** | **2D** | **2E** |  |
| C3.7 | **Extremely Improbable (1)** | **1A** | **1B** | **1C** | **1D** | **1E** |  |

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| C3.8 | Appendix 8 | **Risk Probability** | **Meaning** | **Value** |  |
| C3.9 | **Frequent** | **Likely to occur many times (has occurred frequently)** | **5** |  |
| C3.10 | **Occasional** | **Likely to occur sometimes (has occurred infrequently)** | **4** |  |
| C3.11 | **Remote** | **Unlikely to occur, but possible (has occurred rarely)** | **3** |  |
| C3.12 | **Improbable** | **Very unlikely to occur (not known to have occurred)** | **2** |  |
| C3.13 | **Extremely Improbable** | **Almost inconceivable that the event will occur** | **1** |  |

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| **C4** |  | **Safety Risk Register Form** |  | **Comments** |
|  | Appendix 8 | The risk assessment process utilizes worksheets, forms or software appropriate to the complexity of the Service Provider and operations involved.  [Link](#home) to Safety Risk Register Example Form. |  |  |
| **C5** |  | 1. **Emergency Response Plan.** |  | **Comments** |
|  | Appendix 4 | 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 |  |  |
|  | Service Provider: The ERP should outline management’s intentions with respect to the responding Service Provider by: | | |
|  | Designating who will lead and who will be assigned to the response teams. |  |  |
|  | Defining the roles and responsibilities of personnel assigned to the response team |  |  |
|  | Clarifying the reporting lines of authority |  |  |
|  | Setting up an Emergency Management Centre (EMC); |  |  |
|  | Establishing procedures for receiving a large number of requests for information, especially during the first few days after a major accident. |  |  |
|  | Designating the corporate spokesperson for dealing with the media. |  |  |

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| **C5** |  | 1. **Emergency Response Plan.** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Defining what resources will be available, including financial authorities for immediate activities; |  |  |  |
|  |  | 1. Designating the company representative to any formal investigations undertaken by State officials; |  |  |  |
|  |  | 1. Defining a call-out plan for key personnel. |  |  |  |
|  |  | 1. A Service Provider chart will be used to show the Service Provider functions and communication relationships. |  |  |  |
|  | **Notifications:** The plan should specify who in the Service Provider 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** |  |  |  |
|  |  | 1. State authorities (search and rescue, the regulatory authority, the accident investigation board, etc.). |  |  |  |
|  |  | 1. 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). |  |  |  |
|  |  | 1. Company personnel. |  |  |  |
|  |  | 1. Media. |  |  |  |
|  |  | 1. Legal, accounting, insurers. |  |  |  |
|  | **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 Service Provider interests. Factors to be considered for such a team include: - | | | | |
|  |  | 1. Who should lead the initial response team? |  |  |  |
|  |  | 1. Who should be included on the initial response team? |  |  |  |
|  |  | 1. Who should speak for the Service Provider at the accident site |  |  |  |
|  |  | 1. What would be required by way of special equipment, clothing, documentation, transportation, accommodation, etc.? |  |  |  |
| **Additional assistance**: Employees with appropriate training and experience can provide useful support during the preparation, exercising and updating of a Service Provider ERP. Their expertise may be useful in planning and executing such tasks as: | | | | | |
|  |  | 1. Acting as passengers or customers in exercises. |  |  |  |
|  |  | 1. Handling survivors or external parties. |  |  |  |
|  |  | 1. Dealing with next of kin, authorities, etc |  |  |  |

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|  |  | 1. **Emergency Management Centre (EMC)** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
| **Emergency Management Centre (EMC):** An EMC (normally on standby mode) may be established at the Service Provider 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: | | | | | |
|  |  | 1. Staffing (perhaps for 24 hours a day, 7 days per week, during the response period) initial |  |  |  |
|  |  | 1. Communications equipment (telephones, facsimile, Internet, etc.). |  |  |  |
|  |  | 1. Documentation requirements, maintenance of emergency activity logs. |  |  |  |
|  |  | 1. Impounding related company records. |  |  |  |
|  |  | 1. Office furnishings and supplies. |  |  |  |
|  |  | 1. Reference documents (such as emergency response checklists and procedures, company manuals, aerodrome emergency plans and telephone lists). |  |  |  |
|  |  | 1. The services of a crisis center may be contracted from another airline or other specialist organization to look after the Organization’s interests in a crisis away from home base. Company personnel would normally supplement such a contracted center as soon as possible. |  |  |  |
| **Records:** In addition to the Service Provider’s need to maintain logs of events and activities, the Service Provider 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. |  |  |  |
|  |  | 1. Lists of points of contact and any personnel associated with the occurrence. |  |  |  |
|  |  | 1. Notes of any interviews (and statements) with anyone associated with the event. |  |  |  |
|  |  | 1. Any photographic or other evidence. |  |  |  |
| **Accident site:** For a major accident, representatives from many jurisdictions have legitimate reasons for accessing the site: | | | | | |
|  |  | 1. Nominating a senior company representative at the accident site if: |  |  |  |
|  |  | 1. At home base; |  |  |  |
|  |  | 1. Away from home base |  |  |  |
|  |  | 1. Offshore or in a foreign state; |  |  |  |
|  |  | * 1. Management of surviving victims |  |  |  |
|  |  | * 1. The needs of the relatives of victims |  |  |  |

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|  |  | **(Contd.) Emergency Management Centre (EMC)** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | * 1. Security of the wreckage |  |  |  |
|  |  | * 1. Handling of human remains and personal property of the deceased |  |  |  |
|  |  | * 1. Preservation of evidence; |  |  |  |
|  |  | * 1. Provision of assistance (as required) to the investigation authorities |  |  |  |
|  |  | * 1. Removal and disposal of the wreckage. |  |  |  |
| News 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.) |  |  |  |
|  |  | 1. Who may speak on behalf of the parent organization at head office and at the accident site (public relations manager, chief executive officer or another senior executive, manager, owner); |  |  |  |
|  |  | 1. Prepared statements for immediate response to media queries; |  |  |  |
|  |  | 1. What information may be released (what should be avoided); |  |  |  |
|  |  | 1. The timing and content of the company’s initial statement; |  |  |  |
|  |  | 1. Provisions for regular updates to the media. |  |  |  |
| Formal investigations: Guidance for company personnel dealing with State accident investigators and police should be provided. | | | | | |
| Family assistance: The ERP should also include guidance on the organization’s approach to assisting crisis victims or customer organizations. This guidance may include such things as: | | | | | |
|  |  | * 1. State requirements for the provision of assistance services; |  |  |  |
|  |  | * 1. Travel and accommodation arrangements to visit the crisis site; |  |  |  |
|  |  | * 1. Program coordinator and point(s) of contact for victims/customers; |  |  |  |
|  |  | * 1. Provision of up-to-date information |  |  |  |
|  |  | * 1. Temporary assistance to victims or customers. |  |  |  |
|  | **Post-Occurrence Review**: Direction should be provided to ensure that, following the emergency, key personnel carry out a full debrief and record all recognized deficiencies and or improvements which may result in amendments to the ERP and associated procedures. | | | | |

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| **C6** |  | **C6 SMS Implementation Plan:** |  |  |  |
|  |  | 1. **Phase 1:** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. **Management commitment and responsibility CAR 100.110:** |  |  |  |
|  |  | 1. Identify the Accountable Manager and the safety accountabilities of managers. This activity is based on sub-regulations CAR 100.110 & CAR 100.115 (framework for SMS Elements). |  |  |  |
|  |  | * 1. Establish an SMS implementation team: |  |  |  |
|  | * 1. Developing the SMS implementation plan; |  |  |  |
|  | * 1. Ensuring the adequate SMS training and technical expertise of the team in order to effectively implement the SMS elements and related processes; |  |  |  |
|  | * 1. Monitoring of and reporting on the progress of the SMS implementation, providing regular updates and coordinating with the Accountable Manager |  |  |  |
|  |  | 1. Define the scope of the organization’s activities (departments/divisions) to which the SMS will be applicable |  |  |  |
|  |  | 1. Conduct a gap analysis of the organization’s current systems and processes in relation to the ICAO SMS framework requirements |  |  |  |
|  |  | **1.2 SMS implementation plan — Element CAR 100.130** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | Develop an SMS implementation plan on how the organization will implement the SMS plan applicable to the identified system and process gaps resulting from the gap analysis. |  |  |  |
|  |  | * 1. **Appointment of key safety personnel —Element CAR 100.120** |  |  |  |
|  |  | Identify the key SMS person (safety/quality function) within the organization who will be responsible for administering the SMS on behalf of the Accountable Manager. |  |  |  |
|  |  | Establish the safety services office. |  |  |  |
|  |  | * 1. **Training and education — Element CAR 100.165 (a)** |  |  |  |
|  |  | Conduct a training needs analysis. |  |  |  |
|  |  | Organize and set up schedules for appropriate training of all staff according to their individual responsibilities and involvement in the SMS. |  |  |  |
|  |  | Develop safety training considering |  |  |  |
|  | 1. Initial (general safety). |  |  |  |
|  | 1. Job-specific training |  |  |  |
|  | 1. Recurrent training |  |  |  |
|  |  | 1. Identify the costs associated with training. |  |  |  |
|  |  | 1. Develop a validation process that measures the effectiveness of training. |  |  |  |
|  |  | 1. Establish a safety training records system. |  |  |  |
|  |  | * 1. **Safety communication — Element CAR 100.165(b)** |  |  |  |
|  |  | 1. Initiate a mechanism or medium for safety communication. |  |  |  |
|  |  | 1. Establish a means to convey safety information through any of: 2. Safety newsletters, notices and bulletins; |  |  |  |
|  | 1. Websites |  |  |  |
|  | 1. Email. |  |  |  |
|  | 1. Workshops, lectures, posters etc |  |  |  |

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|  |  | 1. **Phase 2:** |  |  |  |
|  |  | 1. **Management commitment and responsibility -Element CAR 100.110** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | Develop a safety policy |  |  |  |
|  |  | Have the Accountable Manager sign the safety policy. |  |  |  |
|  |  | Communicate the safety policy throughout the organization. |  |  |  |
|  |  | Establish a review schedule for the safety policy to ensure it remains relevant and appropriate to the organization. |  |  |  |
|  |  | Establish safety objectives for the SMS by developing safety performance standards in terms of:   1. Safety Performance Indicators; |  |  |  |
|  | 1. Safety Performance Targets and alert levels; |  |  |  |
|  | 1. Action plans |  |  |  |
|  |  | Establish the SMS requirements for subcontractors |  |  |  |
|  | 1. Establish a procedure to write SMS requirements into the contracting process; |  |  |  |
|  | 1. Establish the SMS requirements in the bidding documentation. |  |  |  |
|  |  | **Safety accountabilities — Element CAR 100.115** |  |  |  |
|  |  | Define safety accountabilities and communicate them throughout the organization. |  |  |  |
|  |  | Establish the Safety Action Group (SAG) |  |  |  |
|  |  | Establish the safety/SMS coordination committee |  |  |  |
|  |  | Define clear functions for the SAG and the safety/SMS coordination committee. |  |  |  |

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|  |  | 1. **Safety accountabilities — Element CAR 100.115** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | Establish lines of communication between the safety services office, the Accountable Manager, the SAG and the safety/SMS coordination committee. |  |  |  |
|  |  | Appoint the Accountable Manager as the chairperson of the safety/SMS coordination committee |  |  |  |
|  |  | Develop a schedule of meetings for the safety services office to meet with the safety/SMS coordination committee and SAG as needed. |  |  |  |
|  |  | **Coordination of emergency response planning-Element CAR 100.125** | | | |
|  |  | Review the outline of the ERP related to the delegation of authority and assignment of emergency responsibilities. |  |  |  |
|  |  | Establish coordination procedures for action by key personnel during the emergency and the return to normal operations. |  |  |  |
|  |  | Identify external entities that will interact with the organization during emergency situations. |  |  |  |
|  |  | Assess the respective ERPs of the external entities. |  |  |  |
|  |  | Establish coordination between the different ERPs. |  |  |  |
|  |  | Incorporate information about the coordination between the different ERPs in the organization’s SMS documentation. |  |  |  |
|  |  | 1. **SMS documentation — Element CAR 100.130** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | Create an SMS documentation system to describe, store, retrieve and archive all SMS-related information and records by:   * 1. Developing an SMS document that is either a stand-alone manual or a distinct section within an existing controlled organization manual |  |  |  |
|  |  | 1. Establishing an SMS filing system to collect and maintain current records relating to the organization’s ongoing SMS processes. |  |  |  |
|  |  | 1. Maintaining records to provide a historical reference as well as the current status of all SMS processes such as: a hazard register; an index of completed safety assessments; SMS/safety training records; current SPI’s and associated safety objectives; internal SMS audit reports; SMS /safety committee meeting minutes and the SMS implementation plan |  |  |  |
|  |  | 1. Maintaining records that will serve as evidence of the SMS operation and activities during internal or external assessment or audit of the SMS |  |  |  |

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|  |  | 1. **Phase 3** |  |  |  |
|  |  | 1. **Hazard identification — Element CAR 100.135** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | * 1. Establish a voluntary reporting procedure. |  |  |  |
|  |  | * 1. Establish a program/schedule for systematic review of all applicable aviation safety-related processes/equipment that are eligible for the HIRM process. |  |  |  |
|  |  | * 1. Establish a process for prioritization and assignment of identified hazards for risk mitigation. |  |  |  |
|  |  | **3.2 Safety risk assessment and mitigation — Element CAR 100.140** | | | |
|  |  | 1. Establish a safety risk management procedure, including its approval and periodic review process. |  |  |  |
|  |  | 1. Develop and adopt safety risk matrices relevant to the organization’s operational or production processes. |  |  |  |
|  |  | 1. Include adopted safety risk matrices and associated instructions in the organization’s SMS or risk management training material. |  |  |  |
|  |  | **3.3 Safety performance monitoring and measurement Element CAR 100.150** | | | |
|  |  | 1. Establish an internal occurrence reporting and investigation procedure. This may include mandatory or major defect reports (MDR) where applicable. |  |  |  |
|  |  | 1. Establish safety data collection, processing and analysis of high-consequence outcomes. |  |  |  |
|  |  | 1. Establish high consequence safety indicators (initial ALoSP) and their associated target and alert settings. Examples of high-consequence safety indicators are accident rates, serious incident rates and monitoring of high-risk non-compliance outcomes. |  |  |  |
|  |  | 1. Reach an agreement with the CAA on Safety Performance Indicators and Safety Performance Targets. |  |  |  |
|  |  | **3.4 The Management of Change — Element CAR 100.155** |  |  |  |
|  |  | Establish a formal process for the management of change that considers: |  |  |  |
|  |  | 1. the vulnerability of systems and activities |  |  |  |
|  |  | 1. the stability of systems and operational environments; |  |  |  |
|  |  | 1. past performance; |  |  |  |
|  |  | 1. regulatory, industry and technological changes. |  |  |  |
|  |  | 2). Ensure that management of change procedures address the impact on existing safe performance and risk mitigation records before implementing new changes. |  |  |  |

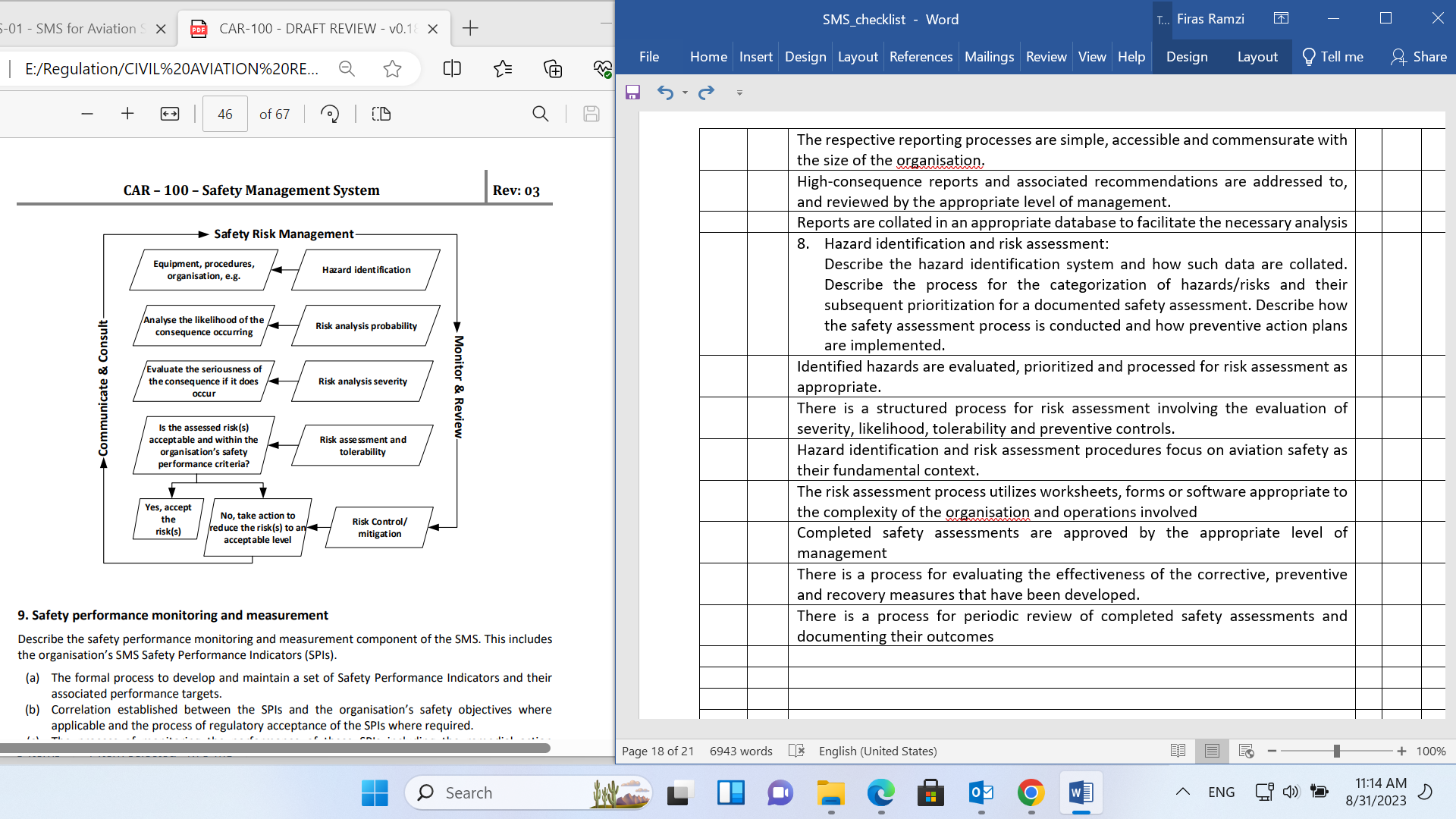
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|  |  | **(Contd.) 3.4 The Management of Change — Element CAR 100.155** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 3). Establish procedures to ensure that safety assessment of new aviation safety-related operations, processes and equipment are conducted (or accounted for) as applicable, before they are commissioned. |  |  |  |
|  |  | * 1. **Continuous improvement of the SMS — Element CAR 100.160** |  |  |  |
|  |  | 1. Develop forms for internal evaluations. |  |  |  |
|  |  | 1. Define an internal audit process. |  |  |  |
|  |  | 1. Define an external audit process. |  |  |  |
|  |  | 1. Define a schedule for evaluation of facilities, equipment, documentation and procedures to be completed through audits and surveys. |  |  |  |
|  |  | 1. Develop documentation relevant to operational safety assurance. |  |  |  |

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|  |  | 1. **Phase 4** |  |  |  |
|  |  | 1. **Management commitment and responsibility — Element CAR 100.110** |  |  |  |
|  |  | Enhance the existing disciplinary procedure/policy with due consideration of unintentional errors/ mistakes from deliberate/gross violations. |  |  |  |
|  |  | 1. **Hazard identification — Element CAR 100.135** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | Integrate the hazards identified from occurrence investigation reports with the voluntary reporting system. |  |  |  |
|  |  | Integrate hazard identification and risk management procedures with the subcontractor or customer SMS where applicable. |  |  |  |
|  |  | If necessary, develop a process for prioritizing collected hazards for risk mitigation based on areas of greater need or concern. |  |  |  |
|  |  | 1. **Safety performance monitoring and measurement-Element CAR 100.150** |  |  |  |
|  |  | Enhance the safety data collection and processing system to include lower-consequence events. |  |  |  |
|  |  | Establish lower-consequence safety/quality indicators with target/alert level monitoring as appropriate (mature ALoSP). |  |  |  |
|  |  | Reach an agreement with the CAA on lower-consequence Safety Performance Indicators and Safety Performance Target/alert levels |  |  |  |
|  |  | 1. **Continuous improvement of the SMS — Element CAR 100.160** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | Establish SMS audits or integrate them into existing internal and external audit programs. |  |  |  |
|  |  | Establish other operational SMS review/survey programs where appropriate |  |  |  |
|  |  | * 1. **Training and education — Element CAR 100.165** |  |  |  |
|  |  | Complete an SMS training program for all relevant personnel. |  |  |  |
|  |  | * 1. **Safety communication — Element CAR 100.165** |  |  |  |
|  |  | Establish mechanisms to promote safety information sharing and exchange internally and externally |  |  |  |

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| **C7** |  | **Safety Performance Indicator (SPI) for an Organization.** | | | | | | **Comments** |
|  | Appendix 6 | High-consequence indicators (occurrence /outcome based) | | | Lower-consequence indicators (event/activity-based) | | |  |
| Safety Performance Indicator | Alert level criteria | Target level criteria | Safety Performance Indicator | Alert level criteria | Target level criteria |  |
| monthly serious incident rate, | Average1/2/3 SD (annual or 2 yearly reset) | \_% (e.g. 6%) improvement between each annual mean rate | monthly serious incident rate | Average1/2/3 SD (annual or 2 yearly reset) | \_% (e.g. 6%) improvement between each annual mean rate |  |

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| **C8** |  | **Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **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. |  |  |  |
|  |  | 1. Hard copy or controlled electronic media and distribution list. |  |  |  |
|  |  | 1. The correlation between the SMS manual and other existing manuals such as the maintenance control manual (MCM) or the operations manual. |  |  |  |
|  |  | 1. The process for periodic review of the manual and its related forms/documents to ensure their continuing suitability, adequacy and effectiveness. |  |  |  |
|  |  | 1. The manual’s administration, approval and regulatory acceptance process |  |  |  |

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| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
| **C8** |  | 1. SMS regulatory requirements: Address current SMS regulations and guidance material for necessary reference and awareness by all concerned. |  |  |  |
|  |  | 1. Spell out the current SMS regulations/standards. Include the compliance timeframe and advisory material references as applicable |  |  |  |
|  |  | 1. Where appropriate, elaborate on or explain the significance and implications of the regulations to the organization |  |  |  |
|  |  | 1. Establish a correlation with other safety-related requirements or standards where appropriate |  |  |  |
| **C8** | Scope and integration of the Safety Management System: The scope of the processes, equipment and operations deemed eligible for the organization’s hazard identification and risk management (HIRM) program should also be addressed. | | | | |
|  |  | 1. Spell out the nature of the organization’s aviation business and its position or role within the industry as a whole. |  |  |  |
|  |  | 1. Identify the major areas, departments, workshops and facilities of the organization within which the SMS will apply. |  |  |  |
|  |  | 1. Identify the major processes, operations and equipment, which are deemed eligible for the organization’s HIRM program, 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. |  |  |  |
|  |  | 1. 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 s applicable |  |  |  |
|  |  | 1. Where there are other related control/management systems within the organization, such as QMS, OSHE and SMS, identify their relevant integration (where applicable) within the aviation SMS. |  |  |  |
| **C8** | 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. | | | | |
|  |  | 1. The safety policy should be appropriate to the size and complexity of the organization. |  |  |  |
|  |  | 1. The safety policy states the organization’s intentions, management principles and commitment to continuous improvement in aviation safety |  |  |  |
|  |  | 1. The safety policy is approved and signed by the Accountable Manager |  |  |  |
| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. The safety policy is promoted by the Accountable Manager and all other managers |  |  |  |
|  |  | 1. The safety policy is reviewed periodically. |  |  |  |
|  |  | 1. Personnel at all levels are involved in the establishment and maintenance of the Safety Management System. |  |  |  |
|  |  | 1. The safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations |  |  |  |
| **C8** | Appendix 7 | 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. Criteria | | | |
|  | 1. The safety objectives have been established. |  |  |  |
|  | 1. The safety objectives are expressed as a top-level statement describing the organization’s commitment to achieving safety. |  |  |  |
|  | 1. There is a formal process to develop a coherent set of safety objectives. |  |  |  |
|  | 1. The safety objectives are publicized and distributed |  |  |  |
|  |  | 1. Resources have been allocated for achieving the objectives |  |  |  |
|  |  | 1. The safety objectives are linked to safety indicators to facilitate monitoring and measurement where appropriate |  |  |  |
|  | Roles and responsibilities: Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS. | | | | |
|  |  | 1. 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. |  |  |  |
|  |  | 1. An appropriate safety manager (office), safety committee or Safety Action Groups (SAGs) have been appointed as appropriate. |  |  |  |
|  |  | 1. Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization are defined and documented. |  |  |  |
|  |  | 1. All personnel understand their authorities, responsibilities and accountabilities with regard to all safety management processes, decisions and actions. |  |  |  |
|  |  | 1. An SMS organizational accountabilities diagram is available. |  |  |  |
|  | 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. Criteria | | | | |
| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. The organization has a procedure that provides for the capture of internal occurrences including accidents, incidents and other occurrences relevant to SMS. |  |  |  |
|  |  | 1. A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.), which are required to be notified to the CAA, and other routine occurrence reports, which remain within the organization. |  |  |  |
|  |  | 1. There is also a voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data protection as applicable. |  |  |  |
|  |  | 1. The respective reporting processes are simple, accessible and commensurate with the size of the organization. |  |  |  |
|  |  | 1. High-consequence reports and associated recommendations are addressed to, and reviewed by the appropriate level of management. |  |  |  |
|  |  | 1. Reports are collated in an appropriate database to facilitate the necessary analysis |  |  |  |
|  | 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. | | | | |
|  |  | 1. Identified hazards are evaluated, prioritized and processed for risk assessment as appropriate. |  |  |  |
|  |  | 1. There is a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability and preventive controls. |  |  |  |
|  |  | 1. Hazard identification and risk assessment procedures focus on aviation safety as their fundamental context. |  |  |  |
|  |  | 1. The risk assessment process utilizes worksheets, forms or software appropriate to the complexity of the organization and operations involved |  |  |  |
|  |  | 1. Completed safety assessments are approved by the appropriate level of management |  |  |  |
|  |  | 1. There is a process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed. |  |  |  |
|  |  | 1. There is a process for periodic review of completed safety assessments and documenting their outcomes |  |  |  |



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| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  | 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). | | | | |
|  |  | 1. The formal process to develop and maintain a set of Safety Performance Indicators and their associated performance targets. |  |  |  |
|  |  | 1. Correlation established between the SPIs and the organization’s safety objectives where applicable and the process of regulatory acceptance of the SPIs where required. |  |  |  |
|  |  | 1. The process of monitoring the performance of these SPIs including the remedial action procedure, whenever unacceptable or abnormal trends are triggered. |  |  |  |
|  |  | 1. Any other supplementary SMS or safety performance monitoring and measurement criteria or process |  |  |  |
|  | 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. | | | | |
|  |  | 1. Procedures to ensure that reported accidents and incidents are investigated internally |  |  |  |
|  |  | 1. Dissemination of completed investigation reports internally as well as to the CAA as applicable |  |  |  |
|  |  | 1. A process for ensuring that corrective actions taken or recommended are carried out and for evaluating their outcomes/effectiveness. |  |  |  |
|  |  | 1. Procedure on disciplinary inquiry and actions associated with investigation report outcomes. |  |  |  |
| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Clearly defined conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or wilful misconduct). |  |  |  |
|  |  | 1. A process to ensure that investigations include identification of active failures as well as contributing factors and hazards. |  |  |  |
|  |  | 1. 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. |  |  |  |
|  | 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. | | | | |
|  |  | 1. The training syllabus, eligibility and requirements are documented. |  |  |  |
|  |  | 1. There is a validation process that measures the effectiveness of training. |  |  |  |
|  |  | 1. The training includes initial, recurrent and update training, where applicable. |  |  |  |
|  |  | 1. The organization’s SMS training is part of the organization’s overall training program. |  |  |  |
|  |  | 1. SMS awareness is incorporated into the employment or indoctrination program |  |  |  |
|  |  | 1. The safety communication processes/channels within the organization. |  |  |  |
|  | Continuous improvement and SMS audit: Describe the process for the continuous review and improvement of the SMS | | | | |
|  |  | 1. The process for regular internal audit/review of the organization’s SMS to ensure its continuing suitability, adequacy and effectiveness. |  |  |  |
|  |  | 1. Describe any other programs contributing to continuous improvement of the organization’s SMS and safety performance, e.g. Safety surveys, ISO systems |  |  |  |
|  | SMS records management: Describe the method of storing all SMS-related records and documents. | | | | |
|  |  | 1. 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. |  |  |  |

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| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. 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 |  |  |  |
|  |  | 1. 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 |  |  |  |
| **.** | Management of change: Describe the organization’s process for managing changes that may have an impact on safety risks and how such processes are integrated within the SMS. | | | | |
|  |  | 1. Procedures to ensure that substantial organizational or operational changes take into consideration any impact which they may have on existing safety risks. |  |  |  |
|  |  | 1. Procedures to ensure that appropriate safety assessment is performed prior to introduction of new equipment or processes which have safety risk implications. |  |  |  |
|  |  | 1. Procedures for review of existing safety assessments whenever there are changes to the associated processes or equipment. |  |  |  |
|  | 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. | | | | |
|  |  | 1. The organization has an emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or accident. |  |  |  |
|  |  | 1. There is a notification process that includes an emergency call list and an internal mobilization process. |  |  |  |
|  |  | 1. The organization has arrangements with other agencies for aid and the provision of emergency services as applicable. |  |  |  |
|  |  | 1. The organization has procedures for emergency mode operations where applicable. |  |  |  |
|  |  | 1. There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin. |  |  |  |
|  |  | 1. The organization has established procedures for handling the media and insurance-related issues. |  |  |  |
|  |  | 1. There are defined accident investigation responsibilities within the organization. |  |  |  |
|  |  | 1. The requirement for preservation of evidence, securing the affected area, and mandatory/ governmental reporting is clearly stated. |  |  |  |

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| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. There is emergency preparedness and response training for affected personnel. |  |  |  |
|  |  | 1. 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. |  |  |  |
|  |  | 1. A procedure exists for recording activities during an emergency response. |  |  |  |
|  |  | 1. Emergency response exercises are conducted annually or on a two (2) yearly basis. |  |  |  |
| **C9** |  | **Root Cause Analysis (RCA)** |  |  |  |
|  |  | 1. Considerations for the RCA process |  |  |  |
|  |  | 1. RCA should consider two major areas: |  |  |  |
|  |  | 1. Systems analysis plays an increasingly important role because of the increasing aviation complexity and variety of organization activities, equipment and multicultural environment issues.   Systems analysis emphasizes a harmonized approach to an enterprise, including specific written procedures and planning for all activities, clearly established authority and responsibilities, communications processes, and methods of measuring results, detecting system errors, and preventing recurrence.  This harmonized approach recognizes the wide range of interrelated issues that are potentially associated with a problem in the system. |  |  |  |
|  |  | 1. Human factors analysis begins with the field organization itself where the occurrence happens (flight operations, ground operations, training, maintenance, ATS, etc.)   Each of those organizations: |  |  |  |
|  |  | 1. Defines the environment where staff conducts their tasks. |  |  |  |
|  |  | 1. Defines the policies and procedures that staff must follow and respect |  |  |  |
|  |  | 1. Allocates the resources that staff needs to achieve the safety and production goals. |  |  |  |

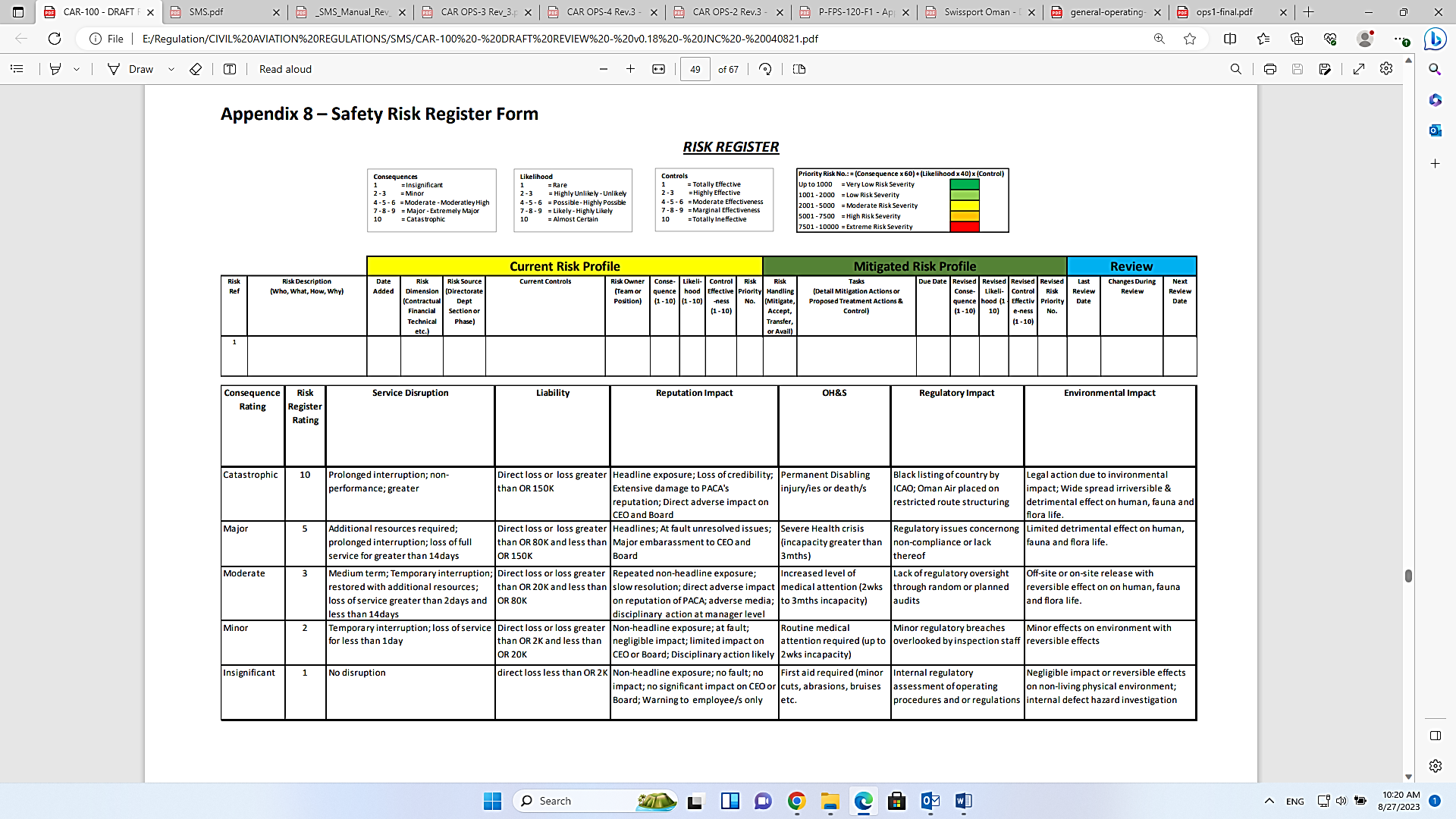
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| **C8** |  | **(Contd.) Example of SMS Manual Content** | **Applicant’s Manual**  **Reference** | **S/ US**  **N/A** | **Comments** |
|  |  | 1. Within the field organization, human factors analysis looks at how their staffs communicate and perform in the work environment and then seeks to incorporate that knowledge into the design of equipment, processes, and organizations.   This enhances safety and maximizes the human contribution, partly by designing systems to anticipate the inevitability of human error |  |  |  |
|  |  | The human factors discipline addresses a wider range of issues affecting how people interface with technology and the operational system; how people learn about new or changed equipment, technology, and documentation; and how people adapt to the general workplace environment. |  |  |  |
|  |  | 1. Any organization should be aware that knowledge gained from “human factors” can help to avoid operational staff errors, ensure that individuals’ initial skill sets match task requirements, ensure that individuals maintain and improve their skills, and enhance the work environment.   The CAA expects that any RCA considers “human factors” as a part of the investigation of individual events, by any personnel designated to respond to safety related occurrences. Otherwise, data reviewed in a quality assurance process could be incomplete. |  |  |  |
|  |  | 1. A proper implementation of RCA, need a suitable and sustainable “Just Culture” environment, which should discourage the temptation to quick fixes by blaming operation]al and looking for corrective actions on unrealistic and unachievable human performance. |  |  |  |

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|  |  | 1. **RCA Analysis** |  |  |

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| **C10** |  | **(Contd.) Example of SMS Manual Content** | **Comments** |

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| C10 |  | **Example of the Bow Tie Model** |  |
|  | Appendix 10 | Definitions related to the Bowtie Model: |  |
|  | 1. **Threats:** A possible direct cause that will potentially release a hazard by producing a top event. |  |
|  | 1. **Consequences:** A potential event resulting from the release of a Hazard, which directly results in loss or damage |  |
|  | 1. **Top Event:** A point in time which describes the release or loss of control over a Hazard (the undesired system state). |  |
|  | 1. **Hazard**: The condition, object or activity with the potential of causing injuries to personnel, damage to equipment or structures, loss of material or reduction of ability to perform a prescribed function. |  |
|  | 1. **Escalation Factors**: A condition that leads to increased risk by defeating or reducing the effectiveness of controls (a control decay mechanism). |  |
|  | 1. **Escalation Factor Control**: A control that manages the conditions which reduce the effectiveness of other controls |  |
|  | 1. **Threat Barrier:** Measures that are considered to reduce the likelihood of the top event to occur. |  |
|  | 1. **Recovery Measure:** Measures that are considered to reduce the likelihood of the top event developing into a consequence as well as mitigating the severity of the consequence. |  |
|  | **9**. |  |

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| [Definitions used in the checklist – maturity levels](#Definitions1) | |
| Present | There is evidence that the relevant item is documented within the organization’s Management System Documentation. |
| Suitable | The relevant item is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity. |
| Operating | There is evidence that the relevant item is in use and an output is being produced. |
| Effective | There is evidence that the relevant item is achieving the desired outcome and has a positive safety impact. |



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| **Applicant Compliance Statement** | | | |
| I hereby declare that the statement of compliance filled in accordance with the relevant CAR as appropriate, with notifying the differences and inapplicability if any, | | | |
| **Organization Name** | | | |
|  | | | |
| **Filled by** | **Position** | **Signature:** | **Date:** |
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| **FOR CAA USE ONLY** | | | |
| **Title** | **Name of CAA Inspector** | **Signature** | **Date:** |
| **FOI** |  |  |  |
| **AWI** |  |  |  |
| **GOI/DGI** |  |  |  |
| **CSI** |  |  |  |

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| **Review No:** | **D. Results** | **Approved** | **Not Approved** |
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| **Chief Operations Section (COS) Name** | **Signature** | **Date:** |
|  |  |  |