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

accountabilities in regards to all safety management processes, decisions and actions?		
Component 1, Safety Management Plan – Element 1.4, Communication		
Are there communication processes in place within the organization that permit the safety management system to function effectively?		
Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the organization?		
Is information established and maintained in a suitable medium that provides direction in related documents?		

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

Component 2, Documentation – Element 2.3, Records Management		
Does the organization have a records system that ensures the generation and retention of all records necessary to document and support operational requirements, and is in accordance with applicable regulatory requirements?		
Does the system provide the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?		

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

and root causes?		
Are corrective and preventative actions generated in response to event investigation and analysis?		

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

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