

## SMS AUDIT CHECKLIST

<b>AUDIT REPORT NO</b>		<b>AUDIT START DATE</b>	
<b>AUDIT AREA</b>		<b>AUDIT END DATE</b>	
<b>AUDITOR(S)</b>	1. 2. 3.	<b>AUDITEE(S)</b>	1. 2. 3.

NO.	REQUIREMENTS	REG. REF.	COMPLIANCE			REMARKS / OBJECTIVE EVIDENCES
			Y	N	NA	
	<b>SMS FRAMEWORK</b>					
1.	Safety Policy and Objectives – Management Commitment	CAD 19 Para 3.2.1				
a)	Has the organisation defined its safety policy in accordance with international and national requirements?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b)	Does the safety policy reflect organizational commitment regarding safety, including the promotion of a positive safety culture?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c)	Does the safety policy include a clear statement about the provision of the necessary resources for the implementation of the safety policy?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d)	Does the safety policy include safety reporting procedures?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e)	Does the safety policy clearly indicate which types of behaviours are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply?					
f)	Does the safety policy be signed by the accountable executive of the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
g)	Does the safety policy be communicated, with visible endorsement, throughout the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

h)	Does the safety policy be periodically reviewed to ensure it remains relevant and appropriate to the service provider?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Policy and Objectives – Safety Accountability & Responsibilities	CAD 19 para 3.2.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation identified the accountable executive who, irrespective of other functions, is accountable on behalf of the organization for the implementation and maintenance of an effective SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b)	Has the organisation clearly defined lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c)	Has the organisation identified the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d)	Has the organisation documented and communicated safety accountability, responsibilities and authorities throughout the organization?					
e)	Has the organisation defined the levels of management with authority to make decisions regarding safety risk tolerability?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Policy and Objectives – Appointment of Key Personnel	CAD 19 para 3.2.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation appointed a safety manager who is responsible for the implementation and maintenance of the SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Policy and Objectives – Coordination of Safety Response Planning	CAD 19 para 3.2.4				
a)	Has the organisation established and maintained an emergency response plan for accidents and incidents in aircraft		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	<p>operations and other aviation emergencies?</p> <p>Has the organisation ensured that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services?</p>				
	<p>Safety Policy and Objectives – SMS Documentation</p>	<p>CAD 19 para 3.2.5</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a)	<p>Has the organisation developed and maintained an SMS manual that describes it's:</p> <p>a) safety policy and objectives?            b) SMS requirements?            c) SMS processes and procedures?            d) accountability, responsibilities and authorities for SMS processes and procedures?</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b)	<p>Has the organisation developed and maintained SMS operational records as part of its SMS documentation?</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>Safety Risk Management – Hazard Identification</p>	<p>CAD 19 para 3.3.1</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a)	<p>Has the organisation developed and maintained a process to identify hazards associated with its aviation products or services?</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b)	<p>Does the hazard identification base on a combination of reactive and proactive methods?</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>Safety Risk Management – Safety Reporting System</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a)	<p>Has the organisation developed and maintained a Safety Reporting System?</p>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<p>Does the system consist of and addresses the following?</p> <p>a) Voluntary and mandatory reporting?            b) To provide appropriate protections to encourage reporting?            c) Confidentiality of voluntary safety reporters?</p>				

	d) Has a custodian of voluntary safety reports? e) De-identification and archiving process?					
	Safety Risk Management – Service Provider Safety Investigation		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation developed an investigation process for safety occurrences, hazards and report findings?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Risk Management – Safety Risk Assessment & Mitigation	CAD 19 para 3.3.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation developed and maintained a process that ensures analysis, assessment and control of the safety risks associated with identified hazards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b)	Has the organisation developed a procedure for periodic review of completed risk mitigation records?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Assurance – Safety Performance Monitoring & Measurement	CAD 19 para 3.4.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation developed and maintained the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b)	Has the organisation verified their safety performance in reference to the safety performance indicators (SPIs) and safety performance targets (SPTs) of the SMS in support of their safety objectives?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c)	Has the organisation provided the CAAM with the actual SPIs, safety performance target and alert level every month?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d)	If the organisation fails to achieve the setting of alert level or target level as agreed between CAAM and them, has the organisation immediately reported to CAAM and submitted a corrective plan?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e)	Has the organisation periodically reviewed each SPIs, alert levels and target levels to		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	ensure they remain effective, relevant and appropriate.					
f)	Has the organisation made necessary adjustments to previously agreed SPIs, target or alert settings and substantiated it by appropriate safety data documented as appropriate?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
g)	Does the organisation monitor safety performance with reference to their SPTs and SPIs?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Assurance – Management of Change	CAD 19 para 3.4.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation developed and maintained a process to identify changes which may affect the level of safety risk associated with its aviation products or services?  Has the organisation identified and managed the safety risks that may arise from those changes?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Assurance – Continuous Improvement of SMS	CAD 19 para 3.4.3				
a)	Has the organisation monitored and assessed its SMS processes to maintain or continuously improve the overall effectiveness of the SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Promotion – Training and Education	CAD 19 para 3.5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation developed and maintained a safety training programme that ensures that personnel are trained and competent to perform their SMS duties?  a) Has the accountable manager undergone appropriate SMS familiarization, briefing or training? b) Has the manager responsible for SMS administration undergone an appropriate SMS training course? c) Have the personnel(s) directly involved in the SMS (safety committee/SAG members) undergone appropriate SMS training or familiarization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

b)	Does the scope of the safety training programme appropriate to each individual's involvement in the SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c)	Does the safety training and education curricula consist of the following:  a) organizational safety policies, goals and objectives? b) organizational safety roles and responsibilities related to safety? c) basic safety risk management principles? d) safety reporting systems? e) the organization's SMS processes and procedures? f) human factors?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Safety Promotion – Safety Communication	CAD 19 para 3.5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
a)	Has the organisation developed and maintained a formal means for safety communication that:  a) ensures personnel are aware of the SMS to a degree commensurate with their positions? b) conveys safety-critical information? c) explains why particular actions are taken to improve safety? d) explains why safety procedures are introduced or changed?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

