



SMS assessment checklist

Organization (Service provider): _____

NOTE: The checklist has been developed to be used for assessing an organization's SMS. It should be used for initial assessment or ongoing surveillance and oversight. This checklist evaluates the compliance and effectiveness of the SMS (Safety Management Systems based on the ICAO SMS Framework). Please refer to the guidance material how to complete this check list. Guidance material is placed at the end of this form after check-list.

1 SAFETY POLICY AND OBJECTIVES								Acceptabile [Y]es/[N]o
1.1 MANAGEMENT COMMITMENT AND RESPONSIBILITY								
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.		
1	1.1.1	There is a safety policy that includes a commitment towards achieving the highest safety standards signed by the Accountable Executive.						
2	1.1.2	The Accountable Executive and the senior management team promote and demonstrate their commitment to the Safety Policy through active and visible participation in the safety management system.						
3	1.1.3	The safety policy is communicated to all personnel with the intent that they are made aware of their individual contributions and obligations with regard to Safety.						



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1 SAFETY POLICY AND OBJECTIVES								Acceptabile [Y]es/[N]o
1.1 MANAGEMENT COMMITMENT AND RESPONSIBILITY								
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.		
4	1.1.4	Is the safety policy statement reviewed and revised at suitable intervals						
5	1.1.5	The safety policy includes a commitment to observe all applicable legal requirements, standards and best practice providing appropriate resources and defining safety as a primary responsibility of all Managers.						
6	1.1.6	The safety policy actively encourages safety reporting.						
7	1.1.7	The safety policy states the organization's intentions, management principles and commitment to continuous improvement in the safety level.						
8	1.1.8	There is commitment of the organization's senior management to the development and ongoing improvement of the safety management system.						



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1.1 MANAGEMENT COMMITMENT AND RESPONSIBILITY								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
9	1.1.9	A disciplinary policy has been defined that clearly identifies the conditions under which punitive action would be considered (e.g. illegal activity, negligence or willful misconduct).						
10	1.1.10	There is evidence of decision making, actions and behaviors that reflect a positive safety culture.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
11	1.1.11	Personnel at all levels are involved in the establishment and maintenance of the safety management system.						
12	1.1.12	The safety policy is clearly visible, or available, to all personnel and is included in key documentation and communication media.						
13	1.1.13	The organization regularly verifies that personnel throughout the organization are familiar with and have understood the policy and its message.						



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1.1 MANAGEMENT COMMITMENT AND RESPONSIBILITY								
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.		
14	1.1.14	The Accountable Executive demonstrates their commitment by attending training and /or safety conferences.						
15	1.1.15	Senior management has adopted an integrated safety planning process with published and measurable safety targets and objectives.						
1.1 SUMMARY COMMENTS								



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1 SAFETY POLICY AND OBJECTIVES								Acceptabile [Y]es/[N]o
1.2 SAFETY ACCOUNTABILITIES								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
16	1.2.1	An Accountable Executive has been appointed with full responsibility and ultimate accountability for the SMS to ensure it is properly implemented and performing effectively.						
17	1.2.2	The Accountable Executive has control of the financial and human resources required for the proper implementation of an effective SMS.						
18	1.2.3	The Accountable Executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organization.						
19	1.2.4	Safety accountabilities, authorities and responsibilities are defined and documented throughout the organization.						



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1.2 SAFETY ACCOUNTABILITIES								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
20	1.2.5	Personnel at all levels are aware of and understand their safety accountabilities, authorities and responsibilities regarding all safety management processes, decisions and actions.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
21	1.2.6	There is evidence of personnel involvement and consultation in the establishment and operation of the SMS.						
22	1.2.7	There is evidence that safety management system principles have penetrated all levels of the organization and safety is part of the everyday language.						
23	1.2.8	Safety accountabilities throughout the organization are clearly documented and individuals sign for their accountabilities.						



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1.2 SAFETY ACCOUNTABILITIES								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
24	1.2.9	Key safety activities are clearly described in senior management duties and responsibilities and are incorporated into personnel performance targets.						
1.2 SUMMARY COMMENTS								



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1.3 APPOINTMENT OF KEY PERSONNEL								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
25	1.3.1	A competent person with the appropriate knowledge, skills and experience has been nominated to manage the operation of the SMS.						
26	1.3.2	The person managing the operation of the SMS fulfils the required job functions and responsibilities.						
27	1.3.3	There is a direct reporting line between the Safety Manager and the Accountable Executive.						
28	1.3.4	The organization has allocated sufficient resources to manage the SMS including manpower for safety investigation, analysis, auditing and promotion.						



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1.3 APPOINTMENT OF KEY PERSONNEL								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
29	1.3.5	Personnel in key safety roles are kept current through additional training and attendance at conferences and seminars.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
30	1.3.6	The organization has established a structured safety committee or equivalent, appropriate for the size and complexity of the organization, including a full range of senior management representatives.						
31	1.3.7	The Safety Committee or its equivalent monitors the safety performance of the operations and the effectiveness of the SMS and is normally chaired by the Accountable Executive.						
32	1.3.8	Safety committees are focused on safety issues and						



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1.3 APPOINTMENT OF KEY PERSONNEL								
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.		
		all attendees fully participate.						
1.3 SUMMARY COMMENTS								



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1.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING								
INDICATORS OF COMPLIANCE + PERFORMANCE			P	S	O	E	How is it achieved?	Verification, Samples. Notes.
33	1.4.1	An emergency response plan (ERP) that reflects the size, nature and complexity of the operation has been developed and defines the procedures, roles, responsibilities and actions of the various organizations and key personnel.						
34	1.4.2	Key personnel in an emergency have easy access to the ERP at all times.						
35	1.4.3	The organization has a process to distribute the ERP procedures and to communicate the content to all personnel.						
36	1.4.5	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.						
BEST PRACTICE INDICATORS			P	S	O	E	How is it achieved?	Verification, Samples. Notes.
37	1.4.6	The organization has Memorandums of						



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1.4 CO-ORDINATION OF EMERGENCY RESPONSE PLANNING							
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
Understanding (MoUs) or agreements with other organizations for mutual aid and the provision of emergency services.							
1.4 SUMMARY COMMENTS							



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1.5 SMS DOCUMENTATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
38	1.5.1	There is documentation that describes the safety management system and the interrelationships between all of its elements.						
39	1.5.2	SMS documentation is regularly reviewed and updated with appropriate version control in place.						
40	1.5.3	SMS documentation is readily available to all personnel.						
41	1.5.4	The SMS documentation details and references the means for the storage of other SMS related records.						



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	BEST PRACTICE INDICATORS	P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
42	1.5.5	Safety management processes are integrated into existing organizational manuals.						
43	1.5.6	The organization has analyzed and uses the most appropriate medium for the delivery of documentation at both the corporate and operational levels.						

1.5 SUMMARY COMMENTS



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2 SAFETY RISK MANAGEMENT								Acceptabile [Y]es/[N]o
2.1 HAZARD IDENTIFICATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
44	2.1.1	The organization has a reporting system to captures errors, hazards and near misses that is simple to use and accessible to all personnel.						
45	2.1.2	The organization has proactively identified all the major hazards and assessed the risks related to its current activities.						
46	2.1.3	The safety reporting system provides feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organization.						
47	2.1.4	Safety investigations are carried out to identify underlying causes and potential hazards for existing and future operations.						
48	2.1.5.	Safety reports are acted on in a timely manner.						
49	2.1.6	Hazard identification is an ongoing process and involves all key personnel and appropriate stakeholders.						



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2.1 HAZARD IDENTIFICATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
50	2.1.7	Personnel responsible for investigating reports are trained in investigation techniques.						
51	2.1.8	Investigations establish causal/contributing factors (why it happened, not just what happened).						
52	2.1.9	Personnel express confidence and trust in the organizations reporting policy and process.						
53	2.1.10	The hazards identified are documented and kept available for future reference.						
54	2.1.11	The organization uses the results of investigation of incidents and accidents as a source for hazard identification in the system.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
55	2.1.12	There is an active reporting system indicated by reporting levels of more than, on average, 1 report per person per year.						
56	2.1.13	Safety Reports include the						



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2.1 HAZARD IDENTIFICATION								
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.		
						reporter's own errors and events that the reporter would not normally report (events where no one was watching).		
57	2.1.14					The reporting system empowers personnel to propose preventative and corrective actions.		
58	2.1.15					There is evidence that the reporting system is actively used throughout the entire organization (in each department and in each location).		
59	2.1.16					The reporting system is available to contracted organizations and customers to make reports.		
60	2.1.17					There is a process in place to analyze reports and hazard logs to look for trends and gain useable management information.		



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2.1 HAZARD IDENTIFICATION							
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
2.1 SUMMARY COMMENTS							



2 SAFETY RISK MANAGEMENT								Acceptabile [Y]es/[N]o
2.2 RISK ASSESSMENT AND MITIGATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
61	2.2.1	There is a structured process for the management of risk that includes the assessment of risk associated with identified hazards, expressed in terms of severity and probability.						
62	2.2.2	There are criteria for evaluating the level of risk the organization is willing to accept.						
63	2.2.3	The organization has risk control strategies that include hazard elimination, risk control, risk avoidance, risk acceptance, risk mitigation, and where applicable an action plan.						
64	2.2.4	Mitigating actions resulting from the risk assessment, including timelines and allocation of responsibilities are documented.						
65	2.2.5	Risk management is routinely applied in decision making processes.						
66	2.2.6	Effective and robust mitigations and controls are						



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2.2 RISK ASSESSMENT AND MITIGATION								
INDICATORS OF COMPLIANCE + PERFORMANCE			P	S	O	E	How is it achieved?	Verification, Samples. Notes.
		implemented.						
67	2.2.7	Risk assessments and risk ratings are appropriately justified.						
68	2.2.8	Senior management has visibility of medium and high risk hazards and their mitigation and controls.						
BEST PRACTICE INDICATORS			P	S	O	E	How is it achieved?	Verification, Samples. Notes.
69	2.2.9	There is evidence that risks are being managed to as low as reasonably practical.						
70	2.2.10	The organization uses its risks management results to develop best practice guidelines that it shares with the industry.						
71	2.2.11	The risk management processes are reviewed and improved on a periodic basis.						



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2.2 RISK ASSESSMENT AND MITIGATION							
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2.2 SUMMARY COMMENTS							



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3 SAFETY ASSURANCE								Acceptabile [Y]es/[N]o
3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT								
	INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
72	3.1.1	Safety objectives have been established.						
73	3.1.2	Safety performance indicators have been defined, promulgated and are being monitored and analyzed for trends.						
74	3.1.3	Risk mitigations and controls are being verified/audited to confirm they are working and effective.						
75	3.1.4	Safety audits are carried out that focus on the safety performance of the organization and its services and assess normal operations.						
76	3.1.5	Safety objectives and performance indicators are reviewed and updated periodically.						
77	3.1.6	Safety objectives and targets are specific, measurable, agreed to, relevant and time-based.						
78	3.1.7	Information obtained from safety assurance and compliance monitoring activities feeds back into the						



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3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
79	3.1.8							
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
80	3.1.9							
81	3.1.10							
82	3.1.11							
83	3.1.12							



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3.1 SAFETY PERFORMANCE MONITORING AND MEASUREMENT								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
84	3.1.13							
3.1 SUMMARY COMMENTS								



3 SAFETY ASSURANCE								Acceptabile [Y]es/[N]o
3.2 THE MANAGEMENT OF CHANGE								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
85	3.2.1	The organization has established a process and conducts formal hazard analyses and risk assessments for major operational changes, major organizational changes and changes in key personnel.						
86	3.2.2	Safety Case/Risk assessments are aviation safety focused.						
87	3.2.3	Key stakeholders are involved in the change management process.						
88	3.2.4	During the change management process previous risk assessments and existing hazards are reviewed for possible effect.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
89	3.2.5	Validation of the safety performance after organizational and operational changes have taken place to assure assumptions remain valid and the change was effective.						



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3.2 THE MANAGEMENT OF CHANGE								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
90	3.2.6	All organizational and operational changes are subject to the change management process.						
91	3.2.7	Safety accountabilities, authorities and responsibilities are reviewed as part of the change.						
3.2 SUMMARY COMMENTS								



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3 SAFETY ASSURANCE								Acceptabile [Y]es/[N]o
3.3 CONTINUOUS IMPROVEMENT OF THE SMS								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
92	3.3.1	The Safety Committee has the necessary authority to make decisions related to the improvement and effectiveness of the SMS.						
93	3.3.2	The SMS is periodically reviewed for improvements in safety performance.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
94	3.3.3	There is evidence of lessons learnt being incorporated into the policy and procedures.						
95	3.3.4	The organization benchmarks its SMS against other organizations and is an active promoter of SMS within the aviation industry.						
96	3.3.5	Best practice is sought and embraced.						
97	3.3.6	Surveys and assessments of organizational culture are						



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3.3 CONTINUOUS IMPROVEMENT OF THE SMS								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
						carried out regularly and acted upon.		
98	3.3.7					For safety related services the organization requires contracted organizations not required by regulations to have an SMS.		
3.3 SUMMARY COMMENTS								



4 SAFETY PROMOTION								Acceptabile [Y]es/[N]o
4.1 TRAINING AND EDUCATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
99	4.1.1	There is a documented process to identify Safety Management training requirements so that personnel are competent to perform their duties.						
100	4.1.2	There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.						
101	4.1.3	There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary.						
102	4.1.4	Training includes initial and recurrent training.						
103	4.1.5	A training record is maintained for all personnel trained.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
104	4.1.5	Training includes human and						



4 SAFETY PROMOTION								Acceptabile [Y]es/[N]o
4.1 TRAINING AND EDUCATION								
INDICATORS OF COMPLIANCE + PERFORMANCE	P	S	O	E	How is it achieved?	Verification, Samples. Notes.		
						organizational factors including non technical skills with the intent of reducing human error.		
105	4.1.7					Training requirements are documented for each area of activity within the organization, including areas where training requirements are not defined by regulations.		
106	4.1.8					A training needs analysis is carried out for all personnel and is regularly reviewed		
107	4.1.9					Training is provided for personnel working for contracted organizations related to the operation.		
108	4.1.10					Personnel have a mechanism to request additional SMS training in relation to their role in SMS.		
109	4.1.11					Management recognizes and uses		



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4.1 TRAINING AND EDUCATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
						informal opportunities to instruct all personnel on safety management.		
110	4.1.12					Training includes attendance at symposiums and industry conferences.		
111	4.1.13					Training exercises and methods for all personnel are kept current to reflect new techniques, technologies, results of investigations, corrective actions and regulatory changes.		
4.1 SUMMARY COMMENTS								



SERVICIUL SMS
FO.AAC.SMS.05 – EVALUAREA IMPLEMENTĂRII SMS.
FO.AAC.SMS.06 – EVALUAREA FUNCȚIONĂRII SMS.

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4 SAFETY PROMOTION								Acceptabile [Y]es/[N]o
4.2 SAFETY COMMUNICATION								
INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
112	4.2.1	Safety plans and strategies are communicated throughout the organization to all personnel.						
113	4.2.2	Significant events and investigation outcomes associated with the organization are communicated to all personnel, including contracted organizations where appropriate.						
BEST PRACTICE INDICATORS		P	S	O	E	How is it achieved?	Verification, Samples. Notes.	
114	4.2.3	There is a safety communication strategy that includes electronic communication, frequent meetings, SMS award systems, SMS bulletins etc.						
115	4.2.4	Significant events and investigation outcomes from external sources are communicated to all personnel including contracted organizations						



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		where appropriate.							
116	4.2.4	The effectiveness of safety communication is routinely assessed and the strategy revised as required.							
117	4.2.5	Safety-related information is proactively shared with other parties.							
	4.2 SUMMARY COMMENTS								



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Total	Întrebări		Rezultatul evaluării (% de răspunsuri "Da").
	Întrebări completate		
	Număr de răspunsuri "Da" "Yes"		
	Număr de răspunsuri "Nu" "No"		
	Număr de răspunsuri "Nu se aplică" "Not applicable"		

Concluzie:

Verificarea a fost efectuată de:	<hr/>	<hr/>	Data:	
	(funcție, N.P.)	(semnătura)		

Acțiunile ulterioare:



Guidance material for the use of the checklist

Background and Purpose

The Tool has been developed by Safety Management International Collaboration Group (SMICG) to be used for assessing an organization's SMS. It can be used for initial assessment or ongoing surveillance and oversight. The Tool is based on a series of indicators that help a CAA assess the effectiveness of an organization's SMS. It requires an interaction with the organization including face to face discussions and interviews with a cross section of people as part of the assessment. It recognizes the difference in oversight methodologies from traditional compliance-based oversight to performance-based oversight that assesses not only compliance but also the effectiveness of the SMS

Initial assessment

The tool may be used as part of an initial assessment and should define the expectations on the individual indicators before a certificate or Approval is issued. For example, an initial assessment could be based on a desk top review of the documentation that focuses on assessing whether the 'indicators for compliance and performance' are present and suitable. Once the desk top review has been satisfied an on-site visit should be carried out to assess whether the indicators are operating and overall effectiveness is achieved. The on-site visit should normally be carried out by a team including a team leader with an appropriate level of competence in SMS and technical specialists to support the assessment. It is important to structure the assessment in a way that allows interaction with a number of people at different levels of the organization to determine how effective aspects are throughout the organization. For example, to determine the extent that the safety policy has been promulgated and understood by staff throughout the organization will require interaction with a cross-section of staff. For small organizations it may be more practical to have a single assessor appropriately trained in SMS and with the technical competencies to assess the organization. Another approach is for the regulated organization to partially complete the tool as a self-assessment, including the 'how it is achieved' box, and submit this to the CAA, who would decide whether it was sufficiently progressed to warrant an on-site visit and then verify and validate the organizations self-assessment.

Ongoing surveillance

For ongoing surveillance CAA may also define expectations for individual indicators. However the check-list has recommended that all individual 'indicators of compliance and performance' should be at least operating and that effectiveness is achieved in all of the elements.

Competencies

The Tool should be used by CAA staff with training and competency in:



- ❖ Safety Management Systems based on the ICAO and EASA SMS Framework
- ❖ Understanding of Quality Management Systems, compliance and auditing
- ❖ Interview techniques
- ❖ Understanding of risk management
- ❖ Appreciation of the difference between compliance and performance
- ❖ Report writing techniques to allow narrative to be used to summarize the assessment.

Using the tool (instructions)

This Tool evaluates the compliance and effectiveness of the SMS through a series of indicators. It is set out using the 12 elements of the ICAO SMS Framework with the Framework definition followed by an effectiveness statement for that element. For each element, a series of ‘indicators for compliance and performance’ is listed followed by a series of ‘indicators of best practice’. Each indicator should be reviewed to determine whether the indicator is present, suitable and operating and effective, using the definitions and guidance set out below, so that the overall effectiveness of the element can be justified and supported. The tool would normally be used by the CAA to record and document the assessment. Alternatively it can be partially completed by the organization to assess itself (“How it is achieved” column) and by the CAA to verify and validate the organization’s assessment (“Verification” column and “Summary comments” box).

Applicability

The evaluation tool can be used to assess any regulated organization. However, due consideration should be given to the size, nature and complexity of an organization in carrying out the assessment and that for smaller organizations a reduced number of indicators may be used as defined by the CAA.

DEFINITIONS USED IN THE TOOL

Present

There is evidence that the ‘indicator’ is clearly visible and is documented within the organization’s SMS Documentation.



Suitable

The indicator is suitable based on the size, nature, complexity of the organization and the inherent risk in the activity, including consideration of the industry sector.

Operating

There is evidence that the indicator is in use and an output is being produced.

Effective

There is evidence that the indicator is effective and achieving the desired outcome.

Evidence

Evidence includes documentation, reports, records of interviews and discussions and is likely to vary for different levels of indicator assessment. For example, for an indicator to be present the evidence is likely to be documented only, whereas for assessing whether it is operating it may involve assessing records as well as face to face discussions with personnel within an organization. 'How it is achieved' should include summary statements and any references to documentation and records.

Verification

The Verification Column should be for the CAA to record any observations, conversations, records and documents sampled.

Summary comments

Once all indicators have been assessed by the CAA, a judgment can be made on whether the overall effectiveness of the ICAO element has been achieved; this should be noted in the summary comments box.

Modifying the Tool

CAA may adapt the terminology and tool to meet its own national requirements but aligning to the SM ICG version may enable mutual recognition across States.



Developing Procedures

Each regulator will need to define procedures around the use of the tool, customised to its own organisational structure and approach to SMS oversight activity.

Complementary SM ICG products

The tool should be used in conjunction with other SM ICG products

The SMS Journey

For most organisations SMS will take time to implement and several years to mature to a level where it is effective. The following diagram shows the different levels of SMS maturity as an organisation implements and develops its SMS and it also shows how the tool is used to assess the indicators against the service provider's SMS maturity. The evaluation tool can be used in stages looking initially for whether the key elements of an SMS are present and suitable. At a later stage the SMS can be assessed for how well it is operating and effective but it also recognised best practice. Service Providers can always strive towards excellence as part of their continuous improvement programs and the tool allows that best practice to be assessed. The Best practice indicators have been determined by the SM ICG membership from their experiences with service providers.

