Lista de verificare a planului de implementare SMS al agentului aeronautic:

Nota: Lista dată a fost elaborată în limba engleză în calitatea ei de limbă oficială O.A.C.I. Descrierea aspectelor și materialul de îndrumare aferent se conține în ediția curentă a O.A.C.I. Doc 9859, AN/474. Lista dată va fi revizuită ori de câte ori va apărea o ediție nouă a documentului O.A.C.I.

	Is the SMS element included into SMS implementation plan	**Answer (Yes or No)**	**Remark**
-Component	**Component 1 — SAFETY POLICY AND OBJECTIVES**		
Element 1.1 — Management commitment and responsibility			
1.1.1	Identify the SMS Accountable Executive		
1.1.2	Establish an SMS implementation team		
1.1.3	Define the scope of the SMS		
1.1.4	Perform gap analysis		
1.1.5	Develop safety policy		
1.1.6	Safety policy signed by accountable executive		
1.1.7	Communicate the safety policy throughout the organization.		
1.1.8	Establish a review schedule for the safety policy to ensure it remains relevant and appropriate to the organization.		
1.1.9	Establish safety objectives for the SMS by developing safety performance standards in terms of: 1) safety performance indicators; 2) safety performance targets and alert levels; and 3) action plans.		
1.1.10	Establish the SMS requirements for subcontractors: 1) establish a procedure to write SMS requirements into the contracting process; and 2) establish the SMS requirements in the bidding documentation.		
1.1.11	Develop/enhance the existing disciplinary procedure/ policy with due consideration of unintentional errors or mistakes from deliberate or gross violations.		
Element 1.2 — Safety accountabilities			
1.2.1	Define safety accountabilities and communicate them throughout the organization.		
1.2.2	Establish the safety action group (SAG).		
1.2.3	Establish the safety/SMS coordination committee.		
1.2.4	Define clear functions for the SAG and the safety/SMS coordination committee.		
1.2.5	Establish lines of communication between the safety services office, the accountable executive, the SAG and the safety/SMS coordination committee.		
1.2.6	Appoint the accountable executive as the chairperson of the safety/SMS coordination committee.		
1.2.7	Develop a schedule of meetings for the safety services office to meet with the safety/SMS coordination committee and SAG as needed.		
Element 1.3 — Appointment of key safety personnel			
1.3.1	Identify the key SMS person (safety/quality function) within the organization who will be responsible for administering the SMS on behalf of the accountable executive.		

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1.3.2	Establish the safety services office.		
Element 1.4 — Coordination of the emergency response planning (ERP)			
1.4.1	Review the outline of the ERP related to the delegation of authority and assignment of emergency responsibilities.		
1.4.2	Establish coordination procedures for action by key personnel during the emergency and the return to normal operations.		
1.4.3	Identify external entities that will interact with the organization during emergency situations.		
1.4.4	Assess the respective ERPs of the external entities.		
1.4.5	Establish coordination between the different ERPs.		
1.4.6	Incorporate information about the coordination between the different ERPs in the organization's SMS documentation.		
Element 1.5 — SMS documentation			
1.5.1	Develop an SMS implementation plan.		
1.5.2	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; 2) establishing an SMS filing system to collect and maintain current records relating to the organization's ongoing SMS processes; 3) 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 SPIs and associated safety objectives; internal SMS audit reports; SMS/safety committee meeting minutes and the SMS implementation plan; 4) maintaining records that will serve as evidence of the SMS operation and activities during internal or external assessment or audit of the SMS.		
Component 2 — SAFETY RISK MANAGEMENT			
Element 2.1 — Hazard identification			
2.1.1	Establish a voluntary hazard reporting procedure.		
2.1.2	Establish a programme/schedule for systematic review of all applicable aviation safety-related processes/equipment that are eligible for the HIRM process.		
2.1.3	Establish a process for prioritization and assignment of identified hazards for risk mitigation.		
2.1.4	Integrate the hazards identified from occurrence investigation reports with the voluntary reporting system.		
2.1.5	Integrate hazard identification and risk management procedures with the subcontractor or customer SMS where applicable.		
2.1.6	If necessary, develop a process for prioritizing collected hazards for risk mitigation based on areas of greater need or concern.		
Element 2.2 — Safety risk assessment and mitigation			
2.2.1	Establish a safety risk management procedure, including its approval and periodic review process.		
2.2.2	Develop and adopt safety risk matrices relevant to the organization's		

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	operational or production processes.		
2.2.3	Include adopted safety risk matrices and associated instructions in the organization's SMS or risk management training material.		
**Component 3 — SAFETY ASSURANCE**		
**Element 3.1 — Safety performance monitoring and measurement**		
3.1.1	Establish an internal occurrence reporting and investigation procedure. This may include mandatory or major defect reports (MDR) where applicable.		
3.1.2	Establish safety data collection, processing and analysis of high-consequence outcomes.		
3.1.3	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.		
3.1.4	Reach an agreement with the State oversight authority on safety performance indicators and safety performance targets.		
3.1.5	Enhance the safety data collection and processing system to include lower-consequence events.		
3.1.6	Establish lower-consequence safety/quality indicators with target/alert level monitoring as appropriate (mature ALoSP).		
3.1.7	Reach an agreement with the State oversight authority on lower-consequence safety performance indicators and safety performance target/alert levels.		
**Element 3.2 — The management of change**		
3.2.1	Establish a formal process for the management of change that considers: 1) the vulnerability of systems and activities; 2) the stability of systems and operational environments; 3) past performance; 4) regulatory, industry and technological changes.		
3.2.3	Ensure that management of change procedures address the impact on existing safety performance and risk mitigation records before implementing new changes.		
3.2.4	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.		
**Element 3.3 — Continuous improvement of the SMS**		
3.3.1	Develop forms for internal evaluations.		
3.3.2	Define an internal audit process.		
3.3.3	Define an external audit process.		
3.3.4	Define a schedule for evaluation of facilities, equipment, documentation and procedures to be completed through audits and surveys.		
3.3.5	Develop documentation relevant to operational safety assurance.		
3.3.6	Establish SMS audits or integrate them into existing internal and external audit programmes.		
3.3.7	Establish other operational SMS review/survey programmes where		

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	appropriate.		
**Component 4 — SAFETY PROMOTION**		
Element 4.1 — Training and education.			
4.1.1	Conduct a training needs analysis.		
4.1.2	Organize and set up schedules for appropriate training of all staff according to their individual responsibilities and involvement in the SMS.		
4.1.3	Develop safety training considering: 1) initial (general safety) job-specific training; and 2) recurrent training.		
4.1.4	Identify the costs associated with training.		
4.1.5	Develop a validation process that measures the effectiveness of training.		
4.1.6	Establish a safety training records system.		
4.1.7	Complete an SMS training programme for all relevant personnel.		
Element 4.2 — Safety communication			
4.2.1	Initiate a mechanism or medium for safety communication.		
4.2.2	Establish a means to convey safety information through any of: 1) safety newsletters, notices and bulletins; 2) websites; 3) email.		
4.2.3	Establish mechanisms to promote safety information sharing and exchange internally and externally.		

Concluzie:				
Verificarea a fost efectuata de:	_____ (functie, N.P.)	_____ (semnatura)	Data:	
Actiunile ulterioare:				