



SERVICIUL SIGURANȚA ZBORURILOR ȘI CĂUTARE-SALVARE
FO.AAC.SMS.04 LISTA DE VERIFICARE A MANUALULUI SMS (MSMS) AL
AGENTULUI AERONAUTIC
EVALUAREA MANUALULUI SMS

Ediția: 01
Revizia:02
18DEC14

Lista de verificare a manualului SMS (MSMS) 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.

		<i>Aspect to be analysed or question to be answered</i>	<i>Answer (Yes or No)</i>	<i>Remark</i>
0. GENERAL				
0.1 SMS Manual format				
1.	0.1.1	Is SMS manual formatted in the following manner: a) section heading; b) objective; c) criteria; d) cross-reference documents.		
0.2 SMS Manual content				
2.	0.2.1	Are the following sections included in the manual:		
3.	0.2.1.1	Document control;		
4.	0.2.1.2	SMS regulatory requirements;		
5.	0.2.1.3	Scope and integration of the safety management system;		
6.	0.2.1.4	Safety policy;		
7.	0.2.1.5	Safety objectives;		
8.	0.2.1.6	Safety accountabilities and key personnel;		
9.	0.2.1.7	Emergency/contingency response plan.		
10.	0.2.1.8	SMS records management;		
11.	0.2.1.9	Safety reporting and remedial actions;		
12.	0.2.1.10	Hazard identification and risk assessment;		
13.	0.2.1.11	Safety performance monitoring and measurement;		
14.	0.2.1.12	Safety-related investigations and remedial actions;		
15.	0.2.1.13	Management of change;		
16.	0.2.1.14	Continuous improvement and SMS audit;		
17.	0.2.1.15	Safety training and communication;		
0.3 Document control				
18.	0.3.1	Is it indicated how SMS Manual (SMSM) is kept (hard copy or controlled electronic media)?		
19.	0.3.2	Is distribution list present?		
20.	0.3.3	Is correlation between the SMS manual and other existing manuals such as the maintenance control manual (MCM), the operations manual, etc. properly described and acceptable?		
21.	0.3.4	Is process for periodic review of the manual and its related forms/documents to ensure their continuing suitability, adequacy and effectiveness properly described and acceptable?		
22.	0.3.5	Is manual's administration, approval and regulatory acceptance process properly described and acceptable?		
0.4 SMS regulatory requirements				
23.	0.4.1	Are current SMS regulations/standards spelled?		
24.	0.4.2	Are compliance timeframe and advisory material references included, as applicable?		
25.	0.4.3	Is significance and implications of the regulations to the organization properly explained?		
26.	0.4.4	Is correlation with other safety-related requirements or standards established where appropriate?		



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0.5 Scope and integration of the safety management system				
27.	0.5.1	Is nature of the organization's aviation business and its position or role within the industry as a whole properly described and acceptable?		
28.	0.5.2	Are major areas, departments, workshops and facilities of the organization within which the SMS will apply identified?		
29.	0.5.3	Are major processes, operations and equipment which are deemed eligible for the organization's HIRM programme, especially those which are pertinent to aviation safety identified?		
30.	0.5.4	Is integration and associated accountabilities defined and documented when SMS is expected to be operated or administered across a group of interlinked organizations or contractors?		
31.	0.5.5	Is SMS relevant integration with other related control/management systems within the organization, such as QMS, OSHE and SeMS, identified?		
Component 1 — SAFETY POLICY AND OBJECTIVES				
Element 1.1 — Management commitment and responsibility				
32.	1.1.1	Is safety policy included in manual or reference mentioned?		
33.	1.1.2	Is safety policy appropriate to the size and complexity of the organization?		
34.	1.1.3	Does the safety policy states the organization's intentions, management principles and commitment to continuous improvement in aviation safety?		
35.	1.1.4	Does the safety policy include a clear statement about the provision of the necessary resources for the implementation of the safety policy?		
36.	1.1.5	Does the safety policy include the safety reporting procedures?		
37.	1.1.6	Does the safety policy clearly indicate which types of operational behaviors are unacceptable?		
38.	1.1.7	Does the safety policy include the conditions under which disciplinary action would not apply?		
39.	1.1.8	Is the safety policy approved and signed by the Accountable Executive?		
40.	1.1.9	Is safety policy promoted by the accountable executive and all other managers?		
41.	1.1.10	Are personnel at all levels involved in the establishment and maintenance of the safety management system?		
42.	1.1.11	Is mentioned that the safety policy is communicated, with visible endorsement, throughout the organization?		
43.	1.1.12	Is mentioned that the safety policy is periodically reviewed to ensure it remains relevant and appropriate to the organization?		
44.	1.1.13	Are safety objectives have been established?		
45.	1.1.14	Are safety objectives expressed as a top-level statement describing the organization's commitment to achieving safety?		
46.	1.1.15	Is formal process to develop a coherent set of safety objectives properly described and acceptable?		
47.	1.1.16	Are the safety objectives linked to the safety performance indicators, safety performance targets and action plans?		
48.	1.1.17	Are the safety objectives publication and distribution procedure properly described and acceptable?		
49.	1.1.18	Are resources have been allocated for achieving the objectives?		
Element 1.2 — Safety accountabilities.				
50.	1.2.1	Is an Accountable Executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organization, for the implementation and maintenance of the SMS identified and responsibility and accountability properly described and acceptable?		
51.	1.2.2	Is mentioned that the Accountable Executive have responsibility for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organization?		



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52.	1.2.3	Is mentioned that the Accountable Executive have full control of the financial resources required for the operations authorized to be conducted under the operations certificate?		
53.	1.2.4	Is mentioned that the Accountable Executive have full control of the human resources required for the operations authorized to be conducted under the operations certificate?		
54.	1.2.5	Is mentioned that the Accountable Executive have direct responsibility for the conduct of the organization's affairs?		
55.	1.2.6	Is mentioned that the Accountable Executive have final authority over operations authorized to be conducted under the operations certificate?		
56.	1.2.7	Are the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS identified, properly described and acceptable?		
57.	1.2.8	Is it described how the safety responsibilities, accountabilities and authorities are documented and communicated throughout the organization? Is it acceptable?		
58.	1.2.9	Is an SMS organizational accountabilities diagram available?		
59.	1.2.10	Has the organization included a definition of the levels of management with authority to make decisions regarding safety risk tolerability?		
Element 1.3 — Appointment of key safety personnel				
60.	1.3.1	Has the organization appointed a qualified person to manage and oversee the day-to-day operation of the SMS?		
61.	1.3.2	Are qualifications properly described and acceptable?		
62.	1.3.3	Are job functions and responsibilities for the person overseeing the operation of the SMS properly described and acceptable?		
63.	1.3.4	Is appointment of the appropriate safety office, safety committee or safety action groups properly described and acceptable?		
Element 1.4 — Coordination of emergency response planning				
<i>Notă: Evaluarea ERP se va face utilizând lista de verificare respectivă. Manualul SMS va fi acceptat doar în cazul când în urma evaluării ERP nu s-au constatat deficiențe.</i>				
64.	1.4.1	Is the emergency response/contingency plan appropriate to the size, nature and complexity of the organization properly described and acceptable?		
Element 1.5 — SMS documentation				
65.	1.5.1	Is the organization's SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS properly described and acceptable?		
66.	1.5.2	Has the organization developed and does it maintain SMS documentation in paper or electronic form?		
67.	1.5.3	Does the records to be kept include:		
68.	1.5.3.1	hazard reports		
69.	1.5.3.2	risk assessment reports		
70.	1.5.3.3	safety action group/safety meeting notes		
71.	1.5.3.4	safety performance indicator charts		
72.	1.5.3.5	SMS audit plans & reports		
73.	1.5.3.6	SMS training plans & records		
74.	1.5.4	Is the records traceability and accessibility assurance procedure (s) properly described and acceptable?		
75.	1.5.5	Are control processes necessary to ensure appropriate protection, archiving, retention time and disposition of records properly described and acceptable?		
Component 2 — SAFETY RISK MANAGEMENT				



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Element 2.1 — Hazard identification				
76.	2.1.1	Is a formal safety data collection and processing system (SDCPS) for effectively collecting information about hazards in operations properly described and acceptable?		
77.	2.1.2	Does the organization SDCPS description include a combination of reactive (MOR, accident/incident reports, etc.), proactive and predictive methods (hazard reports) of safety data collection?		
78.	2.1.3	Are reactive processes that provide for the capture of information relevant to safety and risk management properly described and acceptable?		
79.	2.1.4	Is a distinction 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?		
80.	2.1.5	Is the developed training relevant to reactive methods of safety data collection properly described and acceptable?		
81.	2.1.6	Is the developed communication relevant to reactive methods of safety data collection properly described and acceptable?		
82.	2.1.7	Is described reactive reporting simple, accessible and commensurate with the size of the service provider?		
83.	2.1.8	Are reports reviews at the appropriate level of management properly described and acceptable?		
84.	2.1.9	Is feedback process to notify contributors that their reports have been received and to share the results of the analysis properly described and acceptable?		
85.	2.1.10	Are proactive processes that actively look for the identification of safety risks through the analysis of the organization's activities properly described and acceptable?		
86.	2.1.11	Is training relevant to proactive methods of safety data collection properly described and acceptable?		
87.	2.1.12	Is developed communication relevant to proactive methods of safety data collection properly described and acceptable?		
88.	2.1.13	Is described proactive reporting simple, accessible and commensurate with the size of the service provider?		
89.	2.1.14	Are predictive processes that provide the capture of system performance as it happens in real-time normal operations properly described and acceptable?		
90.	2.1.15	Is training relevant to predictive methods of safety data collection properly described and acceptable?		
91.	2.1.16	Is developed communication relevant to predictive methods of safety data collection properly described and acceptable?		
92.	2.1.17	Is the predictive safety data capture process commensurate with the size of the service provider?		
93.	2.1.18	Is voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data protection as applicable properly described and acceptable?		
Element 2.2 — Safety risk assessment and mitigation				
94.	2.2.1	Is developed and maintained formal process that ensures analysis, assessment and control of the safety risks in the organization operations properly described and acceptable?		
95.	2.2.2	Does the organization SMS documentation clearly articulate the relationship between hazards, consequences and safety risks?		
96.	2.2.3	Is process for the analysis of the safety risks associated with the consequences of identified hazards, expressed in terms of probability and severity of occurrence properly described and acceptable?		
97.	2.2.4	Are criteria for assessing safety risks and establishing safety risk tolerability, i.e. the acceptable level of safety risk the organization is willing to accept properly described and acceptable?		



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98.	2.2.5	Are safety risk mitigation strategies that include corrective/preventive action plans to prevent recurrence of reported occurrences and deficiencies properly described and acceptable?		
99.	2.2.6	Is procedure for utilizing worksheets, forms or software appropriate to the complexity of the organization and operations involved during the risk assessment process properly described and acceptable?		
100.	2.2.7	Is procedure for approving by the appropriate level of management of the completed safety assessments properly described and acceptable?		
101.	2.2.8	Is process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed properly described and acceptable?		
102.	2.2.9	Is process for periodic review of completed safety assessments and documenting their outcomes properly described and acceptable?		
Component 3 — SAFETY ASSURANCE				
Element 3.1 — Safety performance monitoring and measurement				
103.	3.1.1	Is internal process to verify the safety performance of the organization and to validate the effectiveness of safety risks controls properly described and acceptable?		
104.	3.1.2	Are the following tools included in those processes?		
105.	3.1.2.1	Safety reporting systems		
106.	3.1.2.2	Safety studies		
107.	3.1.2.3	Safety reviews		
108.	3.1.2.4	Safety audits		
109.	3.1.2.5	Safety surveys		
110.	3.1.2.6	Internal safety investigations		
111.	3.1.3	Is process to develop and maintain a set of safety performance indicators (SPI) and their associated performance targets properly described and acceptable?		
112.	3.1.4	Is correlation establishment process between the SPIs and the organization's safety objectives where applicable properly described and acceptable?		
113.	3.1.5	Is process of regulatory acceptance of the SPIs properly described and acceptable?		
114.	3.1.6	Is the safety performance of the organization verification in reference to the safety performance indicators and safety performance targets of the SMS including remedial action procedure whenever unacceptable or abnormal trends are triggered properly described and acceptable?		
115.	3.1.7	Is safety reports review at the appropriate level of management procedure properly described and acceptable?		
116.	3.1.8	Are procedures in place for the conduct of internal investigations properly described and acceptable?		
117.	3.1.9	Is system to monitor the internal reporting process and the associated corrective actions properly described and acceptable?		
118.	3.1.10	Is process of the Dissemination of completed investigation reports internally as well as to the CAA as applicable properly described and acceptable?		
119.	3.1.11	Is procedure on disciplinary inquiry and actions associated with investigation report outcomes properly described and acceptable?		
120.	3.1.12	Are conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or willful misconduct) clearly defined?		
121.	3.1.13	Is process to ensure that investigations include identification of active failures as well as contributing factors and hazards properly described and acceptable?		



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122.	3.1.14	Does 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?		
123.	3.1.15	Is audit function with the independence and authority required to carry out effective internal evaluations properly described and acceptable?		
124.	3.1.16	Does the audit system cover all functions, activities and organizations within the service provider?		
125.	3.1.17	Are selection/training processes to ensure the objectivity and competence of auditors as well as the impartiality of the audit process properly described and acceptable?		
126.	3.1.18	Is procedure for reporting audit results and maintaining records properly described and acceptable?		
127.	3.1.19	Is procedure outlining requirements for timely corrective and preventive action in response to audit results properly described and acceptable?		
128.	3.1.20	Is procedure to record verification of action(s) taken and the reporting of verification results properly described and acceptable?		
129.	3.1.21	Is process in place to monitor and analyze trends properly described and acceptable?		
Element 3.2 — The management of change				
130.	3.2.1	Is developed and maintained formal process to identify changes within the organization which may affect established processes and services properly described and acceptable?		
131.	3.2.2	Is formal process for the management of change analyzing changes to operations or key personnel for safety risks?		
132.	3.2.3	Is establishing process for arrangements to ensure safety performance prior to implementing changes properly described and acceptable?		
133.	3.2.4	Are procedures for review of existing safety assessments whenever there are changes to the associated process or equipment properly described and acceptable?		
134.	3.2.5	Is established process to eliminate or modify safety risk controls that are no longer needed due to changes in the operational environment properly described and acceptable?		
Element 3.3 — Continuous improvement of the SMS				
135.	3.3.1	Is developed and maintained process to identify the causes of substandard performance of the SMS properly described and acceptable?		
136.	3.3.2	Is established mechanism(s) to determine the implications of substandard performance of the SMS on operations properly described and acceptable?		
137.	3.3.3	Is established mechanism(s) to eliminate or mitigate the causes of substandard performance of the SMS properly described and acceptable?		
138.	3.3.4	Is process for the proactive evaluation of facilities, equipment, documentation and procedures (through audits and surveys, etc.) properly described and acceptable?		
139.	3.3.5	Is process for the proactive evaluation of an individual's performance, to verify the fulfillment of that individual's safety responsibilities properly described and acceptable?		
Component 4 — SAFETY PROMOTION				
Element 4.1 — Training and education				
140.	4.1.1	Is process to identify training requirements so that personnel are trained and competent to perform their SMS duties properly described and acceptable?		
141.	4.1.2	Are training syllabus, eligibility and requirements properly documented?		
142.	4.1.3	Is the safety training appropriate to the individual's involvement in the SMS?		
143.	4.1.4	Is SMS awareness incorporated into the employment or indoctrination programme?		
144.	4.1.5	Does training includes initial, recurrent and update training, where applicable?		
145.	4.1.5	Is there emergency response/contingency training for affected personnel?		



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146.	4.1.6	Is process that measures the effectiveness of training properly described and acceptable?		
147.	4.1.7	Is procedure for keeping training records properly described and acceptable?		
Element 4.2 — Safety communication				
148.	4.2.1	Are communication processes in place within the organization that permit the safety management system to function effectively properly described and acceptable?		
149.	4.2.2	Are this communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the service provider?		
150.	4.2.3	Is safety-critical information establishing and maintenance in a suitable medium that provides direction regarding relevant SMS documents process properly described and acceptable?		
151.	4.2.4	Are safety-critical information dissemination throughout the organization and the effectiveness of safety communication monitoring procedures properly described and acceptable?		
152.	4.2.5	Is procedure that explains why particular safety actions are taken and why safety procedures are introduced or changed properly described and acceptable?		

Concluzie:				
Verificarea a fost efectuată de:	(funcție, N.P.)	(semnatura)	Data:	
Acțiunile ulterioare:				