



Instructions for Use:

1. Check **C** column if you determine the document or individual item conforms to requirements.
2. Check **N/C** column if you determine that the document or individual line item does not comply (put a marker tab in the manual with a short note opposite the non-complying item).
3. Check **N/Ckd** if the item was not checked. Reasons should be given in remarks column.
4. Check **N/A** column if it is not applicable or you do not have adequate information to make a valid comment.
5. Use the remarks column at the end for overall remarks or observations. For detailed findings inspectors should also use the FSS-GEN-FORM 39: Audit Inspection Report Form. Forward the findings to the Operator and attach a copy to this checklist.
6. For further guidance refer to relevant Volume and Chapters in Inspector Handbook.
7. For further guidance refer to relevant Chapters in Inspector Handbook TGM Volume 4 Part 2
- 8.

EVALUATION OF SAFETY MANAGEMENT MANUAL FSS-GEN-FORM 018			
Operator File Reference	Inspector's Name	Date Programme Submitted	Date/s of Evaluation
Name of Operator/Applicant	Title and Version of Manual	Contact Person and Phone No.	

EVALUATION OF SAFETY MANAGEMENT MANUAL

S/N	DOCUMENT CONTROL PROCESS	
1.	Exterior of binder clearly indicates manual content?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
2.	Copies numbered for controlled issuance?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
3.	Manual distribution list?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
4.	Statement that the manual contains operating instructions which are required to be complied with by all personnel?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
5.	Statement of Compliance	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
6.	Revision instructions adequate?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
7.	List of effective pages provided and correct?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
8.	Table of contents easy to find and use?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
9.	Tabbed as necessary for usability without difficulty?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
10.	Page numbered in chronological sequence (by chapter or single document)?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
11.	Last revision number/date appears on each page?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
12.	Company name (and logo) appears on each page?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
13.	Paragraphs and sub-paragraphs numbered or alphabetized for ease of reference?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
14.	Appendices referenced for ease of use?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks</i>	
	MANUAL CONTENTS CONFORMANCE	
	Compliance and scope of the SMS	
15.	Does the manual address current SMS requirements and guidance material?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
16.	Is there a description of the scope and extent of the organization's aviation-related operations and facilities within which the SMS will apply?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks:</i>	
	Safety policy and objectives	

17.	Does the manual include an appropriate safety policy that addresses the organization's intentions, management principles, and commitment to improving aviation safety during provision of services.	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
18.	Is the policy approved and signed by the accountable manager?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
19.	Are the organisation's safety objectives described?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

Remarks:

Safety accountabilities and responsibilities		
20.	Does the manual include the safety authorities, responsibilities and accountabilities for personnel involved in the SMS?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
21.	Does the accountable manager's role include ensuring that the SMS is properly implemented and performing to requirements in all areas of the organization?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
22.	Is a safety manager or equivalent who is the post holder responsible for the development and implementation of the SMS nominated?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
23.	Does the safety manager have direct access to the accountable manager on all safety matters?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
24.	Is an organizational chart that depicts relationship of the safety office with the other departments included?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
25.	Is there provision for an emergency plan that outlines roles and responsibilities in the event of a major incident, crisis or accident and the coordination procedures with other organisations involved in the emergency?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

Remarks:

Safety risk management		
26.	Does the manual contain procedures that provide for the capture of internal occurrences including accidents, incidents, and other occurrences relevant to the SMS.	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
27.	Is a distinction made between mandatory reports (e.g. accidents, serious incidents, major defects) which are required to be notified to the Authority and other routine occurrence reports?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
28.	Is there a voluntary and confidential hazard/ occurrence reporting system, incorporating appropriate identity/ data protection as applicable?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
29.	Is a hazard identification system described that includes data collection, categorization of hazards/occurrences and the prioritization for a documented safety assessment?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

30.	Is there a description of how the safety assessment process is conducted and how preventive action plans are implemented?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>		
Safety-related investigations and remedial action		
31.	Does the manual include a description of how accidents and incidents are investigated and processed in the organisation as part of the SMS?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
32.	Is dissemination of completed investigation reports internally as well as to the CAA included?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
33.	Is a procedure and conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or wilful misconduct) clearly defined?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>		
Safety Assurance (dependent on maturity of the SMS)		
34.	Is there provision for continuous monitoring and measurement of the safety performance of the organisation?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
35.	Is there a description of the correlation of the safety performance indicators to the organization's safety objectives where applicable, and the process of regulatory acceptance of the indicators, as required.	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
36.	Is the process of monitoring the safety performance of the indicators including remedial action procedure whenever unacceptable or abnormal trends are triggered described?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
37.	Does the manual describe a process for identifying changes as a result of management decisions which may affect the level of safety risks?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
38.	Does the manual include a process for monitoring effectiveness of the SMS to enable continuous improvement of the system?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>		
Safety training and communication		
39.	Is safety training that ensures that personnel are trained and competent to perform their SMS duties addressed?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
40.	Does this include documentation of training syllabus, eligibility and requirements?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
41.	Is SMS awareness incorporated into the employment or indoctrination program of all employees?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

42.	Are the processes/means of formal safety communication described in the manual	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>		
FLIGHT DATA ANALYSIS (for AOC holders operating aircraft of certificated take-off mass over 27,000 Kgs)		
43.	Has the operator described the establishment and maintenance of a Flight data analysis programme?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
44.	Is the Flight data analysis programme non-punitive?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
45.	Is there provision for adequate safeguards to protect the source of the data?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
46.	For flight data analysis programme contracted to third party, does operator retain overall responsibility for the maintenance of the programme?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>		
COMPLIANCE WITH REQUIREMENTS		
47.	Complies with ICAO Annex 19?	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
48.	Compliance with Operational Directive 001/2014	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

FOR OFFICIAL USE ONLY

Recommendation/observation:.....
.....
.....
.....
.....
.....
.....
.....
.....
.....

The above requirements have been evaluated against the operator's manual and is hereby
approved **not approved**

Inspector's Name & ASI STAMP **Signature** **Date**