

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 may also use FSS-GEN-FORM-701-01: Audit Inspection Report Form. Forward the findings to the Operator and attach a copy to this checklist.
6. Coordination is required between the relevant departments and SPQ as necessary.
7. The respective inspector shall sign on the last page after reviewing the item.
8. For further guidance refer to relevant Volume and Chapters in Inspector Handbook.
9. For further guidance refer to relevant Chapters in Inspector Handbook TGM Volume 4 Part 2

EVALUATION OF SAFETY MANAGEMENT MANUAL FSS-GEN-FORM-603-03			
Operator File Reference	Inspector's Name	Date Programme Submitted	Date/s of Evaluation
Name of Operator/Applicant	Title and Version of Manual	Contact Person	Phone No.

S/N	Description of Required Content	Reference (completed by applicant)	For Official Use
	DOCUMENT CONTROL PROCESS		
1.	Is the manual presented in "hard" and "soft" copies	e.g.. Paragraph number / page number / Yes / All	N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
2.	Securely bound and 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"/>
3.	Copies numbered for controlled issuance?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
4.	What is the distribution format, is it hard copies or controlled electronic media and is there a distribution list attached?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
5.	Does the document control describe how the manual will be kept up to date and how the organisation will ensure all staff have the latest version?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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6.	Does the process for periodic review of the manual and its related forms/documents ensure their continuing suitability, adequacy, and effectiveness?		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.	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"/>
10.	Last revision number and date appears on each page?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
11.	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"/>
12.	Paragraphs, sub-paragraphs, tables, and figures 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"/>
13.	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"/>
14.	Is there a process for the manual's administration, approval, and regulatory acceptance? (e.g. document approval page and instructions)		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			
REGULATORY REQUIREMENTS AND SCOPE OF THE SMS			
15.	Is there a 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"/>
16.	Is there a statement that the manual complies with applicable regulations and guidance material for reference by all concerned?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
17.	Where there are other related control/management systems within the organisation, such as QMS, OSHE and SeMS, does the manual identify their relevant integration (where applicable) within the aviation SMS?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
18.	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"/>
19.	Does the manual identify the major processes, operations and equipment which are deemed eligible for the organisations HIRM programme, especially those which are pertinent to aviation safety?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
20.	Is there a correlation between the SMS manual and other existing manuals such as the Maintenance Control Manual (MCM) or the Operations Manual?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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21.	Is there an SMS implementation plan including gap analysis included in an annexure or appendix that is reviewed biannually?		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			
22.	Does the manual include an appropriate safety policy that addresses the organization's intentions, management principles, and commitment to continuous improvement of 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"/>
23.	Does the safety policy include the safety reporting procedures; and clearly indicate which types of operational behaviours are unacceptable; and include the conditions under which disciplinary action would not apply?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
24.	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"/>
25.	Does the policy confirm that adequate human and financial resources have been allocated to achieve safety objectives?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
26.	Is the safety policy periodically reviewed by senior management or the safety committee(s) to ensure it remains relevant?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
27.	Are the safety objectives expressed as a top-level statement describing the organisations commitment to achieving safety?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
28.	Are the safety objectives linked to safety performance indicators to facilitate monitoring and measurement where appropriate?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks:</i>		
SAFETY ACCOUNTABILITIES AND KEY PERSONNEL			
29.	Does the manual include the safety authorities, responsibilities, and accountabilities for all personnel involved in the SMS?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
30.	Has the organisation include a definition of the levels of management with authority to make decisions regarding safety risk tolerability?		
31.	Does the accountable manager's role include ensuring that the SMS is properly implemented and performing to requirements in all areas of the organization, including:		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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a.	unrestricted access to work performed or activities undertaken by all other persons as employees of, and other persons rendering service under contract with, the participant or holder concerned		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
b.	full rights of consultation with any other person in respect of compliance required of that person;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
c.	powers to order cessation of any activity where such an activity endangers or is likely to endanger civil aviation safety;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
d.	a duty to establish liaison mechanisms in writing with the Executive Director with a view to ascertain correct ways of compliance with the safety oversight and performance, SMS requirements and interpretations of those requirements by the Executive Director, and to facilitate regular liaison between the Executive Director and the participant or holder		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
e.	powers to report directly to the management of the participant or holder		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
f.	Overall responsibility for the SMS		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
32.	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"/>
33.	Does the safety manager's responsibilities include day to day management of the SMS including:		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
a.	managing the SMS implementation plan on behalf of the accountable executive;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
b.	performing/facilitating hazard identification and safety risk analysis;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
c.	monitoring corrective actions and evaluating their results;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
d.	providing periodic reports on the organization's safety performance;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
e.	maintaining records and safety documentation;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
f.	planning and facilitating staff safety training;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
g.	providing independent advice on safety matters;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
h.	monitoring safety concerns in the aviation industry and their perceived impact on the organisations operations;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
i.	coordinating and communicating (on behalf of the accountable executive) with the NCAA and other State agencies as necessary on issues relating to safety; and		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
j.	coordinating and communicating (on behalf of the accountable executive) with international organisations on issues relating to safety.		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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34.	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"/>
35.	Are safety authorities, responsibilities, and accountabilities of personnel at all levels of the organisation defined and documented?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
36.	Is an organizational accountabilities chart that depicts relationship of the safety office with the other departments and the accountable manager included?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
37.	Has a safety committee, safety review board, and/or safety action group been established?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
38.	Is the frequency of meetings of the safety committee, safety review board, and/or safety action group and safety users established?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
39.	Has the organisation include a definition of the levels of management with authority to make decisions regarding safety risk tolerability?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
40.	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? (may be a separate document) <i>*FSS-GEN-FORM 603-05 must be completed</i>		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks:</i>		
	SAFETY REPORTING		
41.	Does the manual contain procedures that provide for the collection, recording, acting on, and generating feedback of internal occurrences including reactive (accidents, incidents), and proactive/predictive (hazards), 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"/>
42.	Does the respective reporting systems include:		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
a.	report format;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
b.	confidentiality;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
c.	addresses;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
d.	Investigation / evaluation procedures;		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
e.	corrective / preventative actions; and		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
f.	report dissemination.		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
43.	Is there a non-punitive reporting policy to encourage a reporting culture?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
44.	Is a distinction made between mandatory reports (e.g. accidents, serious incidents, major defects) which are required to be		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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	notified to the Authority and other routine occurrence reports?		
45.	Is there also 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"/>
46.	Are the respective reporting processes simple, accessible, and commensurate with the size of the organisation?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
47.	Is a hazard identification system described that includes data collection, categorization of hazards/occurrence, their prioritization, and a documented safety assessment?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
48.	Is there a description of how the safety/risk assessment process is conducted and how preventive action plans, risk mitigation, and safety recommendations are implemented?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
49.	Are high-consequence reports and associated recommendations addressed and reviewed by the appropriate level of management?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
50.	Are reports collected in an appropriate database to facilitate the necessary risk and trend analysis?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks:</i>		
HAZARD IDENTIFICATION AND RISK ASSESSMENT			
51.	Does the manual describe the hazard identification system and how such data are collated?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
52.	Does the manual describe the process for the categorization of hazards/risks and their subsequent 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"/>
53.	Does the manual describe 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"/>
54.	Is there a documented process for hazards to be identified, evaluated, prioritized, and processed for risk assessment as appropriate?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
55.	Is there a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability, and preventive controls, (for example a risk matrix)?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
56.	Do hazard identification and risk assessment procedures focus on aviation safety as their fundamental context?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
57.	Does the risk assessment process utilize worksheets, forms, or software appropriate to the complexity of the organisation and operations involved?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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58.	Are the Completed safety assessments approved by the appropriate level of management?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
59.	Is there a process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
60.	Is there a process for periodic review of completed safety assessments and documenting their outcomes?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>			
SAFETY PERFORMANCE MONITORING AND MEASUREMENT (dependent on maturity of the SMS)			
61.	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"/>
62.	Is there a formal process developed that establishes, maintains, and regularly updates a set of safety performance indicators and their associated performance targets?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
63.	Is there a description of the correlation of the safety performance indicators to the organisation's safety objectives as applicable.		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
64.	Is there a process of monitoring the safety performance of the indicators including remedial action procedure whenever unacceptable or abnormal trends are triggered?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
<i>Remarks:</i>			
SAFETY INVESTIGATIONS			
65.	Does the manual include a description of how accidents and incidents are investigated and processed in the organisation including correlation with the SMS HIRM system?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
66.	Is there a process for ensuring that corrective actions taken or recommended are carried out and for evaluating their outcomes/effectiveness?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
67.	Is dissemination of completed investigation reports internally as well as to the NCAA included?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
68.	Is a clear 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"/>

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69.	Is there a procedure developed to ensure that investigation procedure and format provides for findings on contributing factors or hazards to be processed for follow-up action by the organisations hazard identification and risk management system where appropriate?		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			
70.	Is safety training that ensures that personnel are trained and competent to perform their SMS duties and other safety related training addressed?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
71.	Does the manual describe how such training procedures are documented?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
72.	Does training ensure all personnel understand their authorities, responsibilities, and accountabilities with regard to all safety management processes, decisions and actions?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
73.	Does this include documentation of training syllabi, eligibility, and requirements? (May refer to FOM Part D)		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
74.	Is there a validation process that measures the effectiveness of training?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
75.	Does the training include initial, recurrent, and upgrade training, where applicable?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
76.	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"/>
77.	Are there specific processes/channels of 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"/>
78.	Do the channels of safety communication convey safety critical information and explain why safety actions are taken?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
79.	The safety system has a regular reporting mechanism to update NCAA on hazards, safety concerns, and mitigation actions.		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks:</i>		
MANAGEMENT OF CHANGE AND CONTINUAL IMPROVEMENT			
80.	Does the organisations have a process for managing changes that may have an impact on safety risk assessment or which may introduce new hazards and how such processes are reviewed within the SMS?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

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81.	Does the organisation ensure that substantial organisational or operational changes are taken into consideration and the impact which they may have on existing safety risks?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
82.	Does the manual contain procedures to ensure that appropriate safety assessments are performed prior to introduction of new equipment or processes which may have safety risk implications?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
83.	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"/>
84.	Is there a process for regular internal audit/review of the organisations SMS to ensure its continuing suitability, adequacy, and effectiveness? (This may reference the QMS)		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
85.	Does the manual describe any other programmes contributing to continuous improvement of the organisations SMS and safety performance, e.g. MEDA, safety surveys, ISO systems?		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)			
86.	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"/>
87.	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"/>
88.	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"/>
89.	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>			
SAFETY RECORDS AND DOCUMENTATION			
90.	Does the manual describe the method of storing all SMS-related records and documents, including:		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
a.	Occurrence and hazard register		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
b.	Occurrence and hazard reports		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
c.	Statistics including SPIs and SPTs and related charts.		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
d.	SMS internal review and audit records		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>

S/N	Description of Required Content	Reference (completed by applicant)	For Official Use
e.	SMS and safety training records		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
f.	SMS/safety committee meeting minutes		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
g.	SMS implementation planning and gap analysis documentation		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
91.	Does the organisation have a SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
92.	Are the identified records stored securely and are de-identified records shared?		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			
93.	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"/>
94.	Does the manual comply with Part 140?		N/A <input type="checkbox"/> C <input type="checkbox"/> N/C <input type="checkbox"/> N/Ckd <input type="checkbox"/>
	<i>Remarks:</i>		

FOR OFFICIAL USE ONLY

Inspector

recommendation/observations _____

THIS **DOCUMENT** HAS BEEN EVALUATED IN ACCORDANCE WITH THE NAMCARs (PART 140) REQUIREMENTS CURRENTLY IN FORCE AND THE CHECKLIST ABOVE. I **DO / DO NOT / RECOMMEND** THAT **ACCEPTANCE** BE GRANTED / APPLIED TO THE ABOVE **MANUAL**

Safety Specialist Name & ASI Stamp

Signature

Date

Inspector's Name & ASI Stamp

Signature

Date