Telephone number:	+264 83 235 2485	Fax Number:	+264 TBA
Physical address:	No.4 Rudolph Hertzog Street, Windhoek, NAMIBIA		
Postal address:	Private Bag X12003, Ausspannplatz, Windhoek, NAMIBIA	E-mail	licensing@ncaa.na

ATO – SAFETY MANAGEMENT SYSTEM CHECKLIST

Name of ATO:		ATO Number:	
Safety Manager Name:		Telephone number:	
E-mail address:		Cell number:	
Inspector name:		Inspection Date:	

NAMCAR 141 requirements

C – Compliant, A – Acceptable, NC – Not Compliant, U – Unacceptable, N/a – Not applicable

No	Item	N/a	C/A	NC/U	Finding No.:
1.	141.02.4 SMS has been established and is implemented in practice.				

Comments on Findings

NAMCAR 140 requirements

C – Compliant, A – Acceptable, NC – Not Compliant, U – Unacceptable, N/a – Not applicable

No	Item	N/a	C/A	NC/U	Finding No.:
2.	140.01.2 (2) Is the SMS appropriate to the size and complexity of organisation?				
3.	140.01.2 (3)Has acceptable levels of safety performance been agreed to by the NCAA and ATO?				
4.	140.01.3 (1) SMS includes the following that is being done/implemented in practice?				
	•identification of safety hazards				
	•remedial action necessary to maintain an acceptable level of safety				
	•continuous improvement to the overall level of safety (achievement of targets and setting new ones)				
	•clear definition of the level of safety (expressed in objectives and targets)				
	•proof of adequate safety measures to maintain the required level of safety				
	•components and elements for an SMS (answer only after all other questions have been done)				
5.	140.01.3 (2) is lines of accountability implemented and working in practice. Look for evidence.				

Comments on Findings

NAMCATS 140 requirements (**140.01.1: 1.2)**

C – Compliant, A – Acceptable, NC – Not Compliant, U – Unacceptable, N/a – Not applicable

No	Item	N/a	C/A	NC/U	Finding No.:
6.	(2) SMS definition of level of safety to be achieved is in place, monitored and communicated.				
7.	(3) SMS policy has been signed and displayed				
8.	(3) SMS policy is communicated / known to staff.				
9.	(3) The following commitments are evidenced:				
a	Management's commitment to safety				
b	Adequate provision of human resources for implementation and maintenance				
	Adequate provision of financial resources required for implementation and maintenance				
10.	(3) Evidence exist that Safety Policy is reviewed at least biannually.				
11.	(3) Safety objectives have been defined company wide.				
12.	(3) Safety objectives are being monitored by line management.				

13.	(3) Data is being collected/ is available to prove achievement of Safety objectives.				
14.	(3) Specific actions/measures are taken to ensure achievement of Safety objectives.				
15.	(3) Safety objectives have been defined company wide.				
16.	(3) Accountable manager is accountable for safety?				
17.	(3) Senior Managers are accountable for aspects of safety and this is communicated/ known throughout the organisation.				
18.	(3) Safety Manager is appointed in practice.				
19.	(3) Evidence exist that the Safety Manager has direct access to the accountable manager.				
j	(3) the SM / officer has been appointed in terms of the selection criteria, which include :				
	•Broad operational knowledge and experience in the functions of the organisation				
	•Knowledge of safety management principles and practices, including theoretical training and practical experience				
	•At least 2 years of experience (safety officer) and at least 5 years of experience (safety manager) with the implementation and management of an aviation safety management system or safety programme				
	•Good written and verbal communication skills				
	•Well-developed interpersonal skills				
	•Computer literacy				
	•Ability to relate at all levels, both inside and outside the organisation				
	•Organisational ability				
	•Capable of working unsupervised				
	•Good analytical skills				
	•Leadership skills and authoritative approach				
	•Worthy of respect among peers and management				
	•Project management skills				
20.	(3) The implementation plan is in place and is being carried out.				
21.	(3) Evidence exist that a gap analysis has been done by the ATO and that it forms the basis for the plan.				
22.	(3) Evidence of coordination with other organisations' systems is in place.				
23.	(3) Evidence of senior management buy in to the plan is in place.				
24.	(3) The ATO emergency response plan is exercised and carried out in practice				
25.	(3) Evidence confirms ERP coordination with other organisations/operators.				
26.	(3) The following SMS documentation is implemented in practice:				
C	•the SMS procedures and processes				
E	•the SMS outputs are being addressed as required				
27.	(3) The process for effectively collecting, recording, acting on and generating feedback about hazards in operations is implemented.				
28.	(3) Re-active, pro-active and predictive methods of safety data collection is used in practice.				
29.	(3) Risk management (analysis, assessment and control) is implemented.				
30.	(3) Matrixes for risk management is used correctly.				
31.	(3) If CATS published matrixes not used, alternative matrixes are used as described.				
32.	(3) Reporting to the NCAA is done in the correct format and information from matrixes used is acceptably aligned in practice.				
33.	(3) Managers responsible for safety risk and mitigation decisions are involved in the decision making regarding this.				
34.	(3) Safety performance is verified by the SM in comparison to the safety policy and objectives				
35.	(3) The effectiveness of safety risk controls is validated by acceptable means.				
36.	(3) Acceptable & Unacceptable behaviour is dealt with in line with means defined by the ATO.				
37.	(3) Immunity from disciplinary action is implemented in line with policy.				
38.	(3) Non-punitive policy is implemented in practice to enhance the reporting culture.				
39.	(3) Changes which may affect established processes and services are identified.				
40.	(3) Safety performance are ensured before implementing the changes				
41.	(3) Safety risk controls that are no longer needed or effective due to changes are modified or removed.				
42.	(3) Process to identify the causes of sub-standard performance of the SMS, to determine the implications of this and to eliminate such causes is implemented in practice.				
43.	(3) Safety training programme is implemented in practice. Course programme and records of attendance are in place.				
44.	(3) Staff receive training appropriate to their involvement in the SMS.				

45.	(3) Safety communications are taking place to ensure all personnel are fully aware of the SMS.				
46.	(3) Communication includes critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.				
47.	(3) Reporting procedure and annual schedule of reporting is implemented.				
48.	(3) NCAA is informed of:				
	•any significant safety concern identified within 7 days of its identification		√		
	•top 20 hazards identified		√		
	•mitigation (control) strategies implemented to address the risk.		√		

Comments on Findings

Finding 5: Level 3 : Amendment record not updated

LIST OF FINDINGS RAISED

No	*Description*	Major	Finding	Observ.	Parallel
5	***Amendment record not updated***			X	

SIGNATURE OF INSPECTOR	**NAME IN BLOCK LETTERS**	**DATE**