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ATO – SAFETY MANUAL CHECKLIST

Name of ATO:		ATO Number:	
Accountable Manager Name:		Telephone number:	
E-mail address:		Cell number:	

NAMCAR 141 requirements

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

No	Item	N/a	C/A	NC/U	Comment ref:
1.	SMS established?				

Remarks/Comments

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NAMCAR 140 requirements

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

No	Item	N/a	C/A	NC/U	Comment ref:
2.	Is the SMS appropriate to the size and complexity of organisation?				
3.	Is the SMS documented?				
4.	Are lines of safety accountability defined?				
5.	Is senior management's direct accountability for safety defined?				

Remarks/Comments

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NAMCATS 140 requirements

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

No	Item	N/a	C/A	NC/U	Comment ref:
6.	SMS contains clear definition of level of safety to be achieved.				
7.	SMS policy has been defined				
8.	SMS policy is signed by the Accountable Manager				
9.	The SMS policy reflects the following commitments:				
a	Commitment to safety				
b	Commitment to provision of human resources required for its implementation and maintenance				
	Commitment to provision of financial resources required for its implementation and maintenance				
10.	Company amendment procedure requires Safety Policy to be reviewed at least biannually.				
11.	Safety objectives have been defined in the SM.				
12.	Safety objectives are based on the acceptable level of safety performance agreed with Director.				
13.	Safety objectives are specific, measurable, achievable, realistic and time bound.				
14.	Safety Accountabilities are documented.				
15.	Safety Accountabilities are communicated throughout the organisation.				
16.	Safety Manager has been provided for in the organisation structure.				
17.	Safety Manager has direct access to the accountable manager.				
j	Selection criteria for the safety officer and manager as identified in the TPM or SM includes:				
	•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				
18.	The SMS contains an implementation plan.				
19.	The SMS implementation plan is based on a gap analysis completed by the ATO.				
20.	The SMS implementation plan ensures coordination with other organisations' systems.				
21.	The SMS implementation plan is endorsed/signed off by the senior management of the ATO.				
22.	The ATO documented an emergency response plan.				
23.	The ATO ERP includes procedure for coordination with other organisations/operators.				
24.	SMS documentation described the following:				
A	•safety policy and objectives				
B	•the SMS requirements				
C	•the SMS procedures and processes				
D	•the accountabilities, responsibilities and authorities for procedures and processes				
E	•the SMS outputs				
25.	SMS is incorporated into TPM or separate Manual but communicated throughout ATO.				
26.	The ATO has a formal process for effectively collecting, recording, acting on and generating feedback about hazards in operations				
27.	This process allows for re-active, pro-active and predictive methods of safety data collection.				
28.	The ATO has a formal process for risk management (analysis, assessment and control).				
29.	ATO SMS contains matrixes for risk management.				
30.	If CATS published matrixes not used, alternative matrixes are deemed acceptable.				
31.	Information from alternative matrixes is aligned to published matrixes to enable reporting to NCAA.				
32.	Levels of management responsible for safety risk and mitigation decisions have been identified.				
33.	SM describes means to verify the safety performance compared to the safety policy and objectives				
34.	SM describes means to validate the effectiveness of safety risk controls				
35.	Safety reporting procedures clearly indicate which types of operational behaviours are acceptable or unacceptable				
36.	Safety reporting procedures include the conditions under which immunity from disciplinary action would be considered				
37.	SM includes a non-punitive policy is required to enhance the reporting culture.				
38.	ATO has formal process to identify changes within the organization which may affect established processes and services.				
39.	This process describes arrangements to ensure safety performance before implementing the changes				
40.	This process describes how to eliminate or modify safety risk controls that are no longer needed or effective due to changes.				
41.	ATO has a formal process to identify the causes of sub-standard performance of the SMS, to determine the implications of this and to eliminate such causes.				
42.	ATO has a safety training programme that ensures that personnel responsible for the SMS functions are trained and competent to perform the SMS duties.				
43.	Scope of the safety training is appropriate to each individual's involvement in the SMS.				
44.	ATO has formal means for safety communication ensuring all personnel are fully aware of the SMS..				
45.	Communication process conveys safety critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.				
46.	SM has a reporting procedure and annual schedule of reporting that ensures that NCAA is informed of:				
	•any significant safety concern identified within 7 days of its identification				

