

CAAS SMS ASSESSMENT PROTOCOL (DRAFT)

SAC 100Q Draft 27 Jul 07

SMS Component {AC 1-3(0)}	SMS Assessment Checklist [annotate "1" in either "Y" (Yes), "N" (No) or "NA" column for each of the 100 questions]										No of Questions (by comp)			
	Elements	Category-1 Questions (C1)	Y (1)	N (1)	NA (1)	Category-2 Questions (C2)	Y (1)	N (1)	NA (1)	Category-3 Questions (C3)		Y (1)	N (1)	NA (1)
Safety Policy 13(a)	NIL	Q13 (a) / C1-1 Does the organisation have a formal written Safety Policy statement?	1			Q13 (a) / C2-1 The Safety Policy is readily visible or accessible to all personnel.	1			Q13 (a) / C3-1 There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations.	1			8
		Q13 (a) / C1-2 The Safety Policy is appropriate to the size, nature and complexity of the organisation.	1			Q13 (a) / C2-2 The Safety Policy Statement do cover or include aviation safety.	1			Q13 (a) / C3-2 Is there a periodic review of the Safety Policy by senior management or the Safety		1		
		Q13 (a) / C1-3 The Safety Policy is endorsed by the Accountable Manager.	1			Q13 (a) / C2-3 The safety policy do address the provision of necessary human and financial resources for its implementation.			1					
Safety Roles & Responsibilities 13 (b)	Accountable Manager 13 (b) (i)	Q13 (b) (i) / C1-1 Does the organisation have a documented safety (SMS) accountability within the organisation that begins with the Accountable Manager?	1			Q13 (b) (i) / C2-1 Does the Accountable Manager's terms of reference indicate his ultimate responsibility for the implementation and maintenance of the SMS?			1	Q13 (b) (i) / C3-1 Does the Accountable Manager's terms of reference indicate his ultimate responsibility for all safety issues?		1		16
		Q13 (b) (i) / C1-2 Does the Accountable Manager's terms of reference indicate his full control over financial and human resources associated with his Air Operator Cert/ Cert of Approval ?	1			Q13 (b) (i) / C2-2 Does the Accountable Manager's terms of reference indicate his final authority over all operations conducted under his Air Operator Cert/ Cert of Approval ?			1					
	Safety (SMS) Manager 13 (b) (ii)	Q13 (b) (ii) / C1-1 Does the organisation have a Manager/ Officer who performs the role of administering the SMS?	1			Q13 (b) (ii) / C2-1 The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.			1	Q13 (b) (ii) / C3-1 Does the SMS Manager report directly to the Accountable Manager?		1		
		Q13 (b) (ii) / C1-2 Does the Manager performing the SMS role have relevant SMS functions included in his terms of reference?	1							Q13 (b) (ii) / C3-2 Is the SMS Manager a senior management position not lower than or subservient to other operational or production positions?		1		
	Safety Committee 13 (b) (iii)	Q13 (b) (iii) / C1-1 Does the organisation have a Safety Committee (or equivalent meeting) for purpose of reviewing safety performance?	1			Q13 (b) (iii) / C2-1 Does the organisation have departmental or section Safety Action Groups that work in conjunction with the Safety Committee?			1	Q13 (b) (iii) / C3-1 Is the Safety Committee chaired by the Accountable Manager or (for very large organisations) by an appropriately assigned deputy, duly substantiated in the SMS manual?		1		
		Q13 (b) (iii) / C1-2 Does the Safety Committee include relevant operational or departmental Heads as members?	1			Q13 (b) (iii) / C2-2 Is there an appointed Safety (SMS) coordinator within the Safety Action Group?			1	Q13 (b) (iii) / C3-2 The Safety Action Groups are chaired by the divisional or section Head.			1	

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		Y (1)	N (1)	NA (1)	Y (1)	N (1)	NA (1)	Y (1)	N (1)	NA (1)					
Safety Targets and Performance Indicators 13 (c)	Safety Objectives and Goals 13 (c) (i)	Q13 (c) (i) / C1-1 Does the organisation establish any relevant safety objectives or goals?	1			Q13 (c) (i) / C2-1 Are the primary safety objectives/ goals measurable?		1			Q13 (c) (i) / C3-1 Is there a periodic review of the safety objectives/ goals by senior management?		1		12
		Q13 (c) (i) / C1-2 Are the safety objectives/ goals relevant to the organisation's Safety Policy?	1			Q13 (c) (i) / C2-2 Are the primary safety objectives/ goals monitored for achievement?		1			Q13 (c) (i) / C3-2 There is evidence that the safety objectives/ goals are communicated to all employees with intent that they are made aware of their individual obligations and contributions.		1		
		Q13 (c) (i) / C1-3 Are Safety objectives/ goals published and distributed?	1												
	Safety performance Indicators 13 (c) (ii)	Q13 (c) (ii) / C1-1 Is there a safety performance indicator(s) relevant to aviation safety?	1			Q13 (c) (ii) / C2-1 Is the safety performance indicator based on data relating to occurrence of some safety or quality related events or reports?		1			Q13 (c) (ii) / C3-1 Is there a procedure for corrective or follow up actions to be taken when there is significant abnormal trend or breach of alert levels?		1		
		Q13 (c) (ii) / C1-2 Are the safety performance indicator(s) linked to the organisation's safety objectives/ goals?	1			Q13 (c) (ii) / C2-2 Is the safety performance indicator reviewed at safety committee or SAG level as applicable?		1							
Hazard and Risk Management 13 (d)	Hazard Identification 13 (d) (i)	Q13 (d) (i) / C1-1 There is a procedure to encourage voluntary hazards/ threats reporting by all employees.	1			Q13 (d) (i) / C2-1 There is a procedure for review of new (aviation safety related) facilities and equipment for hazards/ threats before they are commissioned.		1			Q13 (d) (i) / C3-1 There is a procedure for systematic review of existing (aviation safety related) facilities and equipment for hazards/ threats, especially when there are pertinent changes to those facilities or equipment .		1		24
		Q13 (d) (i) / C1-2 There is a procedure for incident/ accident reporting by operational or production personnel.	1			Q13 (d) (i) / C2-2 There is a procedure for review of new (aviation safety related) operations and processes for hazards/ threats before they are commissioned.		1			Q13 (d) (i) / C3-2 There is a procedure for periodic review of existing (aviation safety related) operations and processes for hazards/ threats, especially when there are pertinent changes to those operations or processes.		1		
		Q13 (d) (i) / C1-3 There is a procedure for investigation of incident/ accidents relating to quality or safety.	1			Q13 (d) (i) / C2-3 In the hazard identification system, there is a clear differentiation between a hazard (threat) and risk (outcome).		1			Q13 (d) (i) / C3-3 There is a procedure to identify hazards/ threats from internal incident/ accident investigation reports for follow up risk evaluation where applicable.		1		
						Q13 (d) (i) / C2-4 There is a policy that provides immunity from disciplinary actions (with any exceptions indicated) for all employees that report safety related deficiencies, threats or hazards.		1			Q13 (d) (i) / C3-4 There is a procedure to review hazards/ threats from available industry service or incident/ accident investigation reports for follow up risk evaluation where applicable.		1		

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		Q13 (d) (ii) / C1-1 There is a documented risk evaluation procedure.	1			Q13 (d) (ii) / C2-1 There is a process for the prioritisation and scheduling of identified hazards for risk assessments.			1		Q13 (d) (i) / C3-5 There is a procedure for personnel to report hazards/ threats not amounting to incident/ accidents.			1		
	Risk Management 13 (d) (ii)	Q13 (d) (ii) / C1-2 Risk assessment reports are approved by departmental managers or higher level where appropriate.	1			Q13 (d) (ii) / C2-2 There is a procedure to account for mitigation actions whenever unacceptable risks are identified.			1		Q13 (d) (ii) / C3-1 There is a procedure for periodic review of existing risk analysis records.					
		Q13 (d) (ii) / C1-3 There is a procedure to define acceptable and unacceptable risks.	1			Q13 (d) (ii) / C2-3 There is a procedure to define mitigation actions which require senior management approval.			1		Q13 (d) (ii) / C3-2 There is a procedure for special review of risk analysis records when there are changes that may affect their associated threats or risks.			1		
		Q13 (d) (ii) / C1-4 Objective risk analysis tools involving appropriate risk probability and risk severity criteria are used.	1			Q13 (d) (ii) / C2-4 Hazard and Risk assessments have been accounted for or completed for 50% of aviation safety related operations or processes covered under the organisation's certificate.			1		Q13 (d) (ii) / C3-3 Recommended mitigation actions which require senior management decision or approval are accounted for and documented.			1		
											Q13 (d) (ii) / C3-4 Hazard and Risk assessments have been fully accounted for or completed for all aviation safety related operations or processes covered under the organisation's certificate..			1		
Safety (SMS) Training 13 (e)	Safety (SMS) Training 13 (e)	Q13 (e) / C1-1 Does the organisation have a documented personnel Safety (SMS) training procedure?	1			Q13 (e) / C2-1 Personnel involved in conducting risk evaluations are provided with appropriate risk management training or familiarisation.			1		Q13 (e) / C3-1 There is evidence of organisation wide SMS education or awareness efforts.			1		7
		Q13 (e) / C1-2 The SMS manager has undergone an appropriate SMS training course or program.	1			Q13 (e) / C2-2 Personnel directly involved in the SMS (Safety Committee/ SAG members) have undergone appropriate SMS training or familiarisation.			1		Q13 (e) / C3-2 There is evidence of a Safety (SMS) publication, circular or channel for communicating Safety (SMS) matters to employees.			1		
		Q13 (e) / C1-3 The Accountable Manager has undergone appropriate SMS familiarisation, briefing or training.	1													
SMS Documentation and Records 13 (f)	SMS Manual/ Exposition 13 (f) (i)	Q13 (f) (i) / C1-1 Does the organisation have a documented SMS procedure?	1			Q13 (f) (i) / C2-1 All eight components of SMS regulatory requirements (currently AC 1-3, para 11) are addressed in the SMS procedures.			1		Q13 (f) (i) / C3-1 The SMS procedures do reflect the integration of the various safety related control systems within the organisation such as Occupational Safety/ Flight Safety/ Quality Control/ Environmental Control as applicable.			1		15

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	Q13 (h) / C1-3 The ERP do include assignment of emergency responsibilities/ authority.	1			Q13 (h) / C2-3 Result of ERP drills carried out are documented.	1			Q13 (h) / C3-3 ERP drills or exercises are carried out according to plan.		1			

	Y	N	NA		Y	N	NA		Y	N	NA
Sub-Total	36	0	0		4	28	1		1	28	1
Total (C1+C2+C3) Yes Points	41										
SAC Result (Total Yes %)	42.27	%									
								Total Number of C1 + C2 + C3 Questions			100
								Total Number of Questions Answered			99

Note: Scores indicated are for illustration purpose only

<p>Corrective Action Notice (CAN) Procedure [wef 1 Jan 2009]:</p> <p>1) MINIMUM OVERALL (%) PERFORMANCE (All Questions):</p> <p>Level 2 CAN will be issued to an organisation with overall performance of less than 45% (for year of assessment 2009)</p> <p>a) 90 days for corrective action to obtain more than 45% overall performance failing which, a Level 1 CAN will be issued</p> <p>b) 30 days for corrective action to the Level 1 CAN issued, failing which, certificate suspension may be activated</p> <p>Note: Level 2 CAN criteria will be <65% for year of assessment 2010 and <75% for year of assessment 2011 (and thereafter).</p> <p>2) MINIMUM COMPONENT PERFORMANCE (Category -1 Questions):</p> <p>Level 2 CAN will be issued for "No" answers to <u>any</u> Category -1 Questions.</p> <p>a) 60 days for corrective action to obtain a "Yes" answer, failing which, a Level 1 CAN will be issued</p> <p>b) 30 days for corrective action to the Level 1 CAN issued, failing which, certificate suspension may be activated</p>
