DCA SMS ASSESSMENT CHECKLIST

INPUT COLUMN: ANNOTATE "Y" for YES, "N " for NO, "NA" for NOT APPLICABLE

Organisation Name

Date of Assessment

Assessed by POI/ PMI

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Safety Policy	NIL	SP/L1/1 — There is a documented Safety Policy statement.			SP/L2/1 — The Safety Policy is readily visible or accessible to all personnel.			SP/L3/1 — There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations.		
		SP/L1/2 — The Safety Policy is appropriate to the size, nature and complexity of the organisation.			SP/L2/2 — The Safety Policy is endorsed by the Accountable Manager.			SP/L3/2 — There is a periodic review of the Safety Policy by senior management or the Safety Committee		
		SP/L1/3 — The Safety Policy is relevant to aviation safety.			SP/L2/3 — The safety policy do address the provision of necessary human and financial resources for its implementation.					
...ities	Accountable Manager	AM/L1/1 — There is a documented safety (SMS) accountability within the organisation that begins with the Accountable Manager			AM/L2/1 — The Accountable Manager's terms of reference indicate his ultimate responsibility for the implementation and maintenance of the SMS			AM/L3/1 — The Accountable Manager's terms of reference indicate his ultimate responsibility for all safety issues		
		AM/L1/2 — The Accountable Manager has full control over financial and human resources associated with his Air Operator Cert/ Cert of Approval			AM/L2/2 — The Accountable Manager's terms of reference indicate his final authority over all operations conducted under his Air Operator Cert/ Cert of Approval					

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Safety Roles and Accountabilities	Safety (SMS) Manager	SM/L1/1 There is a Manager who performs the role of administering the SMS			SM/L2/1 The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.			SM/L3/1 The SMS Manager reports directly to the Accountable Manager, especially concerning SMS performance and improvement		
		SM/L1/2 The Manager performing the SMS role have relevant SMS functions included in his terms of reference			SM/L2/2			SM/L3/2 The SMS Manager is a senior management position not lower than or subservient to other operational or production positions		
	Safety Committee	SC/L1/1 There is a Safety Committee (or equivalent meeting) for purpose of reviewing safety performance			SC/L2/1 For a large organisation, there are departmental or section Safety Action Groups that work inconjunction with the Safety Committee			SC/L3/1 The Safety Committee is chaired by the Accountable Manager or (for very large organisations) by an appropriately assigned deputy, duly substantiated in the SMS manual		
		SC/L1/2 The Safety Committee do include relevant operational or departmental Heads as members			SC/L2/2 There is an appointed Safety (SMS) coordinator within the Safety Action Group			SC/L3/2 The Safety Action Groups are chaired by the divisional or section Head.		
Safety Objectives and Goals	NIL	SOG/L1/1 The organisation do establish safety objectives or goals relevant to its aviation operations or services.			SOG/L2/1 The safety objectives/ goals are compatible with the organisation's Safety Policy			SOG/L3/1 There is a periodic review of the safety objectives/ goals for continuing validity where applicable.		
		SOG/L1/2 There are safety objectives/ goals which are measurable.			SOG/L2/2 The safety objectives/ goals are monitored for achievement			SOG/L3/2 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.		

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Safety Performance & ALS	NIL	SPALS/L1/1 There are safety performance indicators relevant to aviation safety			SPALS/L2/1 The ALS safety performance indicators are based on data relating to occurrence of some safety or quality related events or reports			SPALS/L3/1 There is a procedure for corrective or follow up action to be taken when there is significant abnormal trend or breach of any Acceptable Level of safety (ALS).		
		SPALS/L1/2 There are identified safety performance indicators for monitoring the organisation's minimum Acceptable Level of Safety (ALS) in the SMS manual.			SPALS/L2/2 Safety performance indicators are reviewed by the safety committee for trend, minimum safety (alert) levels and targets (desired levels) where applicable.					
	Hazard Identification	HI/L1/1 There is a procedure to encourage voluntary hazards/ threats reporting by all employees.			HI/L2/1 In the hazard identification system, there is a clear differentiation between a hazard and risk.			HI/L3/1 There is a procedure to identify hazards/ threats from internal incident/ accident investigation reports for follow up risk evaluation where applicable.		
		HI/L1/2 There is a procedure for incident/ accident reporting by operational or production personnel.			HI/L2/2 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.			HI/L3/2 There is a procedure to review hazards/ threats from available industry service or incident/ accident investigation reports for follow up risk evaluation where applicable.		

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Hazard and Risk Management	Risk Management	HI/L1/3 There is a procedure for investigation of incident/ accidents relating to quality or safety.						HI/L3/3 There is a procedure for personnel to report hazards/ threats not amounting to incident/ accidents.		
		RM/L1/1 There is a documented Hazard Identification and Risk Assessment (HIRA) procedure involving the use of objective risk analysis tools.			RM/L2/1 Risk assessment reports are approved by departmental managers or higher level where appropriate.			RM/L3/1 There is a procedure for periodic review of existing risk analysis records.		
		RM/L1/2 There is a procedure to account for mitigation actions whenever unacceptable risks are identified.			RM/L2/2 There is a procedure to define acceptable and unacceptable risks.			RM/L3/2 There is a procedure for special review of risk analysis records when there are changes that may affect their associated hazards or risks.		
		RM/L1/3 There is a procedure for identification of operations/ processes/ facilities/ equipment which are deemed (by the organisation) as relevant for HIRA performance.			RM/L2/3 There is a procedure to define mitigation actions which require senior management approval.			RM/L3/3 Recommended mitigation actions which require senior management decision or approval are accounted for and documented.		
		RM/L1/4 There is a program for progressive HIRA performance of all aviation safety-related operations/ processes/ facilities/ equipment as identified by the organisation.			RM/L2/4 There is a procedure to prioritise HIRA performance for operations/ processes/ facilities/ equipment with identified or known safety-critical hazards/ risks.			RM/L3/4 There is evidence of progressive compliance and maintenance of the organisation's HIRA performance program.		

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Management of Change	NIL	MC/L1/1 There is a procedure for review of relevant existing aviation safety related facilities and equipment (including any HIRA records) whenever there are pertinent changes to those facilities or equipment .			MC/L2/1 There is a procedure for review of new aviation safety related facilities and equipment for hazards/ risks before they are commissioned.			MC/L3/1 There is a procedure for review of relevant existing facilities, equipment, operations or processes (including any HIRA records) whenever there are pertinent changes external to the organisation such as regulatory/ industry standards, best practices or technology.		
		MC/L1/2 There is a procedure for review of relevant existing aviation safety related operations and processes (including any HIRA records) whenever there are pertinent changes to those operations or processes.			MC/L2/2 There is a procedure for review of new aviation safety related operations and processes for hazards/ risks before they are commissioned.					
SMS Training, Communication & Promotion	NIL	STCP/L1/1 There is a documented personnel Safety (SMS) training procedure/ policy.			STCP/L2/1 Personnel involved in conducting risk evaluations are provided with appropriate risk management training or familiarisation.			STCP/L3/1 There is evidence of organisation wide SMS education or awareness efforts.		
		STCP/L1/2 The SMS manager has undergone an appropriate SMS training course or program.			STCP/L2/2 Personnel directly involved in the SMS (Safety Committee/ SAG members) have undergone appropriate SMS training or familiarisation.			STCP/L3/2 There is evidence of a Safety (SMS) publication, circular or channel for communicating Safety (SMS) matters to employees.		
		STCP/L1/3 The Accountable Manager has undergone appropriate SMS familiarisation, briefing or training.								

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SMS Documentation and Records	SMS Manual/ Exposition	SME/L1/1 There is a documented SMS procedure or manual.which is approved by the Accountable Manager and accepted by DCA.			SME/L2/1 All 12 components of SMS regulatory requirements (SMS Handbook paragraph 7) are addressed in the SMS procedures.			SME/L3/1 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.		
		SME/L1/2 The SMS procedures are documented in a systematic and consolidated manner.			SME/L2/2 All relevant elements within each component of the SMS regulatory requirements (SMS Handbook paragraph 9) are addressed in the SMS procedures.			SME/L3/2 The SMS procedures do reflect relevant coordination or integration with substantial external service providers or operators where applicable.		
		SME/L1/3 The SMS procedures is a stand alone controlled document or part of an existing controlled document.			SME/L2/3 There is a process to periodically review the SMS documentation to ensure its continuing suitability, adequacy and effectiveness.					
	SMS Records	SR/L1/1 Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are maintained.			SR/L2/1 Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are made available to all members and the Accountable Manager			SR/L3/1 There is a documented policy with respect to generation, distribution and retention of SMS records.		
		SR/L1/2 Records pertaining to Safety/ Risk Assessments performed are maintained.			SR/L2/2 Records pertaining to Safety/ Risk Assessments performed are assessible to all relevant parties.			SR/L3/2 Records pertaining to periodic review of existing Safety/ Risk Assessments or special review in conjunction with relevant changes are available.		
		SR/L1/3 Records pertaining to identified or reported hazards/ threats are maintained.								

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Audit and Continuous Improvement	NIL	AAP/L1/1 There is a procedure for periodic internal audit/ assessment of the SMS			AAP/L2/1 There is a follow up procedure to address audit corrective actions.			AAP/L3/1 SMS audit/ assessment has been carried out according to plan.		
		AAP/L1/2 There is a current internal SMS audit/ assessment plan.			AAP/L2/2 The internal SMS audit plan do cover SMS roles and procedures of all departments as defined within the scope of the SMS.			AAP/L3/2 SMS audit/ assessment reports are reviewed by the Accountable Manager.		
		AAP/L1/3 There is a documented internal SMS audit/ assessment checklist.			AAP/L2/3 The SMS audit plan do include the sampling of completed safety assessments.			AAP/L3/3 The SMS audit plan do cover the SMS roles/ inputs of contractors where applicable.		
Emergency Response Plan	NIL	ERP/L1/1 There is a documented Emergency Response Plan or Procedure.			ERP/L2/1 The ERP do include procedures for safe transition from normal to emergency and back to normal operations.			ERP/L3/1 The ERP do address relevant integration with substantial external service providers or operators where applicable		
		ERP/L1/2 The ERP is appropriate to the size, nature and complexity of the organisation.			ERP/L2/2 There is a plan for drills or exercises with respect to the ERP.			ERP/L3/2 There is a procedure for periodic review of the ERP as well as after key ERP personnel or organisational changes.		
		ERP/L1/3 The ERP do include assignment of emergency responsibilities/ authority.			ERP/L2/3 ERP drills or exercises are carried out according to plan and result of drills carried out are documented.			ERP/L3/3 There is provision in ERP to address preservation of safety/ quality/ continuity of its aviation product/ services during emergency/ crisis/ AOG situations, where applicable.		

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SUB-TOTAL	CATEGORY 1	Input		CATEGORY 2	Input		CATEGORY 3	Input
Y		0			0			0
N		0			0			0
NA		0			0			0
NO OF QN		37			33			30
COMPLETED		0			0			0

GRAND TOTAL*	
Y	0
N	0
NA	0
NO. OF QN	100
COMPLETED	0

ASSESSMENT RESULT (% OF YES):

0.0%

CORRECTIVE ACTION NOTICE (CAN) PROCEDURE [WEF 1 JULY 2009]:

1) MINIMUM OVERALL (%) PERFORMANCE (All Questions):

Corrective Action Notice (CAN) to be issued for overall performance of less than 45% during 1st year of assessment.

90 days for corrective action to obtain not less than 45% overall performance.

Note: Minimum overall performance (%) criteria will be 65% for 2nd year of assessment and 85% for 3rd year of assessment (and thereafter)

2) MINIMUM COMPONENT PERFORMANCE (Level 1 Questions):

Corrective Action Notice (CAN) to be issued for "No" answers to any Level 1 Questions.

60 days for corrective action to obtain a "Yes" answer.