



CIVIL AVIATION AUTHORITY OF MALAYSIA

CAAM/SMS/1902-03
010122

| | | | |
|-----------------------|-----------------------------|---------------------------|-------------------------|
| Organisation | | CAAM Approval No. | |
| Manual Rev. | | Manual Date | |
| Accountable Executive | | SMS Manager | |
| Auditor | | Date of Audit / Review* | |
| Signature | | Report Reference | |
| Result | <i>Total Point Obtained</i> | <i>Performance Rating</i> | <i>Maturity Remarks</i> |
| | | | |

SMS CONTINUOUS ASSESSMENT

| SMS Element | Assessment Question | | Maturity Level* | | | | Remarks | Points |
|--|---------------------|--|-----------------|---|---|---|---------|--------|
| | | | P | S | O | E | | |
| Management commitment [1.1] | 1 | The safety policy and objective as CAD 19 requirement | | | | | | |
| | 2 | There is a periodic review of the safety policy and objective to ensure remain relevant and appropriate to organisation | | | | | | |
| Safety accountabilities and responsibilities [1.2] | 1 | The accountable executive has ultimate authority over the safe operation, control of resources. Clearly define and identify lines of safety accountability for the implementation of the SMS | | | | | | |
| | 2 | Levels of management with authority to make decisions regarding safety risk tolerability | | | | | | |



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| | | | P | S | O | E | | |
| Appointment of key safety personnel [1.3] | 1 | SMS manager has direct access or reporting to the Accountable Executive and responsible for administering the SMS, does not hold other responsibilities that may conflict or impair his role as SMS manager. | | | | | | |
| | 2 | There is a highest level - safety committee (referred to as a SRB) developed a strategies direction with high-level issues to safety policies, resource and its safety performance. The SRB shall monitors effectiveness of SMS. | | | | | | |
| | 3 | Established operational safety committee (referred to SAG) that reviews, implement of the SMS and its safety performance | | | | | | |
| Coordination of Emergency response planning [1.4] | 1 | Procedures for the safe continuation of operation and return normal operations during emergencies or contingencies | | | | | | |
| SMS documentation [1.5] | 1 | SMS components and elements are adequately manifested in the SMS Manual and has been accepted by CAAM. | | | | | | |
| | 2 | SMS operational records are defined, developed, maintained and updated with appropriate version control in place. | | | | | | |
| Hazard identification [2.1] | 1 | Develop and maintain process to identify hazards associated with its aviation products or service. | | | | | | |
| | 2 | Hazard Register for process to monitor and analyse trends. Hazard identification shall be based on a combination of reactive and proactive methods | | | | | | |
| | 3 | Identified hazards are evaluated, prioritized and processed for risk assessment as appropriate | | | | | | |
| Safety risk assessment and mitigation [2.2] | 1 | There is a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability and preventive controls associated with identified hazards. | | | | | | |



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| | | | P | S | O | E | | |
| | 2 | There is a process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed. | | | | | | |
| | 3 | Safety risk assessment and mitigation which allow consistent and systematic approach for the assessment of safety risk are documented and properly controlled. This includes predictive methods of safety data analysis. | | | | | | |
| Safety performance monitoring and measurement [3.1] | 1 | Develop and maintained the means to verify the Safety performance of the organization. | | | | | | |
| | 2 | Indicate how the SPI's and safety performance targets are linked to the safety objectives. | | | | | | |
| | 3 | Organisation provide the CAAM the actual SPIs, safety performance target and alert level. | | | | | | |
| | 4 | There are alert and/or target level settings within the SPI where appropriate and there is evidence of corrective or follow-up action taken when targets are not achieved and/or alert levels are breached. | | | | | | |
| The management of change [3.2] | 1 | Defined the trigger for the formal change process. | | | | | | |
| | 2 | Procedures address the impact on existing safety performance and risk mitigation records before implementing new changes. | | | | | | |
| | 3 | Management of Change document including their hazard identification and risk assessment evaluation outcomes are properly maintained and controlled | | | | | | |
| Continuous improvement of the SMS [3.3] | 1 | Procedure to continuous improvement and review of the overall effectiveness of the SMS. | | | | | | |
| | 2 | Safety audits are carried out, focusing on safety performance of the organisation and also seeks to identify risk, or hazards and review existing controls for effectiveness. | | | | | | |
| | 3 | Other programs contributing to continuous improvement of the SMS. | | | | | | |



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| | | | P | S | O | E | | |
| Training, education [4.1] | 1 | Safety training programme ensure that personnel are trained and competent to perform SMS duties. | | | | | | |
| | 2 | The competence of trainers is defined and assessed and appropriate remedial action taken when necessary | | | | | | |
| | 3 | Process to measure the effectiveness of training and to take appropriate action to improve subsequent training. | | | | | | |
| Safety communication [4.2] | 1 | Develop and maintain a formal means for safety communication. | | | | | | |
| Sub-Total | | | | | | | | |
| Total (max 120) | | | | | | | | |



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SMS Performance Ratings

For each assessment question above (total 30 questions), one point is to be given for each maturity element* (P, S, O and E) assessed as evident/ satisfactory, in the context of the service provider's operational scope and complexity.

Example: If a question is assessed to be satisfactory for all the four PSOE columns, then it will achieve a score of 4 points. If a question is assessed to be satisfactory for the "P" and "S" columns but not satisfactory for the "O" and "E" columns, then it will achieve only 2 points. Based on the Total points accumulated for all the 30 questions, the overall Performance Category will be as follows:

| Total Points Obtained | Performance Rating | Remarks |
|--------------------------------|--------------------|----------------|
| > 109 points (> 91%) | A | Excellent |
| 90 to 108 points (75% to 90%) | B | Good |
| 60 to 89 points (50% to 74%) | C | Fair |
| 20 to 59 points (25% to 49%) | D | Unsatisfactory |

* Maturity Assessment:

- P (Present) - There is evidence that the requirement is in place and documented within the service provider's SMS.
 S (Suitable) - The requirement is being met and is suitable given the size and complexity of the service provider's aviation operations and the inherent risk in the operations.
 O (Operating) - There is evidence that the requirement is being met, is in use, and an output is being produced.
 E (Effective) - There is evidence that the requirement is effective and achieving the desired outcome.

| | | Maturity Level | | | | For service providers that have just begun establishing SMS | For all other service providers |
|----------------------------|-------------|----------------|---|---|---|---|------------------------------------|
| SMS Element | Expectation | P | S | O | E | Recommended Actions for Inspectors | Recommended Actions for Inspectors |
| [Any except 2.1/ 2.2/ 3.1] | .. | 0 | 0 | 0 | 0 | Issue Level 2 Finding(s). | Issue Level 2 Finding(s). |
| | | 1 | 0 | 0 | 0 | Issue Level 2 Finding(s). | Issue Level 2 Finding(s). |
| | | 1 | 1 | 0 | 0 | Nil. | Issue audit observation(s). |
| | | 1 | 1 | 1 | 0 | Nil. | Issue audit observation(s). |
| | | 1 | 1 | 1 | 1 | Nil. | Nil. |