



EAC

No. 19-7

TABLE OF CONTENTS

ITEM	TITLE
EAC 19-7	<u>Transition Checklist: Status of SMS Implementation</u>
1.	SAFETY POLICY
2.	ACCOUNTABLE MANAGER
3.	SAFETY COMMITTEE
4.	SAFETY OBJECTIVES & GOALS
5.	SAFETY GOALS & OBJECTIVES
6.	HAZARD IDENTIFICATION
7.	RISK MANAGEMENT
8.	MANAGEMENT OF CHANGE
9.	SMS TRAINING COMMUNICATION & PROMOTION
10.	SMS MANUAL
11.	SMS RECORDS
12.	AUDIT & CONTINUOUS IMPROVEMENT
13.	EMERGENCY RESPONSE PLAN

Transition Checklist: Status of SMS Implementation

This transition checklist in this appendix is provided for the organization to conduct a self-evaluation of the status of their implementation of the SMS.

1) For each of the elements completed, enter a “Yes,” the date completed and the initials of the person making that determination.

- Use this checklist at regular intervals to assess the implementation of the SMS system
- Retain each completed checklist.
- When the checklist shows all elements completed, the Safety Manger will file a copy with the ECAA and the organization files
- All previous completed checklists may then be destroyed.

2) Check the “No” column, if the particular element was not implemented at the time the checklist was completed.

3) The elements in each section of this checklist have assigned priority levels for implementation in the far right column—

- Level 1 = Organization is expected to be in compliance with this level at the present time.
- Level 2 = Organization is expected to be in compliance with this level no later than six months after.
- Level 3 = Organization is expected to be in compliance with this level no later one year after.

STATUS OF SMS IMPLEMENTATION FOR:

CHECKLIST DATE:			COMPLETED BY:			
YES	NO	DATE	Initials	1	SAFETY POLICY	Level
				1.1	There is a documented Safety Policy statement?	1
				1.2	The Safety Policy is readily visible or accessible to all personnel?	2
				1.3	There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations?	3
				1.4	The Safety Policy is appropriate to the size, nature and complexity of the organization?	1
				1.5	The Safety Policy is endorsed by the Accountable Manager?	2
				1.6	There is a periodic review of the Safety Policy by senior management or the Safety Committee?	3
				1.7	The Safety Policy is relevant to aviation safety?	1

				1.8	The safety policy do address the provision of necessary human and financial resources for its implementation?	2
YES	NO	DATE	Initials	2	ACCOUNTABLE MANAGER	
				2.1	There is a documented safety (SMS) accountability within the organisation that begins with the Accountable Manager?	1
				2.2	The accountable manager's terms of reference indicate his ultimate responsibility for the implementation and maintenance of the SMS?	2
				2.3	The accountable manager's terms of reference indicated his ultimate responsibility for all safety issues?	3
				2.4	The accountable manager has full control over financial and human resources associated with his organization?	1
				2.5	The accountable manager's terms of reference indicate his final authority over all "operations" conducted under the certificate/approvals granted to his organization by the ECAA?	2
				2.6	The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager?	2
				2.7	The SMS Manager reports directly to the Accountable Manager, especially concerning SMS performance and improvement?	3
				2.8	The Manager performing the SMS role have relevant SMS functions included in his terms of reference?	1
				2.9	The SMS Manager is a senior management position not lower than or subservient to other operational or production positions?	3
YES	NO	DATE	Initials	3	SAFETY COMMITTEE	
				3.1	There is a Safety Committee (or equivalent meeting) for purpose of reviewing safety performance?	1
				3.2	For a large organisation, there are departmental or section Safety Action Groups that work inconjunction with the Safety Committee?	2
				3.3	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?	3
				3.4	The Safety Committee do include relevant operational or departmental Heads as members?	1

				3.5	There is an appointed Safety (SMS) coordinator within the Safety Action Group?	2
				3.6	The Safety Action Groups are chaired by the divisional or section Head?	3
YES	NO	DATE	Initials	4	SAFETY OBJECTIVES & GOALS	
				4.1	The organisation does establish safety objectives or goals relevant to its aviation operations or services?	1
				4.2	The safety objectives/ goals are compatible with the organisation's Safety Policy?	2
				4.3	There is a periodic review of the safety objectives/ goals for continuing validity where applicable?	3
				4.4	There are safety objectives/ goals which are measurable?	1
				4.5	The safety objectives/ goals are monitored for achievement?	2
				4.6	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?	
YES	NO	DATE	Initials	5	SAFETY PERFORMANCE & ALS	
				5.1	There are safety performance indicators relevant to aviation safety?	1
				5.2	The ALS safety performance indicators are based on data relating to occurrence of some safety or quality related events or reports?	2
				5.3	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 (ALOS)?	3
				5.4	There are identified safety performance indicators for monitoring the organisation's minimum Acceptable Level of Safety (ALS) in the SMS manual?	1
				5.5	Safety performance indicators are reviewed by the safety committee for trend, minimum safety (alert) levels and targets (desired levels) where applicable?	2
YES	NO	DATE	Initials	6	HAZARD IDENTIFICATION	
				6.1	There is a procedure to encourage voluntary hazards/ threats reporting by all employees?	1
				6.2	In the hazard identification system, there is a clear differentiation between a hazard and risk?	2

				6.3	There is a procedure to identify hazards/ threats from internal incident/ accident investigation reports for follow up risk evaluation where applicable?	3
				6.4	There is a procedure for incident/ accident reporting by operational or production personnel?	1
				6.5	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?	2
				6.6	There is a procedure to review hazards/ threats from available industry service or incident/ accident investigation reports for follow up risk evaluation where applicable?	3
				6.7	There is a procedure for investigation of incident/ accidents relating to quality or safety?	1
				6.8	There is a procedure for personnel to report hazards/ threats not amounting to incident/ accidents?	3
YES	NO	DATE	Initials	7	RISK MANAGEMENT	
				7.1	There is a documented Hazard Identification and Risk Assessment (HIRA) procedure involving the use of objective risk analysis tools?	1
				7.2	Risk assessment reports are approved by departmental managers or higher level where appropriate?	2
				7.3	There is a procedure for periodic review of existing risk analysis records?	3
				7.4	There is a procedure to account for mitigation actions whenever unacceptable risks are identified?	1
				7.5	There is a procedure to define acceptable and unacceptable risks?	2
				7.6	There is a procedure for special review of risk analysis records when there are changes that may affect their associated hazards or risks?	3
				7.7	There is a procedure for identification of operations/ processes/ facilities/ equipment which are deemed (by the organisation) as relevant for HIRA performance?	1
				7.8	There is a procedure to define mitigation actions which require senior management approval?	2
				7.9	Recommended mitigation actions which require senior management decision or approval are accounted for and documented?	3

				7.10	There is a program for progressive HIRA performance of all aviation safety-related operations/ processes/ facilities/ equipment as identified by the organisation?	1
				7.11	There is a procedure to prioritise HIRA performance for operations/ processes/ facilities/ equipment with identified or known safety-critical hazards/ risks?	2
				7.12	There is evidence of progressive compliance and maintenance of the organisation's HIRA performance program?	3
YES	NO	DATE	Initials	8	MANAGEMENT OF CHANGE	
				8.1	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?	1
				8.2	There is a procedure for review of new aviation safety related facilities and equipment for hazards/ risks before they are commissioned?	2
				8.3	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?	3
				8.4	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?	1
				8.5	There is a procedure for review of new aviation safety related operations and processes for hazards/ risks before they are commissioned?	2
YES	NO	DATE	Initials	9	SMS TRAINING COMMUNICATION & PROMOTION	
				9.1	There is a documented personnel Safety (SMS) training procedure/ policy?	1
				9.2	Personnel involved in conducting risk evaluations are provided with appropriate risk management training or familiarisation?	2
				9.3	There is evidence of organisation-wide SMS education or awareness efforts?	3
				9.4	The SMS manager has undergone an appropriate SMS training course or program?	1
				9.5	Personnel directly involved in the SMS (Safety Committee/ SAG members) have undergone appropriate SMS training or familiarisation?	2

				9.6	There is evidence of a Safety (SMS) publication, circular or channel for communicating Safety (SMS) matters to employees?	3
				9.7	The Accountable Manager has undergone appropriate SMS familiarisation, briefing or training?	1
YES	NO	DATE	Initials	10	SMS MANUAL	
				10.1	There is a documented SMS procedure or manual which is approved by the Accountable Manager and accepted by ECAA?	1
				10.2	All 12 components of SMS regulatory requirements (are addressed in the SMS procedures?	2
				10.3	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?	3
				10.4	The SMS procedures are documented in a systematic and consolidated manner?	1
				10.5	All relevant elements within each component of the SMS regulatory requirements are addressed in the SMS procedures?	2
				10.6	The SMS procedures do reflect relevant coordination or integration with substantial external service providers or operators where applicable?	3
				10.7	The SMS procedures is a stand-alone controlled document or part of an existing controlled document?	1
				10.8	There is a process to periodically review the SMS documentation to ensure its continuing suitability, adequacy and effectiveness?	2
YES	NO	DATE	Initials	11	SMS RECORDS	
				11.1	Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are maintained?	1
				11.2	Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are made available to all members and the Accountable Manager?	2
				11.3	There is a documented policy with respect to generation, distribution and retention of SMS records?	3
				11.4	Records pertaining to Safety/ Risk Assessments performed are maintained?	1

				11.5	Records pertaining to Safety/ Risk Assessments performed are assessable to all relevant parties?	2
				11.6	Records pertaining to periodic review of existing Safety/ Risk Assessments or special review in conjunction with relevant changes are available?	3
				11.7	Records pertaining to identified or reported hazards/ threats are maintained?	1
YES	NO	DATE	Initials	12	AUDIT & CONTINUOUS IMPROVEMENT	
				12.1	There is a procedure for periodic internal audit/ assessment of the SMS?	1
				12.2	There is a follow up procedure to address audit corrective actions?	2
				12.3	SMS audit/ assessment has been carried out according to plan?	3
				12.4	There is a current internal SMS audit/ assessment plan?	1
				12.5	The internal SMS audit plan do cover SMS roles and procedures of all departments as defined within the scope of the SMS?	2
				12.6	SMS audit/ assessment reports are reviewed by the Accountable Manager?	3
				12.7	There is a documented internal SMS audit/ assessment checklist?	1
				12.8	The SMS audit plan do include the sampling of completed safety assessments?	2
				12.9	The SMS audit plan do cover the SMS roles/ inputs of contractors where applicable?	3
YES	NO	DATE	Initials	13	EMERGENCY RESPONSE PLAN	
				13.1	There is a documented Emergency Response Plan or Procedure?	1
				13.2	The ERP do include procedures for safe transition from normal to emergency and back to normal operations?	2
				13.3	The ERP do address relevant integration with substantial external service providers or operators where applicable?	3
				13.4	The ERP is appropriate to the size, nature and complexity of the organisation?	1
				13.5	There is a plan for drills or exercises with respect to the ERP?	2
				13.6	There is a procedure for periodic review of the ERP as well as after key ERP personnel or organisational changes?	3

				13.7	The ERP does include assignment of emergency responsibilities/ authority?	1
				13.8	ERP drills or exercises are carried out according to plan and result of drills carried out are documented?	2
				13.9	There is provision in ERP to address preservation of safety/ quality/ continuity of its aviation product/ services during emergency/ crisis/ AOG situations, where applicable?	3