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<th>Reference Document</th>
<th>Action Required</th>
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<tr>
<td>1.1-1</td>
<td>Is there a safety policy in place?</td>
<td>Yes</td>
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<td>1.1-2</td>
<td>Does the safety policy reflect senior management’s commitment regarding safety management?</td>
<td>Yes</td>
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<td>1.1-3</td>
<td>Is the safety policy appropriate to the size, nature and complexity of the organisation?</td>
<td>Yes</td>
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<td>1.1-4</td>
<td>Is the safety policy relevant to aviation safety?</td>
<td>Yes</td>
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<td>1.1-5</td>
<td>Has the safety policy been signed by the accountable executive?</td>
<td>Yes</td>
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<td>1.1-6</td>
<td>Has the safety policy been communicated, with visible endorsement, throughout the organisation?</td>
<td>Yes</td>
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**Component 1 – Safety Policy and Objectives**

**Element 1.1 – Management Commitment and Responsibility**
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<tr>
<td>1.1-7</td>
<td>Is the safety policy being periodically reviewed to ensure that it remains relevant and appropriate to the organisation?</td>
<td>No</td>
<td>Partially</td>
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<td>1.1-7</td>
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<td>Yes</td>
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<td>1.2-1</td>
<td>Has [organisation] identified an accountable executive, irrespective of other functions, who shall have ultimate responsibility and accountability, on behalf of [organisation], for the implementation and maintenance of SMS?</td>
<td>Yes</td>
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<td>1.2-2</td>
<td>Does the accountable executive have full control of the financial and human resources required for the operations authorised to be conducted under the operations certificate?</td>
<td>Yes</td>
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<td>1.2-3</td>
<td>Does the accountable executive have final authority over all aviation activities of his organisation?</td>
<td>Yes</td>
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<td>1.2-4</td>
<td>Has [organisation] identified and documented safety accountabilities of management as well as operational personnel, with respect to the SMS?</td>
<td>Yes</td>
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<td>1.2-5</td>
<td>Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?</td>
<td>Yes</td>
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<tr>
<td>1.2-6</td>
<td>Is the safety committee or review board being chaired by the accountable executive or by an appropriately assigned deputy, duly substantiated in the SMS manual?</td>
<td>Yes</td>
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<td>1.2-7</td>
<td>Does the safety committee include relevant operational or departmental heads, as applicable?</td>
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<td>1.2-8</td>
<td>Are there safety action groups that work in conjunction with the safety committee (especially for large/complex organisations)?</td>
<td>Yes</td>
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<tr>
<td>1.3-1</td>
<td>Has [organisation] appointed qualified person to manage and oversee the day-to-day operations of SMS?</td>
<td>Yes</td>
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<td>1.3-2</td>
<td>Does the qualified person have a direct access or reporting to the accountable executive concerning the implementation and operation of SMS?</td>
<td>Yes</td>
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<td>1.3-3</td>
<td>Does the manager responsible for administering the SMS hold other responsibilities that may conflict or impair his role as SMS manager?</td>
<td>Yes</td>
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<tr>
<td>1.3-4</td>
<td>Is the SMS manager’s position as senior management not lower or subservient to other operational or production positions?</td>
<td>Yes</td>
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<tr>
<td>1.4-1</td>
<td>Does [organisation] have an emergency response/contingency plan appropriate to the size, nature and complexity of the organisation?</td>
<td>Yes</td>
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<tr>
<td>1.4-2</td>
<td>Does the emergency/contingency plan address all possible or likely emergencies/crisis scenarios relating to the organisation’s aviation product or service deliveries?</td>
<td>Yes</td>
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<tr>
<td>1.4-3</td>
<td>Does the ERP include procedures for the continuing safety production, delivery or support of its aviation products or services during such emergencies or contingencies?</td>
<td>Yes</td>
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<tr>
<td>1.4-4</td>
<td>Is there a plan and record for drills or exercises with respect to the ERP?</td>
<td>Yes</td>
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<tr>
<td>1.4-5</td>
<td>Does the ERP address the necessary coordination of its emergency response/contingency procedures with the emergency/response contingency procedures of other organisations where applicable?</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>1.4-6</td>
<td>Does [organisation] have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organisations?</td>
<td>Yes</td>
<td>No</td>
<td>Partially</td>
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<tr>
<td>1.4-7</td>
<td>Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?</td>
<td>Yes</td>
<td>No</td>
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**Element 1.5 – SMS Documentation**

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<tbody>
<tr>
<td>1.5-1</td>
<td>Is there a top-level SMS document or exposition document which is approved by the accountable manager and accepted by the CAA?</td>
<td>Yes</td>
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<td>1.5-2</td>
<td>Does the SMS documentation address the organisation’s SMS and its associated components and elements?</td>
<td>Yes</td>
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<td>1.5-3</td>
<td>Is [organisation] SMS framework in alignment with the regulatory SMS framework?</td>
<td>Yes</td>
<td>No</td>
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<td>1.5-4</td>
<td>Does [organisation] maintain a record of relevant supporting documentation pertinent to the implementation and operation of SMS?</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>1.5-5</td>
<td>Does [organisation] have an SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones?</td>
<td>Yes</td>
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<tr>
<td>1.5-6</td>
<td>Does the SMS implementation plan address the coordination between service provider’s SMS and the SMS of external organisations, where applicable?</td>
<td>Yes</td>
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<td>1.5-7</td>
<td>Has the SMS implementation plan been endorsed by the accountable executive?</td>
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**Component 2 – Safety Risk Management**

**Element 2.1 – Hazard Identification**

<p>| 2.1-1 | Is there a process for the reporting of voluntary hazards/threats by all employees?                           | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |
| 2.1-2 | Is the process of reporting voluntary hazards/threats simple, available to all personnel involved in safety-related duties and commensurate with the size of the service provider? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |
| 2.1-3 | Does [organisation] SDCPS include procedure for incident/accident reporting by operational or production personnel? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |
| 2.1-4 | Is the accident/incident reporting simple, accessible to all personnel involved in safety-related duties and commensurate with the size of the service provider? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |
| 2.1-5 | Does [organisation] have procedures for investigation of all reported incidents/accidents?                    | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |
| 2.1-6 | Are there procedures to ensure that hazards/threats identified or uncovered during incident/accident investigation processes are appropriately accounted for and integrated into the organisation’s hazard collection and risk mitigation procedure? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |
| 2.1-7 | Are there procedures to review hazards/threats from relevant industry reports, for follow-up actions or risk evaluation where applicable? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                              | No     |          |                          |             |                    |                 |
|       |                                                                                                              | Partial |          |                          |             |                    |                 |</p>
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<tbody>
<tr>
<td>2.2-1</td>
<td>Is there a documented hazard identification and risk mitigation (HIRM) procedure involving the use of objective risk analysis tools?</td>
<td>Yes</td>
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<td>2.2-2</td>
<td>Are the risk assessment reports approved by departmental managers or at a higher level, where applicable?</td>
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<td>2.2-3</td>
<td>Is there a procedure for periodic review of existing risk mitigation records?</td>
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<td>2.2-4</td>
<td>Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?</td>
<td>Yes</td>
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<td>2.2-5</td>
<td>Is there a procedure to prioritize identified hazards for risk mitigation actions?</td>
<td>Yes</td>
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<td>2.2-6</td>
<td>Is there a programme for systematic and progressive review of all aviation safety-related operations, processes, facilities and equipment, subject to the HIRM process as identified by the organisation?</td>
<td>Yes</td>
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**Component 3 – Safety Assurance**

| 3.1-1 | Are there identified safety performance indicators for measuring and monitoring the safety performance of the organisation’s aviation activities? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                    | No     |          |                          |             |                    |                 |
|       |                                                                                                                                    | Partially |        |                          |             |                    |                 |

<p>| 3.1-2 | Are the safety performance indicators relevant to the organisation’s safety policy as well as management’s high-level safety objectives/goals? | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                    | No     |          |                          |             |                    |                 |
|       |                                                                                                                                    | Partially |        |                          |             |                    |                 |</p>
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<tr>
<td>3.1-3</td>
<td>Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals?</td>
<td>Yes</td>
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<td>3.1-4</td>
<td>Is the setting of alerts or out-of-control criteria based on objective safety metrics principles?</td>
<td>Yes</td>
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<td>3.1-5</td>
<td>Do the safety performance indicators include quantitative monitoring of high-consequence safety outcomes (e.g. accident and incident rates) as well as lower-consequence events (e.g. rate of non-compliance, deviations)?</td>
<td>Yes</td>
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<td>3.1-6</td>
<td>Are safety performance indicators and their associated performance settings developed in consultation with, and subject to, the Civil Aviation Authority’s agreement?</td>
<td>Yes</td>
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<td>3.1-7</td>
<td>Is there a procedure for corrective or follow-up action to be taken when targets are not achieved and alert levels are exceeded/breached?</td>
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<td>3.1-8</td>
<td>Are the safety performance indicators being periodically reviewed?</td>
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**Element 3.2 – the Management of Change**

<p>| 3.2-1| Is there a procedure for the review of relevant existing aviation safety-related facilities and equipment (including HIRM records) whenever there are pertinent changes to those facilities or equipment? | Yes    |          |                          |             |                    |                |
|      |                                                                                                                  | No     |          |                          |             |                    |                |
|      |                                                                                                                  | Partially |          |                          |             |                    |                |
| 3.2-2| Is there a procedure for review of relevant existing aviation safety-related operations and processes (including any HIRM records) whenever there are pertinent changes to these operations or processes? | Yes    |          |                          |             |                    |                |
|      |                                                                                                                  | No     |          |                          |             |                    |                |
|      |                                                                                                                  | Partially |          |                          |             |                    |                |
| 3.2-3| Is there a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are commissioned? | Yes    |          |                          |             |                    |                |
|      |                                                                                                                  | No     |          |                          |             |                    |                |
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<td>3.2-4</td>
<td>Is there a procedure for the review of relevant existing facilities, equipment, operations or processes (including HIRM records) whenever there are pertinent changes external to the organisation such as regulatory/industry standards, best practices or technology?</td>
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**Element 3.3 – Continuous Improvement of SMS**

| 3.3-1 | Is there a procedure for periodic internal audit/assessment of the SMS?                                                                                                                                                                                                 | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | Partially |          |                          |             |                    |                 |
| 3.3-2 | Is there a current internal SMS audit/assessment plan?                                                                                                                                                                                                               | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | Partially |          |                          |             |                    |                 |
| 3.3-3 | Does the SMS audit plan include the sampling of completed/existing safety risk assessments?                                                                                                                                                                        | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | Partially |          |                          |             |                    |                 |
| 3.3-4 | Does the SMS audit plan include the sampling of safety performance indicators for data currency and their target/alert settings performance?                                                                                                                       | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | Partially |          |                          |             |                    |                 |
| 3.3-5 | Does the SMS audit plan cover the SMS interface with subcontractors or customers where applicable?                                                                                                                                                                | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | Partially |          |                          |             |                    |                 |
| 3.3-6 | Is there a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention where appropriate?                                                                                                                   | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | Partially |          |                          |             |                    |                 |

**Component 4 – Safety Promotion**

**Element 4.1 – Training and Education**

<p>| 4.1-1 | Is there a programme to provide SMS training/familiarisation to personnel involved in the implementation or operation of the SMS?                                                                                                                             | Yes    |          |                          |             |                    |                 |
|       |                                                                                                                                                                                                                                                                   | No     |          |                          |             |                    |                 |
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<tr>
<td>4.1-2</td>
<td>Has the accountable executive undergone appropriate SMS familiarisation, briefing or training?</td>
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<td>4.1-3</td>
<td>Are personnel involved in conducting risk mitigation provided with appropriate risk management training/familiarisation?</td>
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<td>4.1-4</td>
<td>Is there evidence of organisation-wide SMS education or awareness efforts?</td>
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**Element 4.2 – Safety Communication**

| 4.2-1 | Does [organisation] participate in sharing safety information with relevant external industry product and service providers or organisations, including the relevant aviation regulatory organisations? | Yes | | | | | |
| | | No | | | | | |
| | | Partially | | | | | |
| 4.2-2 | Is there evidence of a safety (SMS) publication, circular or channel for communicating safety information (SMS) matters to employees? | Yes | | | | | |
| | | No | | | | | |
| | | Partially | | | | | |
| 4.2-3 | Is [organisation] SMS manual and related guidance material accessible or disseminated to all relevant personnel? | Yes | | | | | |
| | | No | | | | | |
| | | Partially | | | | | |

**APPROVAL BY:**

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<tr>
<th>SIGNATURE OF PERSON RESPONSIBLE FOR SAFETY MANAGEMENT SYSTEM</th>
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