



NIGERIAN CIVIL AVIATION AUTHORITY

AVIATION HOUSE

P. M. B. 21029, 21038, Ikeja, Lagos, Nigeria

CL: O-OPS 042 EVALUATION OF SAFETY MANAGEMENT SYSTEM MANUAL

Record ID:	Protocol #	Inspector:	Action Taken
Operator/Organization:	Date Accomplished:	Type of Operation:	Location:
Title of Manual			

Instructions for Use:

1. Check '**S**' column if you reviewed the record, procedure or event and it is '**Satisfactory**'.
2. Check '**U**' column if you reviewed the record, procedure or event and it is '**Unsatisfactory**'.
3. Check **NS (not seen)** column if you did not review the record, procedure or event or you do not have adequate information to make a valid comment.
4. Check **NA (not applicable)** column, if the line item is not required in this particular situation.
5. Enter any notes on reverse side regarding a 'U' answer for transfer to the Safety issues Resolution Report.
6. For later reference, precede any notes with the appropriate item number.

S/N	OVERALL MANUAL APPEARANCE	S	U	NS	NA
0	COMPLETE CHECKLIST CL: O-OPS 020B				

S/N	A. SAFETY POLICY AND OBJECTIVES	S	U	NS	NA
A.1	Management Commitment and Responsibility	S	U	NS	NA
1	There is a safety policy in place.				
2	Safety policy reflects organizational commitments regarding safety management.				
3	Safety policy includes a clear statement about the provision of the necessary resources for the implementation of safety policy.				
4	Safety policy includes the safety reporting procedure.				
5	Safety policy clearly indicates which types of operational behaviours are acceptable.				
6	Safety policy clearly includes the conditions under which disciplinary action would not apply.				
7	The safety policy is assigned by the Accountable Manager.				
8	The safety policy is communicated, with visible endorsement throughout the organization.				
9	The safety policy is periodically reviewed to ensure it remains relevant and appropriate to the organization.				
10	There is a formal process to develop a coherent set of safety objectives				
11	The safety objectives are linked to the safety performance indicators, safety performance targets and action plans.				
12	The safety objectives are publicized and distributed				
A.2	Safety Accountabilities	S	U	NS	NA
13	The Accountable Manager has the ultimate responsibility and accountability for the implementation of the SMS.				
14	The Accountable Manager has responsibility for ensuring that SMS is properly implemented and performing to requirements in all areas of the organization.				
15	The Accountable Manager has full financial control for the operations authorized under the AOC.				
16	The Accountable Manager has full control of human resources required under the authorized operations of the AOC.				
17	The Accountable Manager has direct responsibility for the conduct of the organization's affairs.				
18	The Accountable Manager has final authority over operations authorized to be conducted under the AOC.				
19	The organization has recognized the accountabilities of members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS.				

20	The safety responsibilities, accountabilities and authorities are documented and communicated throughout the organization.				
21	The organization has included a definition of the levels of management with authority to make decisions regarding safety risk tolerability.				
A.3	Appointment of Key Safety Personnel	S	U	NS	NA
22	The organization has appointed a qualified person to manage and oversee the day to day operation of the SMS.				
23	The person overseeing the operation of the SMS will fulfill the required job functions and responsibility.				
24	The safety authorities, responsibilities and accountabilities of personnel of all levels of the organization defined and documented.				
A.4	Coordinating of Emergency Response Planning	S	U	NS	NA
25	The organization has an emergency response/contingency plan appropriate for its size, nature and complexity.				
26	The organization coordinates its emergency response/contingency procedures with those of the other organizations it interfaces with during the provision of services.				
27	The organization has a process to distribute and communicate the coordination procedures to the personnel involved in such interaction.				
A.5	Documentation	S	U	NS	NA
28	The organization has developed and maintains a safety library for appropriate hazard documentation and documentation management.				
29	The organization has developed and maintains SMS docs. in paper.				
30	The organization has developed and maintains SMS electronically.				
31	The SMS documentation developed describes the SMS and the consolidated interrelationships between all the SMS components.				
32	The service provider has developed its SMS implementation plan and it meets the organization's safety objectives.				
33	The SMS implementation plan has been developed by a person or a planning group which comprises an appropriate experience base.				
34	There is provision for the person or planning group to have resources (including time for meetings) for the development of SMS implementation plan.				
35	The SMS implementation plan is endorsed by senior management.				
36	The SMS implementation plan is regularly reviewed by senior management.				
37	The SMS implementation plan proposes SMS implementation in phases.				
38	The SMS implementation plan explicitly addresses the coordination between this service provider's SMS and the SMS of other organizations it must interface with during the provision of services.				
39	The service provider has developed this safety management system manual (SMSM) as a key instrument for communicating its approach to safety to the whole organization.				
40	This SMSM documents all aspects of SMS including, among others, the safety policy, objectives, procedures and individual safety accountabilities.				
41	This SMSM clearly articulates the role of safety risk management as an initial design activity and the role of safety assurance as a continuous activity.				
42	Relevant portions of SMS-related documentation are incorporated, as applicable into approved documentation, such as company operations manual, maintenance control/policy manual and airport operation manual.				
43	The service provider has a records system that ensures generation and retention of all records necessary to document and support operational requirements.				
44	The service provider's records system is in accordance with applicable regulatory requirements and industry best practices.				
45	The records system provides the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records.				
B	SAFETY RISK MANAGEMENT				
B.1	Hazard Identification	S	U	NS	NA
46	The organization has a formal safety data collection and processing system (SDCPS) for effective collection of information about hazards in operations.				

47	The organization has reactive processes that provide of the capture of information relevant to safety and risk management.				
48	The service provider has developed training relevant to reactive methods of safety data collection.				
49	The reactive reporting is simple, accessible and commensurate with the size of the service provider.				
50	Reactive reports are to be reviewed at the appropriate level of management				
51	There is a feedback process to notify contributors that their reports have been received and to share the results of the analysis.				
52	The service provider has proactive processes that actively look for the identification of safety risks through the analysis of its activities.				
53	There is training relevant to proactive methods of safety data collection				
54	Proactive reporting is simple, accessible and commensurate with the size of the service provider.				
55	The service provider has predictive processes that provide the capture of system performance as it happens in real-time normal operations.				
56	There is training relevant to predictive methods of safety data collection.				
57	The service provider has developed communication relevant to predictive methods of safety data collection.				
58	The predictive data capture process is commensurate with the size of the service provider.				
B.2	Safety Risk Assessment and Mitigation	S	U	NS	NA
59	The organization has developed and maintains a formal process that ensures analysis, assessment and control of the safety risks in the organization.				
60	The organization's SMS documentation clearly articulates the relationship between hazards, consequences and safety risks.				
61	There is a structured process for the analysis of the safety risks associated with the consequences of identified hazards, expressed in terms of probability and severity of occurrence.				
62	There are criteria for assessing safety risks with safety risk tolerability (i.e. the acceptable level of safety risk the organization is willing to accept).				
63	The service provider has safety risk mitigation strategies that include corrective/preventive action plans to prevent recurrence of reported occurrences and deficiencies.				
C	SAFETY ASSURANCE				
C.1	Safety Performance Monitoring and Measurement	S	U	NS	NA
64	The organization has implemented an internal process to verify the safety performance of the organization and to validate the effectiveness of safety risks controls.				
65	The internal process has Safety Reporting System.				
66	The internal process has Safety Studies.				
67	The internal process has Safety Reviews.				
68	The internal process has Safety Audits.				
69	The internal process has Safety Surveys.				
70	The internal process has Safety Investigations.				
71	The safety performance of the organization is verified in reference to the safety performance indicators and safety performance targets of the SMS.				
72	Safety Reports will be reviewed at the appropriate level of management.				
73	There is a feedback process to notify contributors that their reports have been received and to share the results of the analysis.				
74	There are corrective and preventive actions generated in response to hazard identification.				
75	There is a procedure in place for the conduct of internal investigations.				
76	There is a process in place to ensure that occurrences and deficiencies reported are analyzed to identify all associated hazards.				
77	The service provider has a process for evaluating the effectiveness of the corrective/preventive measures that have been developed.				
78	The service provider has a system that monitors the internal reporting process and the associated corrective actions.				
79	There is an audit function with independence and authority required to carry out effective internal evaluations.				

80	The audit system covers all functions, activities and organizations within the service provider.				
81	There are selection/training processes to ensure the objectivity and competence of auditors as well as the impartiality of the audit process.				
82	There is a procedure for reporting audit results and maintaining records				
83	There is a procedure outlining requirements for timely corrective and preventive action in response to audit results.				
84	There is a procedure to record verification of action(s) taken and the reporting of verification results.				
85	There is a process in place to analyze trends.				
C.2	The Management of Change	S	U	NS	NA
86	The organization has developed and maintains a formal process to identify changes within the organization which may affect established processes and services.				
87	The formal process for the management of change analyze changes to operations or key personnel for safety risks.				
88	The organization has established arrangements to ensure safety performance prior to implementing changes.				
89	The organization has established a process to eliminate or modify safety risk controls that are no longer needed due to changes in the operational environment.				
C.3	Continuous Improvement of SMS	S	U	NS	NA
90	The organization has developed and maintains a formal process to identify the causes of substandard performance of the SMS.				
91	The organization has established mechanism (s) to determine the implications of substandard performance of the SMS on operations.				
92	The organization has established mechanism (s) to eliminate or mitigate the causes of substandard performance on the SMS.				
93	The organization has a process for the proactive evaluation of facilities, equipment, documentation and procedures (through audits and surveys, etc.).				
94	The organization has a process for the proactive evaluation of an individual's performance, to verify the fulfillment of that individual's safety responsibilities.				
D	SAFETY PROMOTION				
D.1	Training and Education	S	U	NS	NA
95	There is a documented process to identify training requirements so that personnel are trained and competent to perform their SMS duties.				
96	The safety training is appropriate to the individual's involvement in the SMS.				
97	The safety training is incorporated into indoctrination training upon employment.				
98	There is emergency response/contingent training for affected personnel.				
99	There is a process that measures the effectiveness of training.				
D.2	Safety Communication	S	U	NS	NA
100	There are communication processes in place within the organization that permit the safety management system to function effectively.				
101	There are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the service provider.				
102	Safety-critical information is established and maintained in a suitable medium that provides direction regarding relevant SMS documents.				
103	Safety-critical information is disseminated throughout the organization and the effectiveness of safety communication is monitored.				
104	There is procedure that explains why particular safety actions are taken and why safety procedures are introduced or changed.				

REMARKS & OBSERVATIONS

INSPECTOR NAME: _____

INSPECTOR SIGNATURE