



**Attachment B
SMS REVIEW GUIDE — ACCEPTANCE**

Instructions:

1. Air operators are to complete Part A.
2. Lines that are shaded do not need to be completed. Those questions will be checked by the inspectors during on-site acceptance review of the SMS.
3. Once Part A is completed, inspectors will review the information provided by the air operator and complete Part B.
4. The completed review guide will be used by inspectors to plan the on-site acceptance review of the SMS.

No.	EXPECTATIONS		PART A (TO BE COMPLETED BY COMPANY)		PART B (TO BE COMPLETED BY CAA)	
			Document reference	Company comment	Document reference	CAA comment
	Reference In Doc 9859	Components and elements				
Component 1 — SAFETY POLICY AND OBJECTIVES						
Element 1.1 — Management commitment and responsibility						
1	4.3.1; 4.5.2 (a)	Is there a safety policy in place?				
2	4.3.1	Does the safety policy reflect senior management commitments regarding safety management?				
3	4.3.1	The safety policy is appropriate to the size, nature and complexity of the organization.				
4	4.3.1	The safety policy is relevant to aviation safety.				
5	4.3.1; 4.5.2	Is the safety policy signed by the Accountable Executive?				
6	4.5.2	Is the safety policy communicated, with visible endorsement, throughout the [organization]?				
7	4.5.2	Is the safety policy periodically reviewed to				



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		ensure it remains relevant and appropriate to the [organization]?				
Element 1.2 — Safety accountabilities						
1	4.5.1; 4.3.2	Has the [organization] identified an Accountable Executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the [organization], for the implementation and maintenance of the SMS?				
2	4.3.2	Does the Accountable Executive have full control of the financial and human resources required for the operations authorized to be conducted under the operations certificate?				
3	4.3.2	Does the Accountable Executive have final authority over all aviation activities of his organization?				
4	4.3.2	Has the organization identified and documented the safety accountabilities of management as well as operational personnel with respect to the SMS?				
5	4.3.3 and App. 3	Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?				
6	4.3.3 and App. 3	Is the safety committee chaired by the Accountable Executive or by an appropriately assigned deputy, duly substantiated in the SMS manual?				



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7	4.3.3 and App. 3	Does the safety committee include relevant operational or departmental heads as applicable?				
8	4.3.3 and App. 3	Are there safety action groups that work in conjunction with the safety committee? (large/complex organizations as appropriate)				
Element 1.3 — Appointment of key safety personnel						
1	4.5.1; 4.3.3; App. 1	Has the organization appointed a qualified person to manage and oversee the day-to-day operation of the SMS?				
2	4.3.3; App. 1, 6.1	Does the qualified person have direct access or reporting to the Accountable Executive concerning the implementation and operation of the SMS?				
3	App. 1, 6.4	The manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.				
4	App. 1, 6.4	The SMS Manager is a senior management position not lower than or subservient to other operational or production positions				
Element 1.4 — Coordination of emergency response planning						
1	App. 4	Does the [organization] have an emergency response/contingency plan appropriate to the size, nature and complexity of the organization?				
2	App. 4, 4 (f)	Does the Emergency/Contingency plan address all possible or likely emergency/crisis scenarios relating to the organization's aviation product or				



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		service deliveries?				
3	App 4, 4(e)	Does the ERP include procedures for the continuing safe production, delivery or support of its aviation products or services during such emergencies or contingencies?				
4	App. 4, 5 (c)	Is there a plan and record for drills or exercises with respect to the ERP?				
5	App. 4, 4 (d)	Does the ERP address necessary coordination of its emergency response/contingency procedures with the emergency/response contingency procedures of other organizations where applicable?				
6	App. 4, 5 (a)	Does the [organization] have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organizations?				
7	App. 4, 5 (d)	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?				
Element 1.5 — SMS documentation						
1	4.3.5	There is a top level SMS summary or exposition document which is approved by the Accountable Manager and accepted by the CAA Nepal.				
2	4.3.5; 4.4.1; App. 3	Does the SMS documentation address the organization's SMS and its associated components and elements?				



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3	4.3.5; 4.4.1; App. 3	Is the organization's SMS framework in alignment to the regulatory SMS framework?				
4	4.3.5; 4.5.4	Does the organization maintain a record of relevant supporting documentation pertinent to the implementation and operation of the SMS?				
5	4.4.4	Does the organization have a SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones?				
6	4.4.4	Does the SMS implementation plan address the coordination between the service provider's SMS and the SMS of external organizations where applicable?				
7	4.5.1; 4.4.4	Is the SMS implementation plan endorsed by the Accountable Executive?				
Component 2 — SAFETY RISK MANAGEMENT						
Element 2.1 — Hazard identification						
1	4.5.3 (a); 4.3.6	There is a process for voluntary hazards/threats reporting by all employees.				
2	4.3.6	Is the voluntary hazard/threats reporting simple, available to all personnel involved in safety-related duties and commensurate with the size of the service provider?				



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3	4.3.8; 4.5.3; Xref Chap. 3, App. 12	Does the [organization's] SDCPS include procedures for incident/accident reporting by operational or production personnel?				
4	4.5.3; 4.3.8	Is incident/accident reporting simple, accessible to all personnel involved in safety-related duties and commensurate with the size of the service provider?				
5	4.5.3; 4.3.8	Does the [organization] have procedures for investigation of all reported incident/accidents?				
6	1.12.2; 1.12.3; 4.3.6	Are there procedures to ensure that hazards/threats identified or uncovered during incident/accident investigation processes are appropriately accounted for and integrated into the organization's hazard collection and risk mitigation procedure?				
7	1.12.2; 1.12.3	Are there procedures to review hazards/threats from relevant industry reports for follow up actions or risk evaluation where applicable?				
Element 2.2 — Safety risk assessment and mitigation						
1	1.12; 1.14; 4.3.7	Is there a documented hazard identification and risk mitigation (HIRM) procedure involving the use of objective risk analysis tools.				



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2	4.3.7; 1.15.1	Are the risk assessment reports approved by departmental managers or higher level where appropriate?				
3	4.5.3	Is there a procedure for periodic review of existing risk mitigation records?				
4	4.5.3	Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?				
5	4.5.3	Is there a procedure to prioritize identified hazards for risk mitigation actions?				
6	4.5.3	Is there a programme for systematic and progressive HIRM performance of all aviation safety-related operations/ processes/ facilities/ equipment as identified by the organization?				
Component 3 — SAFETY ASSURANCE						
Element 3.1 — Safety performance monitoring and measurement						
1	4.5.3; 4.3.8; App. 6	Are there identified safety performance indicators for measuring and monitoring safety performance of the organization's aviation activities?				
2	4.5.3; 4.3.8; App. 6	Are safety performance indicators relevant to the organization's safety policy as well as management's high-level safety				



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		objectives/goals?				
3	4.5.3; 4.3.8; App. 6	Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals?				
4	4.3.8; App. 6	Is the setting of alert levels or out of control criteria based on objective safety metrics principles?				
5	4.3.8; App. 6	Do the safety performance indicators include quantitative monitoring of high consequence safety outcomes (e.g., accident and serious incident rates) as well as lower consequence events (e.g. rate of non-compliance, deviations)?				
6	4.5.3; 4.3.8	Are safety performance indicators and their associated performance settings developed in consultation with, and subject to the aviation authority's agreement?				
7	4.4.5	Is there a procedure for corrective or follow-up action to be taken when targets are not achieved and alert levels are exceeded/breached?				
8	4.4.5; App. 6	Are the safety performance indicators periodically reviewed?				
Element 3.2 — The management of change						
1	4.3.9; 4.5.3	Is there a procedure for review of relevant existing aviation safety related facilities and				



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		equipment (including any HIRM records) whenever there are pertinent changes to those facilities or equipment?				
2	4.3.9; 4.5.3	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 those operations or processes?				
3	4.5.3	Is there a procedure for review of new aviation safety related operations and processes for hazards/risks before they are commissioned?				
4	4.5.3	Is there a procedure for review of relevant existing facilities, equipment, operations or processes (including any HIRM records) whenever there are pertinent changes external to the organization such as regulatory/industry standards, best practices or technology?				
Element 3.3 — Continuous improvement of the SMS						
1	4.3.10; 4.5.3; 4.5.4	Is there a procedure for periodic internal audit/assessment of the SMS?				
2	4.3.10; 4.5.3; 4.5.4	Is there a current internal SMS audit/assessment plan?				
3	4.5.4	Does the SMS audit plan include the sampling of completed/existing safety risk assessments?				
4	4.5.4	Does the SMS audit plan include the sampling				



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		of safety performance indicators for data currency and their target/alert settings performance?				
5	4.5.4	Does the SMS audit plan cover the SMS interface with sub-contractors or customers where applicable?				
6	4.5.4	There is a process for SMS audit/ assessment reports to be submitted or highlighted for the Accountable Manager's attention where appropriate.				
Component 4 — SAFETY PROMOTION						
Element 4.1 — Training and education						
1	4.3.11; 4.5.4	Is there a programme to provide SMS training/familiarization to personnel involved in the implementation or operation of the SMS?				
2	4.3.11; 4.5.4	Has the Accountable Executive undergone appropriate SMS familiarization, briefing or training?				
3	4.3.11; 4.5.4	Are personnel involved in conducting risk mitigation provided with appropriate risk management training or familiarization?				
4	4.3.11; 4.5.4	Is there evidence of organization-wide SMS education or awareness efforts?				
Element 4.2 — Safety communication						
1	4.3.12;	Does the organization participate in safety				



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	4.5.4	information sharing with relevant external industry product and service providers or organizations, including the relevant aviation regulatory organizations?				
2	4.3.12; 4.5.4	There is evidence of a safety (SMS) publication, circular or channel for communicating safety (SMS) matters to employees.				
3	4.3.12; 4.5.4	Are the organization's SMS manual and related guidance materials accessible or disseminated to all relevant personnel? [4.3.12; 4.5.4]				