



Attachment B

SMS REVIEW GUIDE — ACCEPTANCE

Instructions:

1. Air operators, CAMO and AMO 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, CAMO and AMO 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 <i>(TO BE COMPLETED BY COMPANY)</i>		PART B <i>(TO BE COMPLETED BY CAA NEPAL)</i>	
		Document reference	Company comment	CAA Nepal Comment	FOD & AWID Inspector Sign.
Components and elements					
Component 1 — SAFETY POLICY AND OBJECTIVES					
Element 1.1 — Management commitment and responsibility					
Reference: (CAR-19 Appendix-2 Para 1.1; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Is there a safety policy in place?				
2	Does the safety policy reflect senior management commitments regarding safety management?				
3	The safety policy is appropriate to the size, nature and complexity of the organization.				
4	The safety policy is relevant to aviation safety.				
5	Is the safety policy signed by the Accountable Executive?				
6	Is the safety policy communicated, with visible endorsement, throughout the [organization]?				
7	Is the safety policy periodically reviewed to ensure it remains relevant and appropriate to the [organization]?				
Element 1.2 — Safety accountabilities					
Reference: (CAR-19 Appendix-2 Para 1.2; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	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	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	Does the Accountable Executive have final authority over all aviation activities of his organization?				
4	Has the organization identified and documented the safety accountabilities of management as well as operational personnel with respect to the SMS?				
5	Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?				
6	Is the safety committee chaired by the Accountable Executive or by an appropriately assigned deputy, duly substantiated in the SMS manual?				
7	Does the safety committee include relevant operational or departmental heads as applicable?				



AIR OPERATOR CERTIFICATE INSPECTOR MANUAL VOLUME II

No.	EXPECTATIONS	PART A (TO BE COMPLETED BY COMPANY)		PART B (TO BE COMPLETED BY CAA NEPAL)	
		Document reference	Company comment	CAA Nepal Comment	FOD & AWID Inspector Sign.
		Components and elements			
8	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 Reference: (CAR-19 Appendix-2 Para 1.3; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Has the organization appointed a qualified person to manage and oversee the day-to-day operation of the SMS?				
2	Does the qualified person have direct access or reporting to the Accountable Executive concerning the implementation and operation of the SMS?				
3	The manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.				
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 Reference: (CAR-19 Appendix-2 Para 1.4; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Does the [organization] have an emergency response/contingency plan appropriate to the size, nature and complexity of the organization?				
2	Does the Emergency/Contingency plan address all possible or likely emergency/crisis scenarios relating to the organization's aviation product or service deliveries?				
3	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	Is there a plan and record for drills or exercises with respect to the ERP?				
5	Does the ERP address necessary coordination of its emergency response/contingency procedures with the emergency/response contingency procedures of other organizations where applicable?				
6	Does the [organization] have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organizations?				
7	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?				
Element 1.5 — SMS documentation Reference: (CAR-19 Appendix-2 Para 1.5; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	There is a top level SMS summary or exposition document which is approved by the Accountable Manager and accepted by the CAA Nepal.				
2	Does the SMS documentation address the organization's SMS and its associated components and elements?				
3	Is the organization's SMS framework in alignment to the regulatory SMS framework?				
4	Does the organization maintain a record of relevant supporting documentation pertinent to the implementation and operation of the SMS?				



AIR OPERATOR CERTIFICATE INSPECTOR MANUAL VOLUME II

No.	EXPECTATIONS	PART A (TO BE COMPLETED BY COMPANY)		PART B (TO BE COMPLETED BY CAA NEPAL)	
		Document reference	Company comment	CAA Nepal Comment	FOD & AWID Inspector Sign.
		Components and elements			
5	Does the organization have a SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones?				
6	Does the SMS implementation plan address the coordination between the service provider's SMS and the SMS of external organizations where applicable?				
7	Is the SMS implementation plan endorsed by the Accountable Executive?				
Component 2 — SAFETY RISK MANAGEMENT					
Element 2.1 — Hazard identification					
Reference: (CAR-19 Appendix-2 Para 2.1; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	There is a process for voluntary hazards/threats reporting by all employees.				
2	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?				
3	Does the [organization's] SDCPS include procedures for incident/accident reporting by operational or production personnel?				
4	Is incident/accident reporting simple, accessible to all personnel involved in safety-related duties and commensurate with the size of the service provider?				
5	Does the [organization] have procedures for investigation of all reported incident/accidents?				
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	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					
Reference: (CAR-19 Appendix-2 Para 2.2; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Is there a documented hazard identification and risk mitigation (HIRM) procedure involving the use of objective risk analysis tools.				
2	Are the risk assessment reports approved by departmental managers or higher level where appropriate?				
3	Is there a procedure for periodic review of existing risk mitigation records?				
4	Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?				
5	Is there a procedure to prioritize identified hazards for risk mitigation actions?				
6	Is there a programme for systematic and progressive HIRM performance of all aviation safety-related operations/ processes/ facilities/ equipment as identified by the organization?				



AIR OPERATOR CERTIFICATE INSPECTOR MANUAL VOLUME II

No.	EXPECTATIONS	PART A (TO BE COMPLETED BY COMPANY)		PART B (TO BE COMPLETED BY CAA NEPAL)	
		Document reference	Company comment	CAA Nepal Comment	FOD & AWID Inspector Sign.
		Components and elements			
Component 3 — SAFETY ASSURANCE					
Element 3.1 — Safety performance monitoring and measurement					
Reference: (CAR-19 Appendix-2 Para 3.1; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Are there identified safety performance indicators for measuring and monitoring safety performance of the organization's aviation activities?				
2	Are safety performance indicators relevant to the organization's safety policy as well as management's high-level safety objectives/ goals?				
3	Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals?				
4	Is the setting of alert levels or out of control criteria based on objective safety metrics principles?				
5	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	Are safety performance indicators and their associated performance settings developed in consultation with, and subject to the aviation authority's agreement?				
7	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	Are the safety performance indicators periodically reviewed?				
Element 3.2 — The management of change					
Reference: (CAR-19 Appendix-2 Para 3.2; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Is there a procedure for review of relevant existing aviation safety related facilities and equipment (including any HIRM records) whenever there are pertinent changes to those facilities or equipment?				
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 those operations or processes?				
3	Is there a procedure for review of new aviation safety related operations and processes for hazards/risks before they are commissioned?				
4	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					
Reference: (CAR-19 Appendix-2 Para 3.3; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Is there a procedure for periodic internal audit/assessment of the SMS?				



AIR OPERATOR CERTIFICATE INSPECTOR MANUAL VOLUME II

No.	EXPECTATIONS	PART A (TO BE COMPLETED BY COMPANY)		PART B (TO BE COMPLETED BY CAA NEPAL)	
		Document reference	Company comment	CAA Nepal Comment	FOD & AWID Inspector Sign.
		Components and elements			
2	Is there a current internal SMS audit/assessment plan?				
3	Does the SMS audit plan include the sampling of completed/existing safety risk assessments?				
4	Does the SMS audit plan include the sampling of safety performance indicators for data currency and their target/alert settings performance?				
5	Does the SMS audit plan cover the SMS interface with sub-contractors or customers where applicable?				
6	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					
Reference: (CAR-19 Appendix-2 Para 4.1; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Is there a program to provide SMS training/familiarization to personnel involved in the implementation or operation of the SMS?				
2	Has the Accountable Executive undergone appropriate SMS familiarization, briefing or training?				
3	Are personnel involved in conducting risk mitigation provided with appropriate risk management training or familiarization?				
4	Is there evidence of organization-wide SMS education or awareness efforts?				
Element 4.2 – Safety communication					
Reference: (CAR-19 Appendix-2 Para 4.2; NCAR Part-145 Appendix-V & NCAR Part-M Appendix-XIV)					
1	Does the organization participate in safety information sharing with relevant external industry product and service providers or organizations, including the relevant aviation regulatory organizations?				
2	There is evidence of a safety (SMS) publication, circular or channel for communicating safety (SMS) matters to employees.				
3	Are the organization's SMS manual and related guidance materials accessible or disseminated to all relevant personnel? [4.3.12; 4.5.4]				

On-site Review

1. The on-site review is to validate observations from the documentation review exercise. This includes deficiencies in the submitted documentation, as well as verifying that the documented policies, processes and procedures are in place and available for immediate use when the applicants request for certification is granted.

2. Deficiencies noted by the review team will be rectified by the air operators, CAMO and AMO prior to acceptance of the SMS.



AIR OPERATOR CERTIFICATE INSPECTOR MANUAL VOLUME II

Company documentation was validated on site and the SMS portion of the organization is acceptable for initial certification of the air operator, CAMO and AMO.

SMS Reviewed by,

FOD Inspector

Date:

AWID Inspector

Date: