

	TANZANIA CIVIL AVIATION AUTHORITY DIVISION OF SAFETY REGULATION	Revision: 0
Document No: TCAA/FRM/SR/GEN-01	SAFETY MANAGEMENT SYSTEM (SMS) AUDIT CHECKLIST	Page 1 of 13

Applicable under the Tanzania Civil Aviation (SMS) Regulations

1.	GENERAL INFORMATION		
1.1.	Name of organization		
1.2.	Physical address		
1.3.	Postal address		
1.4.	Phone number		
1.5.	Organization Email		
1.6.	Date of inspection/audit		
1.7.	Services/operations inspected		
1.8.	Accountable Manager	Name	
		Designation	
		Signature/Date	
		Mobile number	
1.9.	Safety Manager	Name	
		Designation	
		Signature/Date	
		Mobile number	

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Note:

- I. Use following abbreviations to indicate your observations. If the space provided for comments is not adequate use the space given in the page 13 with the reference number of the Area of Inspection. **S** = Satisfactory; **U** = Unsatisfactory; **N** = Not Checked; **N/A** = Not Applicable, **F** = Finding
- II. Quote the reference number in the first column when referring to area of inspection, finding or comments

REF	AREA OF AUDIT	Reg	OBSERVATION					COMMENT
			S	U	N	NA	F	
2.	SAFETY POLICY							
2.1.	Is there a documented Safety Policy Statement in an organization?							
2.2.	Is The safety policy appropriate to the size, nature and complexity of an organization?							
2.3.	Is the safety policy relevant to ensure aviation safety?							
2.4.	Is the safety policy readily visible and accessible by all staff?							
2.5.	Is the Safety policy endorsed by the Accountable Executive?							
2.6.	Does the safety policy address the provision of human and financial resources for its implementation?							
2.7.	Is there evidence that the safety policy is communicated to all employees with intent that they are made aware of their							

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REF	AREA OF AUDIT	Reg	OBSERVATION					COMMENT
			S	U	N	NA	F	
	individual safety obligations?							
2.8.	Is there periodic review of the safety policy by senior management or the safety committee?							
3	SAFETY ACCOUNTABILITIES AND RESPONSIBILITIES							
3.1	Is there a documented safety (SMS) accountability within the organizations that begins with the Accountable Executives?							
3.1	Does the Accountable Executive have full control over financial and human resources associated with certification powers or approvals?							
3.3	Are the terms of reference for the Accountable Executive indicate his ultimate responsibility for implementation and maintenance of SMS including full Authority over organization operations under the certificate or approval?							
3.4	Is there an SMS Manager who explicitly performs the role of administering an SMS?							
3.5	Are the SMS Manager's functions included in his/her terms of reference or job description?							
3.6	Does the SMS Manager have any additional responsibilities							

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REF	AREA OF AUDIT	Reg	OBSERVATION					COMMENT
			S	U	N	NA	F	
	that may conflict or impair his role as an SMS manager?							
3.7	Is there a safety committee for the purpose of reviewing of safety performance?							
3.8	Does the safety committee include the relevant operational personnel and departmental heads?							
3.9	Is the Safety committee chaired by chaired by the Safety manager or deputy duly assigned in the SMS manual?							
4.	SAFETY OBJECTIVES AND GOALS							
4.1	Are the established safety objectives relevant to its aviation operations or services?							
4.2	Are the safety goals/objectives measurable?							
4.3	Are the Safety goals/objectives compatible with the Safety Policy?							
4.4	Are the safety goals/objectives monitored for ensuring their achievement?							
4.5	Is there a programme for periodic review of the safety objectives/goals?							

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4.6	Is there evidence that safety goals/objectives are communicated to all employees with the intent of making them aware of their individual obligations and contributions?							
5.0	SAFETY PERFORMANCE AND ACCEPTABLE LEVEL OF SAFETY (ALOS)							
5.1	Are there established safety performance indicator(s) relevant to aviation safety?							
5.2	Are there AT LEAST TWO safety performance indicators for monitoring the organization's minimum ALoS or safety performance?							
5.3	Are the ALoS and safety performance indicators BASED ON DATA relating to occurrence reporting or some safety quality related events or reports?							
5.4	Are the safety indicators periodically reviewed by the safety committee for trends or exceedance?							
5.5	Is there a procedure for corrective or follow up action to be taken when there is significant abnormal trend or breach of any ALoS?							
6	HAZARD IDENTIFICATION AND RISK ASSESSMENT							

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REF	AREA OF AUDIT	Reg	OBSERVATION					COMMENT
			S	U	N	NA	F	
6.1	Is there a documented hazard identification and risk assessment (HIRA) procedure using the objective risk analysis tools?							
6.2	Is there a procedure for account for mitigation action whenever unacceptable risks are identified?							
6.3	Is there a procedure for identification of operations/processes/facilities/equipment which is deemed relevant for HIRA performance?							
6.4	Is there a policy that provides for immunity from disciplinary actions (with any exceptions indicated) for all employees that report safety related deficiencies, threats or hazards?							
6.5	Are risk assessment reports approved by the departmental managers or higher level where appropriate?							
6.6	Is there a procedure to define acceptable and unacceptable risks?							
6.7	Is there a procedure to prioritize HIRA performance for operations/processes/facilities or equipment with identified or known safety- critical hazards or risks?							

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REF	AREA OF AUDIT	Reg	OBSERVATION					COMMENT
			S	U	N	NA	F	
6.8	Is there a procedure for personnel to identify or report hazards?							
6.9	Is there a procedure for periodic review of existing risk analysis records?							
6.10	Is there a procedure for special review of risk analysis records when there are changes that may affect their associated hazards							
6.11	Is there a procedure for proposing mitigation action by safety committee/safety action group (based on HIRA) to the senior management or board for decision of approval?							
6.12	Is there a progressive compliance and maintenance of the organization's HIRA performance programme?							
7	MANAGEMENT OF CHANGE							
7.1	Is there a procedure for review of relevant EXISTING aviation safety related facilities and equipment whenever there is pertinent change to those facilities, services or equipment?							
7.2	Is there a procedure for review of relevant EXISTING aviation safety related operations and processes (including							

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			S	U	N	NA	F	
	HIRA records) whenever there is pertinent change to those operations and processes?							
7.3	Is there a procedure for review of NEW aviation safety related facilities and equipment whenever there is pertinent change to those facilities, services or equipment?							
7.4	Is there a procedure for review of NEW aviation safety related operations and processes (including HIRA records) whenever there is pertinent change to those operations and processes?							
7.5	Is there a procedure for review of relevant existing aviation safety related facilities, equipment, processes and operations whenever there is pertinent changes external to the organization such as regulatory/industry standards, best practices or technology?							
8	SMS TRAINING, COMMUNICATION AND PROMOTION							
8.1	Is there a documented personnel safety (SMS) training procedures and policy?							
8.2	Has the SMS manager undergone appropriate SMS familiarization and training?							

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8.3	Have personnel involved in conducting the risk evaluations provided with appropriate risk management training?							
8.4	Are relevant personnel directly involved with the operation and maintenance of SMS undergone training commensurate with their individual level of involvement?							
8.5	Is there evidence of wider SMS education or awareness among employees?							
9.0	SMS DOCUMENTATION AND RECORDS							
9.1	Is there an existing and up-to-date organization's SMS Manual?							
9.2	Is the SMS Manual a stand-alone controlled document or part of an existing controlled document?							
9.3	Are SMS procedures documented in a systematic and consolidated manner?							
9.4	Are records or minutes pertaining to Safety committee of Safety Action Group maintained?							
9.5	Are records pertaining to performed Safety risk assessments							

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REF	AREA OF AUDIT	Reg	OBSERVATION					COMMENT
			S	U	N	NA	F	
	maintained?							
9.6	Are records or minutes pertaining to Safety committee of Safety Action Group made available to all members							
9.7	Are records pertaining to performed Safety risk assessments made available to all relevant parties?							
9.8	Is there a documented policy in regard to generation, distribution and retention of SMS records?							
9.9	Are records pertaining to periodic review of existing safety risk assessments or special review in conjunction with relevant changes available?							
10	SELF AUDIT AND CONTINUOUS IMPROVEMENT							
10.1	Is there a procedure for self audit of the SMS performance?							
10.2	Is there a current plan/programme for self audit of SMS performance?							
10.3	Is there a documented self audit SMS checklist?							
10.4	Is there a follow-up procedure to address audit corrective							

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			S	U	N	NA	F	
	actions?							
10.5	Do the SMS self audit conducted according to the plan/programme?							
10.6	Are the self audit reports reviewed by the Accountable Manager?							
10.7	Do the SMS self audits cover the roles/responsibilities of third parties/contractors where applicable?							
11	EMERGENCY RESPONSE PLAN (ERP)							
11.1	Is there a documented ERP or procedure?							
11.2	Does the ERP appropriate to the size and complexity of the organization's processes and operations?							
11.3	Does the ERP include assignment of emergency responsibilities/authorities?							
11.4	Does the ERP include procedures for safe transition from normal to emergency and back to normal operation?							
11.5	Is there plan for drills or exercises with respect to the ERP?							

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11.6	Are the ERP drills conducted according to the plan and documented?							
11.7	Does the ERP address relevant integration with substantial external service providers, operators or specialist agencies?							
11.8	Is there a procedure for periodic review of ERP after key organizational or personnel changes?							
11.9	Is there a provision in the ERP that addresses preservation of safety continuity of its aviation product/services during emergency/crisis situation?							

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NOTES ON EVALUATION OF ORGANIZATION'S OVERALL COMPLIANCE OR DEFICIENCIES WITH THE SMS :

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