



CAUTION
SUPPORT ZONE
WHILE LOADING
TO NEXT POSITION

AVIATION SMS IMPLEMENTATION: PHASE 3 CHECKLIST

Phase 3 Checklist

What is Phase 3

Phase 3 of implementation is largely where you establish your Safety Risk Management process(es), as well as design other elements of your SMS that will be critical for Safety Assurance activities.

Phase 3 is quite extensive and is often the biggest hurdle for most organizations to implement, as you will be designing a majority of your SMS in this phase. The difference between Phase 3 and Phase 4 is that in Phase 3 you design and develop, and in Phase 4 you monitor and ensure your SMS functions as designed.

Tips for Using This Checklist

We highly suggest that you use this checklist in conjunction with our other SRM focused checklists, such as:

- [Safety Risk Management Process Checklist](#)
- [Hazard Reporting System Checklist](#)
- [Auditing Checklist](#)

Here are some resources that should prove valuable for implementation:

- [Overview of 4 Phases of SMS Implementation](#)
- [SMS Pro Implementation Manager](#)
- [SMS Implementation Quiz](#)
- [Gap Analysis Checklist](#)
- [Safety Management Manual](#) (includes implementation guidance)

SMS Implementation Phase 3 Checklist

Responsible Manager: _____

Start Date: _____

PHASE 3 TASK	STARTED	COMPLETE?	DATE
Design a hazard reporting system			
Design issue management process, which includes data collection			
Create process for investigating reports that are ingested into your issue management process			
Develop your Safety Risk Management process			
Develop process for managing issues that are not within an Acceptable Level of Safety			
Create a list of identified key performance indicators (SPIs/KPIs)			
Establish resources to monitor your KPIs and other safety performance measurements			
Develop a process to manage changes in your SMS (MOC)			
Develop process for auditing your SMS internally, including using custom auditing forms			
Develop process for external audits, including things like how you will prepare for the audit and who will conduct the audits			

TOTAL: /

Name: _____

Signature: _____

Date: _____