AVIATION SMS IMPLEMENTATION:
PHASE 4 CHECKLIST

Phase 4 Checklist

What is Phase 4

Phase 4 of SMS Implementation is all about following through on designing your SMS, and moving forward with actually using the created resources and monitoring your SMS. For example, in Phase 3 you are required to create KPIs, and in Phase 4 you are required to monitor them.

Many aspects you created in Phase 3 are fulfilled in Phase 4 by assuring that they function in actual operations. Thus, Phase 4 is largely concerned with verifying that your Safety Assurance System is working as designed.

Phase 4, like Phase 3, is a major hurdle in implementing your SMS. Often times, it will take 1-2 years to fully implement it.

Tips for Using This Checklist

Items in this checklist can be completed in any order. We strongly suggest that you document clear evidence and paper trails as proof of items that you check off. Making sure you have strong justifications for checking off items will ensure:

- Auditors don't have reason to complain; and
- Reviewing your safety assurance practices in the future will be much easier to do than if you had no paper trail/evidence.

Once you implement Phase 4, you can use this checklist on an annual basis for ensuring that your implementation remains complete (i.e., that your SMS doesn't regress).

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 4 Checklist

Responsible Manager: _____   Start Date: _____

PHASE 4 TASK	COMPLETE	EVIDENCE DOCUMENTED	DATE
The process and resources for monitoring safety performance indicators (KPIs/SPIs) are actively being used			
KPIs are reviewed on a consistent basis to ensure accuracy and relevancy to existing objectives			
Safety performance metrics are actively being used to evaluate different types of safety performance (e.g., Leading Indicators), as well as establish context for reported issues			
Important safety information, such as Lessons Learned, is regularly being communicated to employees			
Safety inspections are carried out on a regular basis			
The SMS is consistently reviewed to ensure that actual safety operations match SMS design			
There is a process to audit the effectiveness of internal operations, procedures, resources, etc., and the process is actually used			
The hazard reporting system is actively being used by employees to report concerns			
Efforts are made to consistently process issues though the issue management process, and close issues by their assigned deadline			
The SMS design is regularly being updated as new information is identified that is relevant to safety operations			

TOTAL: /

Name: _____   Signature: _____   Date: _____