**Vežėjo saugos vadybos sistemos patikros lapas**

*Checklist for safety management system (SMS) audit*

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| **Oro vežėjas**  *Operator (1)* | **Patikrinimo data**  *Date* | **Patikrinimo grupės vadovas**  *Lead Inspector (2)* | | **Patikrinimo numeris**  *Ref. Nr.* |
|  |  |  | |  |
| **Tikslas:**  *Purpose* | | | | |
| **Tikrintojai:**  *Audit team composition***:** | | | **Tikrinamojo ūkio subjekto atstovas:**  *Auditee representative* | |

*Pasirašydamas šį patikros lapą patvirtinu, kad atliekant patikrą neturėjau interesų konfliktų susijusių su tikrinamuoju vežėju(1).*

*By signing this checklist, I hereby confirm that, at the time of performing this activity, I did not have any conflict of interest to declare regarding the above-mentioned operator (1).*

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| Nr. | **Neatitiktys**  *Non-compliances* |
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| **Komentarai**  *List of remarks* |
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| **Papildomi užrašai/komentarai**  *Additional notes/comments***:** |

**N/A = Not Applicable; C = Compliant; C/O = Compliant with observation; NC = Not Compliant; N/R = Not Reviewed**

| **No.** | **Reference** | **Requirement** | **Specific requirements/expectations** | **Eval.** | **Remarks/ Inspector code** |
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|  | **Safety policy and objectives** | | | | |
|  | **Management commitment** | | | | |
|  | **ORO.GEN.200(a)(2)**  **ORO.GEN.200(a)(6)**  **AMC1 ORO.GEN.200(a)(2)**  **AMC1 ORO.GEN.200(a)(1)(2)(3)(5)**  **AMC1 ORO.GEN.200(a)(2)**  **AMC1 ORO.GEN.200(a)**  **(1)(2)(3)(5)** | The safety policy shall:  • include a clear statement about the provision of the necessary resources for the implementation of the safety policy. | • Evidence of senior management participation in safety meetings, decision making process, training, conferences etc.  • There are sufficient and competent personnel.  • The safety policy includes a statement to provide appropriate resources. | N/A  C  C/O  NC  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(2)**  **AMC1 ORO.GEN.200(a)**  **(1)(2)(3)(5)** | The safety policy shall  a) reflect organisational commitment regarding safety, including the promotion of a positive safety culture. | • All Managers are familiar with the key elements of the safety policy.  • Evidence of senior management participation in safety meetings, training, conferences etc.  • Feedback from safety culture surveys.  • The management commitment to safety is documented within the safety policy. | N/A  C  C/O  NC  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(2)**  **Reg. 376/2014 Article 16(9)(10)(11)**  **ORO.AOC.130(b)**  **AMC1 ORO.AOC.130** | The safety policy shall clearly indicate which types of behaviours are unacceptable related to the operator’s aviation activities and include the circumstances under which disciplinary action would not apply. |  | N/A  C  C/O  NC  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(2)**  **Reg. 376/2014 Article 16(9)(10)(11)**  **ORO.AOC.130(b)**  **AMC1 ORO.AOC.130** | The organisation shall, after consulting its staff representatives, adopt internal rules describing how ‘just culture’ principles are guaranteed and implemented within that organisation, in particular that employees and contracted personnel who report or are mentioned are not subject to any prejudice, except in the following cases:  (a) in cases of wilful misconduct;  (b) where there has been a manifest, severe and serious disregard of an obvious risk and profound failure of professional responsibility to take such care as is evidently required in the circumstances, causing foreseeable damage to a person or property, or which seriously compromises the level of aviation safety.  When a flight data monitoring programme is established (aeroplanes with MCTOM>27t), it shall be non-punitive and contain adequate safeguards to protect the source(s) of the data. | * Evidence of when the just culture principles have been applied following an event. | N/A  C  C/O  NC  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(2)**  **AMC1 ORO.GEN.200(a)(3)**  **AMC2 ORO.GEN.200(a)(5)** | The operator shall define safety **objectives**.  The safety objectives shall:  a) form the basis for safety performance monitoring and measurement;  b) reflect the operator’s commitment to maintain or continuously improve the overall effectiveness of the SMS;  c) be communicated throughout the organisation;  d) be periodically reviewed to ensure they remain relevant and appropriate to the operator. |  | N/A  C  C/O  NC  N/R |  |
|  | **ORO.GEN.200(a)(1)**  **ORO.GEN.210**  **ORO.GEN.200(a)(5)**  **AMC1 ORO.GEN.200(a)(3)**  **AMC1 ORO.GEN.200(a)(1)(2)(3)(5)** | The operator shall:  • clearly define lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of senior management;  • identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organisation;  • document and communicate safety accountability, responsibilities, and authorities throughout the organisation;  • define the levels of management with authority to make decisions regarding safety risk tolerability |  | N/A  C  C/O  NC  N/R |  |
|  | **Safety accountability and responsibilities** | | | | |
|  | **ORO.GEN.200(a)(1)**  **ORO.GEN.210** | (a) The operator shall establish, implement and maintain a management system that includes:  (1) clearly defined lines of responsibility and accountability throughout the operator, including a direct safety accountability of the accountable manager; | An accountable manager has been appointed with full responsibility and ultimate accountability for the SMS.  The safety accountability, authorities and responsibilities are clearly defined and documented. | N/A  C  C/O  NC  N/R |  |
|  | **Appointment of key personnel** | | | | |
|  | **ORO.GEN.210**  **AMC1 ORO.GEN.200(a)(1)**  **AMC1 ORO.GEN.200(a)(1);(2);(3);(5)**  **AMC1 ORO.AOC.130** | The operator shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.  If an FDM is established (aeroplanes with MCTOM>27t), the safety manager should be responsible for the identification and assessment of issues and their transmission to the manager(s) responsible for the process(es) concerned. | • Appropriate safety training received.  • Review how the safety manager gets access to internal and external safety information.  • Review how the safety manager communicates and engages with operational staff and senior management.  • Check there are sufficient resources for SMS activities such as safety investigation, analysis, auditing, safety meeting attendance and promotion.  • The safety manager has implemented and is maintaining the SMS.  • The safety manager is in regular communication with the accountable manager and escalates safety issues when appropriate. | N/A  C  C/O  NC  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(1)** | Verification of Safety Review Board meetings and documentation | • The organisation has established appropriate safety committees(s) that discuss and address safety risks and compliance issues and includes the accountable manager and nominated persons.  • Review meeting records and actions. Sample at least two SRB minutes of meeting. Use the information in the SRB minutes to sample hazards logs, risk assessments and mitigations.  • Evidence of safety objectives, safety performance and compliance being reviewed and discussed at meetings.  • Senior management are aware of the most significant risks faced by the organisation and the overall safety performance of the organisation.  • Safety committees include key stakeholders. The outcomes of the meetings are documented and communicated and any actions are agreed, taken and followed up in a timely manner.  • The safety performance and safety objectives are reviewed and actioned as appropriate. | N/A  C  C/O  NC  N/R |  |
|  | **Management system documentation** | | | | |
|  | **AMC1 ORO.GEN.200(a)(5)**  **AMC2 ORO.GEN.200(a)(5)** | The operator’s management system documentation should at least include the following information:  (1) a statement signed by the accountable manager to confirm that the operator will continuously work in accordance with the applicable requirements and the operator’s documentation, as required by this Annex;  (5) a general description and location of the facilities referred to in ORO.GEN.215.  The organisation should develop and maintain an SM manual that includes all of the following:  (1) scope of the safety management system;  (2) safety policy and objectives;  (3) safety accountability of the accountable manager;  (4) safety responsibilities of key safety personnel;  (5) documentation control procedures;  (6) hazard identification and risk management schemes;  (7) safety action planning;  (8) safety performance monitoring;  (9) incident investigation and reporting;  (10) emergency response planning;  (11) management of change (including organisational changes with regard to safety responsibilities);  (12) safety promotion. | - Check for cross references to other documents and procedures.  - Check availability of SMS documentation to all staff.  - Check staff know where to find safety related documentation including procedures appropriate to their role.  The SMS documentation includes the policies and processes that describe the organisation’s safety management system and processes.  SMS Documentation is proactively reviewed for improvement. | N/A  C  C/O  NC  N/R |  |
|  | **ORO.GEN.220**  **AMC1 ORO.GEN.220(b)** | (a) The operator shall establish a system of record-keeping that allows adequate storage and reliable traceability of all activities developed, covering in particular all the elements indicated in ORO.GEN.200.  (b) The format of the records shall be specified in the operator’s procedures.  (c) Records shall be stored in a manner that ensures protection from damage, alteration and theft. | - The SMS documentation defines the SMS outputs and which records of SMS activities will be stored.  - Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc).  - Check how safety records are stored and version controlled.  - Data protection and confidentiality rules have been defined and are consistently applied.  - Check appropriate staff are aware of the records control processes and procedures. | N/A  C  C/O  NC  N/R |  |
|  | **Safety risk management** | | | | |
|  | **Flight data monitoring (if applicable)** | | | | |
|  | ORO.AOC.130 | (a) The operator shall establish and maintain a flight data monitoring programme, which shall be integrated in its management system, for aeroplanes with a maximum certificated take-off mass of more than 27 000 kg.  FDM analysis techniques should comprise the following:  (1) Exceedance detection: searching for deviations from aircraft flight manual limits and standard operating procedures. A set of core events should be selected to cover the main areas of interest for the operator and as much as possible the most significant risks identified by the operator. A sample list is provided in Appendix 1 to AMC1 ORO.AOC.130. The event detection limits should be continuously reviewed to reflect the operator’s current operating procedures.  (2) All flights measurement: a system defining what is normal practice. This may be accomplished by retaining various snapshots of information from each flight.  (3) Statistics — a series of data collected to support the analysis process: this technique should include the number of flights flown per aircraft and sector details sufficient to generate rate and trend information.  The data recovery strategy should ensure a sufficiently representative capture of flight information to maintain an overview of operations. Data analysis should be performed sufficiently frequently to enable action to be taken on significant safety issues.  When significant risk-bearing incidents are detected by FDM but are not the subject of mandatory occurrence reporting by the crew, they should submit a retrospective report. | * Ask for the core events and associated event detection limits and verify that they are consistent with appendix 1 to AMC1 ORO.AOC.130, they do not include only AFM limits but also SOPs, they are meaningful (not too high limits). * Verify that the safety manager / department receives regular statistics, including exceedances and trends. * Verify that when risk-bearing incidents are detected by FDM but are not the subject of mandatory occurrence reporting by the crew, they are required to submit a retrospective report. * Check that negative trends are identified and considered within the SRM process.   Event detection limits are consistently reviewed to reflect the operator’s current SOPs. | N/A  C  C/O  NC  N/R |  |
|  | **Flight crew support programme** | | | | |
|  | CAT.GEN.MPA.215  AMC1 CAT.GEN.MPA.215  AMC3 CAT.GEN.MPA.215  AMC4 CAT.GEN.MPA.215 | The operator shall enable, facilitate and ensure access to a proactive and non-punitive support programme that will assist and support flight crew in recognising, coping with, and overcoming any problem which might negatively affect their ability to safely exercise the privileges of their licence. Such access shall be made available to all flight crew. | * Check that the operator’s support programme: * enable self-declaration or referral in case of a decrease in a Flight crew’s (FC) medical fitness with an emphasis on prevention and early support; and * allow the FC (if appropriate) to receive temporary relief from flight duties and be referred to professional advice. * Check that the support programme contains at least: * procedures including education of FC regarding self-awareness and facilitation of self-referral; * assistance provided by professionals, including mental and psychological health professionals with relevant knowledge of the aviation environment; * involvement of trained peers, where trained peers are available; * monitoring of the efficiency and effectiveness of the programme; * monitoring and support of the process of returning to work; * management of risks resulting from fear of loss of licence; and * a referral system to an aero-medical examiner in defined cases raising serious safety concerns. * Check that: * The operator promotes the access to the support programme for all flight crew.   Initial and recurrent training is defined and provided to all professionals involved. | N/A  C  C/O  NC  N/R |  |
|  | CAT.GEN.MPA.215  AMC2 CAT.GEN.MPA.215 | Without prejudice to applicable national legislation on the protection of individuals with regard to the processing of personal data and on the free movement of such data, the protection of the confidentiality of data shall be a precondition for an effective support programme as it encourages the use of such a programme and ensures its integrity. | * Check that the operator ensures that: * The personal data of referred FC are handled in a confidential, non-stigmatising, and safe environment. * A culture of mutual trust and cooperation is maintained. * Disclosure of data to the operator may only be granted in an anonymised manner.   an agreement with related procedures is in place between the operator and the support programme on how to proceed in case of a serious safety concern. | N/A  C  C/O  NC  N/R |  |
|  | CAT.GEN.MPA.215  AMC3 CAT.GEN.MPA.215 | Support programme linked to the management system | * Check that the operator’s procedures foresee the transfer of data from the support programme to the management system based on confidentiality principles. * Check that all data transferred to the management system has been adequately anonymised and aggregated to ensure confidentiality.   Check that that data has been transferred and has been used by the management in the safety management activities. | N/A  C  C/O  NC  N/R |  |
|  | **Hazard identification** | | | | |
|  | ORO.GEN.200(a)(3)  AMC1 ORO.GEN.200(a)(3)  AMC1 ORO.GEN.200(a)(1);(2);(3);(5)  AMC1 ORO.AOC.125(a)(2) | The operator shall develop and maintain a process to identify hazards associated with its aviation products or services.  Hazard identification shall be based on a combination of reactive and proactive methods. | * Review how hazards are identified, analysed and recorded. * Check that the operator is effectively using reactive methods to identify hazards (i.e. reporting system) and proactive methods (i.e. FDM, voluntary reports, SIBs, etc). * Review what internal and external sources of hazards are considered such as: Safety reports / FDM / audits / safety surveys / investigations /inspections / brainstorming / Management of Change activities / Commercial and other external influences etc. Check that EASA SIBs are considered, and their applicability assessed. * Investigations of safety occurrences establish causal/contributing factors (why it happened, not just what happened) and identify Human and organisational contributing factors. Hazards identified from occurrences are processed in compliance with Reg. (EU) 376/2014 Article 4 and 5. * Review the content of the hazard log and how the hazards have been identified. In doing so the auditor should compare the statistical analysis of FDM data and the reporting occurrences reported via the reporting system. Check that the hazards identified includes hazards stemming from the type(s) of operations (incl. non-commercial if applicable). | N/A  C  C/O  NC  N/R |  |
|  | **Risk assessment and mitigation** | | | | |
|  | **ORO.GEN.200(a)(3)**  **AMC1 ORO.GEN.200(a)(3)**  **AMC1 ORO.GEN.200(a)(1);(2);(3);(5)**  **AMC1 SPA.EFB.100(b)(1) U**  **Regulation (EU) 376/2014 Article 13** | The operator shall develop and maintain a process that ensures **analysis, assessment** [and control] of the safety risks associated with identified hazards. | * Process defines who can accept what level of risk * Severity and likelihood criteria defined and customized to reflect the type of operation and the number of flights. * Sample at least 2 identified hazards and how they were processed and documented up to the development of the risk assessment: * Verify the risk assessment methodology used is the one described in the SMS manual. * Verify that the risk register had has been updated following the result of the risk assessment. * Risk register is being reviewed and monitored by the appropriate safety committee(s). * Evidence of risk acceptability being routinely applied in decision making processes.   If the operator is approved for EFB, verify that the related risk assessment is maintained and kept up to date (e.g. new hardware, software, functions) | N/A  C  C/O  NC  N/R |  |
|  | AMC1 ORO.GEN.200(a)(3) | The operator shall develop and maintain a process that ensures [analysis, assessment and] **control** of the safety risks associated with identified hazards. | * Risk controls are practical and sustainable and applied in a timely manner and do not create additional risks. * Verify the risk indexes (position in the matrix in terms of severity and probability). Check the adequate effect on the probability/severity of the mitigations, as appropriate. * Evidence of risk controls (mitigating measures) being actioned and followed up (implementation and verification of effectiveness). * Aggregate risk is being considered. * Look at whether the risk controls (mitigation) have reduced the residual risk. **ONLY AFTER EFFECTIVE IMPLEMENTATION**. Inspector has to verify the effective implementation of the mitigations. * Risk controls clearly identified. * Accountability for the implementation clearly defined (allocated to nominated persons with due dates)   Check how operator regularly informs employees and contracted personnel with information concerning the analysis of, and follow-up on occurrences for which preventive or corrective action is taken. | N/A  C  C/O  NC  N/R |  |
|  | **Safety assurance** | | | | |
|  | **Safety performance monitoring and measurement** | | | | |
|  | ORO.GEN.200(a)(3)  AMC1 ORO.GEN.200(a)(3) | The operator shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls. | * Risk controls are assessed and actions taken to ensure they are effective and delivering a safe service. * The reasons for ineffectiveness of risk controls are investigated. * Evidence of risk controls being assessed for effectiveness (eg. audits, surveys, reviews) ONLY AFTER BEING IMPLEMENTED. If the verification is not positive the operator shall review the risk assessment consequently and identify possible new mitigations. * Evidence of risk controls applied by contracted organisations / third parties being assessed. * Information from safety assurance and compliance monitoring activities feeds back into the safety risk management process.   Review where risk controls have been changed as a result of the assessment. | N/A  C  C/O  NC  N/R |  |
|  | **ORO.GEN.200(a)(3)**  **AMC1 ORO.GEN.200(a)(3)** | The operator’s safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organisation’s safety objectives. | • Evidence that SPIs are based on reliable sources of data.  • Evidence of when Safety performance indicators were last reviewed.  • The defined SPIs and targets are meaningful and appropriate to the organisation’s activities, risks and safety objectives.  • SPIs are focused on what is important rather than what is easy to measure.  • Review whether any action has been taken when an SPI is indicating a negative trend (reflecting a risk control or an inappropriate SPI). Check that the operator effectively investigated the reason of the negative trend and reviewed the related risk assessments.  • Evidence that results of safety performance monitoring are discussed at senior management level and during SRBs.  • Evidence of feedback provided to the accountable manager.  • Where the SPIs indicate a risk control not being effective appropriate action is taken. | N/A  C  C/O  NC  N/R |  |
|  | **The management of change** | | | | |
|  | **ORO.GEN.200(a)(3)**  **AMC1 ORO.GEN.200(a)(3)**  **AMC1 ORO.GEN.200(a)(1);(2);(3);(5)**  **ORO.GEN.130(c)** | The operator shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes. | The management of change process is being used:   * It includes hazard identification and risk assessments with appropriate risk controls being put in place before the decision to make the change is taken. Key stakeholders are involved in the process. * The process is described in a procedure. * Review what triggers the process. * Review recent changes that have been through the change management process, including the risk assessment process (e.g. change of NP, operation, new operating base, new safety-relevant software, new Competent Authority, regulation change). * Change is signed off by an appropriately authorised person. * Transitional risks are being identified and managed. * Review follow up actions such as whether any assumptions made have been validated. * Review whether there is an impact on previous risk assessments and existing hazards. * Review impact of change on training and competencies.   Review whether consideration is given to the cumulative effect of multiple changes. | N/A  C  C/O  NC  N/R |  |
|  | **Continuous improvement of the SMS** | | | | |
|  | Reg. 2018-1139 Annex V 8.1(c)  ORO.GEN.200(a)(3)  ORO.GEN.200(a)(6)  AMC1 ORO.GEN.200(a)(3)  AMC1 ORO.GEN.200(a)(1);(2);(3);(5) | The operator shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS. | * There is a process in place to monitor and review the effectiveness of the SMS using the available data and information. * What information and safety data is used for management decision making for continuous improvement? * SMS is being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken * Evidence of: * Lessons learnt being incorporated into SMS and operational processes; * Best practice being sought and embraced; * Surveys and assessments of organisational culture being carried out and acted upon; * Data being analysed and results shared with Safety Committees.   Evidence of follow up actions. | N/A  C  C/O  NC  N/R |  |
|  | **Occurrence Reporting Reg. (EU) 376/2014** | | | | |
|  | ORO.GEN.160(a)  Regulation (EU) 376/2014 Art. 4(2) | The organisation has established a mandatory reporting system to facilitate the collection of occurrences. | * Check the procedure to report mandatory occurrences (responsibilities to report). * Check the list of reportable occurrences described in the procedure versus Annex 1 to Regulation (EU) No 376/2014 and Regulation (EU) No 2015/1018. * Review the mandatory reporting system for access and ease of use. * Check that staff are familiar with the mandatory reporting system and know what should be reported. * Check availability to contracted organisations and customers to make reports.   The reporting system is available for third parties to report (partners, suppliers, contractors). | N/A  C  C/O  NC  N/R |  |
|  | Regulation (EU) 376/2014 Art. 4(2) | The organisation has established a voluntary reporting system to facilitate the collection of:   1. details of occurrences that may not be captured by the mandatory reporting system; 2. other safety-related information which is perceived by the reporter as an actual or potential hazard to aviation safety. | * Check the procedure to report voluntary occurrences (responsibilities to report). * Review the voluntary reporting system for access and ease of use.   he reporting system is available for third parties to report (partners, suppliers, contractors). | N/A  C  C/O  NC  N/R |  |
|  | Regulation (EU) 376/2014 Art.6(5)  Art 7(3)  SPA.PBN.105(e)  SPA.MNPS.105  SPA.RVSM.115  SPA.PBN.105(e)  AMC3 SPA.LVO.105  AMC20-6  SPA.DG.105 | Occurrences are collected, evaluated and stored in one or more database.  The organisation has established a data quality checking process to improve data consistency, notably between the information collected initially and the report stored in the database. | * Check procedures for the identification of responsibilities. * Check the mandatory / voluntary occurrences database(s). * Check compatibility with ECCAIRS. * Assess volume and quality of mandatory reports including self-reporting. Check mandatory reporting in the area of SPA approvals held (RVSM, MNPS, LVO, PBN, ETOPS,…). * Assess volume and quality of voluntary reports. * Verify that the classification criteria between mandatory and voluntary are well described and applied. * Verify if the operator has in place a data quality check to verify accuracy of the received report by means of FDM as an example. If no FDM is available verify if this check is performed by other means. * Database of occurrences adequately used and maintained in accordance with the established procedure, allowing meaningful analysis. | N/A  C  C/O  NC  N/R |  |
|  | ORO.GEN.160(d)  Regulation (EU) 376/2014 Art.4(9) | Mandatory occurrences are reported to the competent authority within the timeframe established by the regulation (72 hours). | Timescales are specified in the procedures – 72 hours.  The operator has established a process to track all timeframes and exceedances.  Mandatory occurrences are reported within the defined timescales.  Verify implementation for sampled occurrences (notification within the timescales) | N/A  C  C/O  NC  N/R |  |
|  | Regulation (EU) 376/2014 Art 6(1)  Art 13(1)  Art 7(2) | Occurrences are processed and analysed.  The organisation has developed a process to analyse occurrences in order to identify the safety hazards associated with identified occurrences or groups of occurrences.  Occurrence reports include a safety risk classification for the occurrence concerned. | Designation of one or more persons to handle independently the processing and analysis of details of occurrences.  The operator has established a safety risk classification scheme for occurrence reports.  All occurrences are safety risk assessed (mandatory and voluntary).  The analysis and classification are stored in the database. | N/A  C  C/O  NC  N/R |  |
|  | Regulation (EU) 376/2014 Art 13(1)  Art 13(2) | Based on the analysis of occurrences, the organisation determines any appropriate corrective or preventive action, required to improve aviation safety.  When, following the analysis of occurrences, the organisation identifies any appropriate corrective or preventive action required to address actual or potential aviation safety deficiencies, it shall:  (a) implement that action in a timely manner; and  (b) establish a process to monitor the implementation and effectiveness of the action. | Occurrences are regularly analysed and potential safety issues identified and addressed.  Verify that the mitigations are controlled (owner and follow-up of actions).  Verify that the mitigations are implemented and verified for effective implementation.  Assess how senior management deal with the outputs of the reporting system. | N/A  C  C/O  NC  N/R |  |
|  | ORO.GEN.160(e)  Regulation (EU) 376/2014 Art 5(5)  Art 13(5) | The organisation reports, in a timely manner, to the competent authority the details of voluntary occurrence reports and safety-related information which may involve an actual or potential aviation safety risk.  Where the organisation identifies an actual or potential aviation safety risk as a result of its analysis of occurrences or group of occurrences (mandatory and voluntary), it shall transmit to the competent authority, within 30 days from the date of notification of the occurrence by the reporter:  (a) the preliminary results of the analysis performed pursuant to paragraph 1, if any; and  (b) any action to be taken.  The organisation shall transmit to the Agency the final results of the analysis, where required, as soon as they are available and, in principle, no later than three months from the date of notification of the occurrence. | The operator has specified what it considers “timely manner” for voluntary reports.  Verify implementation through the sampling of voluntary occurrence reports classified as posing a risk for the timely notification.  Verify implementation through the sampling of mandatory and voluntary occurrence reports classified as posing a risk for the transmission of the analysis and the actions within 30 days.  Verify implementation through the sampling of mandatory and voluntary occurrence reports classified as posing a risk for the transmission of the final results of the analysis within 3 months.  The operator reports to its competent authority the details of voluntary occurrence reports involving an actual or potential risk.  The operator reports to its competent authority the result of preliminary and final analysis of occurrences within the timeframe, including the actions to be taken.  The operator has established a process to track all timeframes and exceedances. | N/A  C  C/O  NC  N/R |  |
|  | Regulation (EU) 376/2014 Art 16(2)  Art 6(1). | Personal details [names or addresses] are made available to staff of that organisation other than persons designated [to handle independently the collection, evaluation, processing, analysis and storage of details of occurrences] only where absolutely necessary in order to investigate occurrences with a view to enhancing aviation safety.  The handling of reports is done with a view to preventing the use of information for purposes other than safety and the confidentiality of the identity of the reporter and of the persons mentioned in occurrence reports appropriately safeguarded, with a view to promoting ‘just culture’. | * Review how data protection and confidentiality is achieved. * Confidentiality of personal details is ensured, except when absolutely necessary.   There is a healthy reporting system based on the volume of reporting and the quality of reports received. | N/A  C  C/O  NC  N/R |  |
|  | Regulation (EU) 376/2014 Art 13(3)  Art 16(2) | The operator provides its employees and contracted personnel with information concerning the analysis of, and follow-up on, occurrences for which preventive or corrective action is taken.  De-identified information shall be disseminated within the organisation as appropriate. | * The feedback process to the reporter is described in the operator’s procedure. * The feedback is de-identified. | N/A  C  C/O  NC  N/R |  |
|  | **Safety promotion** | | | | |
|  | **Training and education** | | | | |
|  | ORO.GEN.200(a)(4)  AMC1 ORO.GEN.200(a)(4) | The operator shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties. | * Review the SMS training programme to verify including course content (customization to operator’s methodology) and delivery method. * Verify that the training delivered to personnel (including nominated persons) involved in SMS is relevant to the duties and is reflecting the methodology adopted in the SMS manual. * Check training records against the training programme. * Review how the competence of the instructors is being assessed. * Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations etc. * Review how training is assessed for new staff and changes in position. | N/A  C  C/O  NC  N/R |  |
|  | **Safety communication** | | | | |
|  | ORO.GEN.200(a)(4)  ORO.GEN.200(a)(5)  AMC1 ORO.GEN.200(a)(4)  AMC1 ORO.GEN.130 | The operator shall have a formal means for safety communication that:  • ensures personnel are aware of the SMS to a degree commensurate with their positions;  • conveys safety-critical information;  • explains why particular actions are taken to improve safety; and  • explains why safety procedures are introduced or changed.  FDM (aeroplanes with MCTOM>27t): The operator should pass on the lessons learnt to all relevant personnel | * Review the sources of information used for safety communication, which includes FDM if applicable. * Review the methods used to communicate safety information e.g., meetings, presentations, emails, website access, newsletters, bulletins, posters etc. * Assess whether the means of communication is appropriate. * Is the means for safety communication being reviewed for effectiveness and material used to update relevant training. * Significant events, changes and investigation outcomes are being communicated. * Check accessibility to safety information. * Information from occurrences are communicated to all relevant personnel (internal and external) and it has been appropriately dis-identified. | N/A  C  C/O  NC  N/R |  |
|  | **Coordination of emergency response planning** | | | | |
|  | ORO.GEN.200(a)(3)  AMC1 ORO.GEN.200(a)(3)  AMC1 ORO.GEN.200(a)(1)(2)(3)(5) | The operator established and maintained an emergency response plan for accidents and incidents in aircraft operations. | * Emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities and actions of the various organisations and key personnel. * Review how co-ordination with other organisations is planned. * Review how ERP is distributed and where copies are held. * Key personnel have easy access to the relevant parts of the ERP at all times. * Different types of foreseeable emergencies have been considered. * Review when plan was last reviewed and tested and any actions taken as a result. * The results of the ERP review and testing are assessed and actioned to improve its effectiveness. | N/A  C  C/O  NC  N/R |  |
|  | **Additional items to be considered** | | | | |
|  | **Interface management** | | | | |
|  | **ORO.GEN.205** | (a) When contracting or purchasing any services or products as a part of its activities, the operator shall ensure all of the following:  (1) that the contracted or purchased services or products comply with the applicable requirements;  (2) that any aviation safety hazards associated with contracted or purchased services or products are considered by the operator's management system. | * Evidence that: * Safety critical issues, areas and associated hazards are identified; * Safety occurrences are being reported and addressed; * Risk controls actions are applied and regularly reviewed; * Interfaces are reviewed periodically. * The organisation’s SMS covers hazard identification for the external services and activities (incl. subcontracted activities) and internal interfaces. * Training and safety promotion sessions are organised with relevant external organisations.   External organisations participate in SMS activities and share safety information. | N/A  C  C/O  NC  N/R |  |