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For Civil Aviation Directorate use only

Application ref:

Date:

Reviewed by:

Name of Operator: _____ AOC number: _____

SECTION I – COMPLIANCE CHECKLIST

Introduction

AMC2 ORO.GEN.200(a)(5) Management system is the basis of the SAFETY MANAGEMENT SYSTEM MANUAL for COMPLEX OPERATORS. Appendix 4 of chapter 5 in the ICAO DOC 9859 illustrates in more detail what elements should be in the SMM. TM-CAD has reproduced the list as a contents checklist to the operators to serve as a guide for the publication of the SMM. This checklist also includes specific contents which are required to comply with Part-CAMO SMS requirements. Such contents, identified with an asterisk (*), need to be included in the SMSM in case of integrated SMS of the AOC and the CAMO and whenever the relevant procedures of CAME Part 2 refer to the SMSM. The requirements which apply to the CAMO SMS can be found in CAMO.A.200 and related AMCs and GM. The procedures which need to be documented in CAME Part 2 (or in the integrated SMSM) are listed in AMC1 CAMO.A.300.

It is important to understand the definition of a **complex operator** as per AMC1 ORO.GEN.200(b). Whilst the number of employees have a bearing on the complexity of operations, the operator shall be assessed on the following:

- (1) in terms of complexity, the extent and scope of contracted activities subject to the approval;
- (2) in terms of risk criteria, whether any of the following are present:
 - (i) Operations requiring the following specific approvals: performance-based navigation (PBN), low visibility operation (LVO), extended range operations with two-engined aeroplanes (ETOPS), helicopter hoist operation (HHO), helicopter emergency medical service (HEMS), night vision imaging system (NVIS) and dangerous goods (DG);
 - (ii) Different types of aircraft used;
 - (iii) The environment (offshore, mountainous area etc.).

Abbreviations

CAME	Continuing Airworthiness Management Exposition
CAMO	Continuing Airworthiness Management Organisation
HF	Human Factors
HIRM	Hazard Identification and Risk Management
ISO	International Standards Organisation
MEDA	Maintenance Error Decision Aid
OM	Operations Manual
OSHE	Occupational Safety, Health and Environment
SAG	Safety Action Group
SEMS	Safety and Environmental Management System
SMSM	Safety Management System Manual



SPI Safety Performance Indicator
SRB Safety Review Board

Note: S = Satisfactory, NS = Not Satisfactory, NA = Not Applicable

CHAPTER 1 – DOCUMENT CONTROL	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe how the manual(s) are kept up-to-date and ensure that all personnel involved in safety-related duties have the most current version.</i>		
a) Hard copy or controlled electronic media and distribution list. (*) CAM subcontractor, when applicable, included in distribution list.		
b) Correlation of this SMSM with other existing manuals such as CAME, OM, should be explained.		
c) Process for periodic review of the manual and its related forms/ documents to ensure their continuing suitability, adequacy and effectiveness. (*) Any amendments to the SMSM will also result in a CAME revision		
d) Manual administration, approval and regulatory acceptance process.		
CHAPTER 2 – SMS REGULATORY REQUIREMENTS	SMSM Reference	CAD Only S / NS / NA
Objective <i>Address current SMS regulations and guidance materials for necessary reference and awareness by all concerned.</i>		
a) Spell out current SMS regulations/standards. Include compliance timeframe and advisory material references as applicable. (*) Include reference to applicable requirements as per Annex Vc (Part-CAMO) of Commission Regulation (EU) No. 1321/2014.		
b) Where appropriate, elaborate or explain the significance and implications of those regulations to the organisation.		
c) Correlate to other safety related requirements or standards where appropriate.		
CHAPTER 3 – SCOPE AND INTEGRATION OF THE SMS	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe scope and extent of the organisation’s aviation-related operations and facilities within which the SMS will apply. The scope of Hazard Identification and Risk Management (HIRM) eligible processes, equipment and operations should also be addressed.</i>		
a) Spell out nature of the organisation’s aviation business and its position or role within the industry as a whole		
b) Identify major areas, departments, workshops and facilities of the organisation within which the SMS will apply. (*) Ensure any CAM subcontracted organisation working under the organisation’s Management System is clearly identified and taken in consideration.		
c) Identify major processes, operations and equipment which are deemed to be eligible for the organisation’s HIRM program; especially those which are pertinent to aviation safety. If the scope of HIRM eligible processes, operations and equipment is too detailed or extensive, it may be controlled under a supplementary document as appropriate.		
d) Where the SMS is expected to be operated or administered across a group of interlinked organisations or contractors, such integration and associated accountabilities should be defined and documented as applicable.		



e) Where there are other related control / management systems within the organisation such as QMS, OSHE, SEMS, etc. their relevant integration (where applicable) within the aviation SMS should be identified.		
CHAPTER 4 – SAFETY POLICY	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe the organisation’s intentions, management principles, and commitment to improving aviation safety in the product or service provider. A safety policy should be a short description similar to a mission statement.</i>		
a) The safety policy should be appropriate to the size and complexity of the organisation.		
b) The safety policy state the organisation’s intentions, management principles and commitment to continuous improvement in aviation safety, including the promotion of a positive safety culture.		
c) The safety policy is approved and endorsed by the Accountable Manager.		
d) The safety policy is promoted by the Accountable Manager and all other managers.		
e) The safety policy is reviewed periodically.		
f) Personnel at all levels are involved in the establishment and maintenance of the safety management system.		
g) The safety policy is communicated, with visible endorsement, to all employees with the intent that they are made aware of their individual safety obligations.		
h) (*) The safety policy shall [AMC1 CAMO.A.200(a)(2)]: - include internal reporting principles, and encourage personnel to report errors, incidents and hazards - recognise the need for all personnel to cooperate with compliance monitoring and internal investigations - include a commitment to: ▪ comply with all applicable legislation, to meet all applicable requirements and adopt practices to improve safety standards ▪ provide the necessary resources for the implementation of the safety policy ▪ apply HF principles ▪ enforce safety as a primary responsibility of all managers ▪ apply “just culture” principles to internal safety reporting and the investigation of occurrences. Note. The “just culture” principles to be applied are those defined in Article 16 of Regulation (EU) No 376/2014		
CHAPTER 5 – SAFETY OBJECTIVES	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe the safety objectives of the organisation. The safety objectives would be a short statement that describes in broad terms what you hope to achieve.</i>		
a) Safety objectives have been established.		
b) Safety objectives are expressed as a top-level statement describing the organisation’s commitment to achieving safety.		
c) There is a formal process to develop a coherent set of safety objectives.		
d) Safety objectives are communicated throughout the organisation and distributed.		
e) Resources have been allocated for achieving the objectives.		
f) Safety objectives are linked to safety indicators to facilitate monitoring and measurement where appropriate.		



<p>g) (*) The safety objectives: - reflect the organisation commitment to maintain or continuously improve the overall effectiveness of the management system; - are periodically reviewed to ensure they remain relevant and appropriate for the organisation. Frequency and process of objectives review is described in the SMSM.</p>		
<p>CHAPTER 6 – SAFETY ACCOUNTABLES AND KEY PERSONNEL</p>	<p>SMSM Reference</p>	<p>CAD Only S / NS / NA</p>
<p>Objective <i>Describe safety authorities, responsibilities and accountabilities for personnel involved in the SMS.</i></p>		
<p>a) The Accountable Manager is responsible for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organisation.</p>		
<p>b) Appropriate Safety Manager (office), Safety Committee / Safety Review Board and/or Safety Action Groups have been appointed as appropriate. (*) The functions of the Safety Manager include those listed in AMC1 CAMO.A.305(a)(4);(a)(5) point (a). (*) The functions of SRB and SAG include those listed in AMC1 CAMO.A.200(a)(1) and GM1 CAMO.A.200(a)(1). (*) Frequency and agenda of the SRB and/or SAG meetings are described.</p>		
<p>c) Safety authorities, responsibilities and accountabilities of personnel at all levels of the organisation are defined and documented.</p>		
<p>d) All personnel understand their authorities, responsibilities and accountabilities in regards to all safety management processes, decisions and actions.</p>		
<p>e) An SMS organisational accountabilities diagram is available.</p>		
<p>f) (*) Qualification and training requirements of the Safety Manager include also those listed in AMC1 CAMO.A.305(c)</p>		
<p>CHAPTER 7 – SAFETY REPORTING AND REMEDIAL ACTIONS</p>	<p>SMSM Reference</p>	<p>CAD Only S / NS / NA</p>
<p>Objective <i>A reporting system should include both reactive (accidents/incidents reports etc) and proactive/predictive (hazard reports). Describe the respective reporting systems. Factors to consider include: report format, confidentiality, addressees, investigation/evaluation procedures, corrective/ preventive actions and report dissemination.</i></p>		
<p>a) The organisation has a procedure that provides for the capture of internal occurrences including accidents, incidents, and other occurrences relevant to SMS. It shall be specified that following notification of an occurrence, the organisation shall report to TM-CAD as soon as possible, and in any event no later than 72 hours after becoming aware of the occurrence.</p>		
<p>b) A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.) which are required to be notified to the TM CAD and other routine occurrences reports which remain within the organisation.(*) CAMO related reports are to be taken in consideration. These can also be related to errors and/or near misses [ref. GM1 to Annex Vc (Part-CAMO) – Definitions].</p>		
<p>c) There is also a voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data protection as applicable.</p>		
<p>d) The respective reporting processes are simple, accessible and commensurate with the size of the organisation. (*) The reporting system is accessible to any subcontracted organisation including those related to CAM.</p>		



e) High consequence reports and associated recommendations are addressed to and reviewed by appropriate level of management.		
f) Reports are collected in an appropriate database to facilitate necessary analysis.		
g) (*) The reporting system includes a feedback system.		
CHAPTER 8 – HAZARD IDENTIFICATION AND RISK ASSESSMENT	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe the hazard identification system and how such data are collated. Describe the process for any categorization of hazards/risks and their subsequent prioritization for a documented safety assessment. Describe how the safety assessment process is conducted and how preventive action plans are implemented.</i>		
a) Identified hazards are evaluated/prioritized/processed for risk assessment as appropriate. Hazard identification shall take into consideration the key risk areas identified in the State Safety Plan (SSP) of the states associated with the organisation’s operation and the European Plan for Aviation Safety (EPAS). The organisation shall maintain a risk register, listing the identified hazards, the associated risk assessment, mitigating actions and measurement of their effectiveness. (*) The organisation shall identify and risk assess hazards related to subcontracting of continuing airworthiness management tasks and contracting of maintenance, as well as hazards that may be generated from HF issues that affect human performance. The hazard identification process describes: <ul style="list-style-type: none"> ▪ Process for data collection (proactive and reactive methods) ▪ Identification of external and internal sources of data collection ▪ Hazard log/risk register management 		
b) There is a structured process for risk assessment, involving the evaluation of severity, likelihood, tolerability and preventive controls.		
c) Hazard identification and risk assessment procedures do focus on aviation safety as its fundamental context.		
d) The risk assessment process utilizes worksheets/forms or software which is appropriate to the complexity of the organization and operations involved.		
e) Completed safety assessments are approved by appropriate level of management.		
f) There is a process for evaluating effectiveness of corrective, preventive and recovery measures that have been developed.		
g) There is a process for periodic review of completed safety assessments and documenting their outcomes.		
CHAPTER 9 – SAFETY PERFORMANCE MONITORING AND MEASUREMENT	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe the safety performance monitoring and measurement component of the SMS. This includes the organisation’s SMS safety performance indicators (SPIs).</i>		
a) There is a formal process to develop and maintain a set of safety performance indicators and their associated performance targets. (*) CAMO related SPIs are defined and monitored.		
b) Correlation of the SPIs to the organisation’s safety objectives where applicable and the process of regulatory acceptance of the SPIs where required.		



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c) The process of monitoring the performance of these SPIs including remedial action procedure whenever unacceptable or abnormal trends are triggered.		
d) Any other supplementary SMS or safety performance monitoring and measurement criteria or process (safety reporting, safety reviews, safety audits, safety surveys).		

CHAPTER 10 – RELATED INVESTIGATIONS AND REMEDIAL ACTIONS	SMSM Reference	CAD Only S / NS / NA
<p>Objective <i>Describe how accidents/incidents/occurrences are investigated and process within the organisation, including its correlation with the organisation’s SMS hazard identification and risk management system.</i></p>		
a) Procedure to ensure that reported accidents and incidents are investigated internally. (* In line with “just culture” principles, the organisation should define how to investigate incidents such as errors and near-misses, in order to understand not only what happened, but also how it happened, to prevent and reduce the probability and/or consequence of future recurrences. The scope of internal investigations should extend beyond the scope of the occurrences required to be reported to the NAA according to CAMO.A.160, to include reports referred to in CAMO.A.202(b). Process in place to identify those reports which require investigation. The organisation shall also define timelines for the process and qualifications and training requirements of internal investigators.		
b) Dissemination of completed investigation reports internally as well as to the TM CAD as applicable. The organisation shall transmit to TM-CAD the preliminary results of the analysis performed and any action taken to address actual or potential aviation safety deficiencies within 30 days from the date of notification of the occurrence. A final report of the results of the analysis, where required, should be submitted to TM-CAD on completion and, in principle, no later than three months from the date of notification of the occurrence.		
c) Process for ensuring that corrective actions taken or recommended are carried out and evaluation of their outcomes/effectiveness.		
d) Procedure on investigative inquiry and actions associated with report outcomes.		
e) Conditions under which punitive disciplinary action would be considered (e.g. illegal activities, recklessness, gross negligence or wilful misconduct) are clearly defined.		
f) Process to ensure that investigations include identification of active failures as well as contributing factors and hazards.		
g) Investigation procedure and format provides for findings on contributing factors or hazards to be processed for follow-up action by the organisation’s hazard identification and risk management system where appropriate.		
CHAPTER 11 – SAFETY TRAINING AND COMMUNICATIONS	SMSM Reference	CAD Only S / NS / NA
<p>Objective <i>Describe the type of SMS and other safety related training that staff receives and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication process/channels within the organisation.</i></p>		
a) Training syllabus, eligibility and requirements are documented.		



b) There is a validation process that measures the effectiveness of training.		
c) The training includes initial, recurrent and update training, where applicable. (* The syllabus of initial Safety Training (including HF) for CAMO personnel is compliant with GM2 CAMO.A.305(g). This can be a dedicated course or integrated within different modules. Off-the-shelf Safety training courses compliant with Part-CAMO need to be supplemented with internal training on the organisation's SMS (reporting system, safety policy, etc.). Recurrent training is delivered every 2 years to refresh main elements of SMS/HF, share lessons learnt and data collected through the reporting scheme and collect feedback on safety and HF issues.		
d) The organisation's SMS training is part of the organisation's overall training program.		
e) SMS awareness is incorporated into the employment or indoctrination program. (* Initial Safety training (including HF) is provided to new CAMO staff within 6 months of joining (shortly after joining for temporary staff). Personnel being recruited from other organisations are assessed for the need to receive any additional safety training.		
f) Safety communication process/channels within the organisation. (* The process describes what, when and how safety information needs to be communicated. Subcontracted/contracted organisations are included in the communication, where appropriate. In addition to disseminating safety-critical information, the communication on safety matters should also explain why certain actions are taken and why safety procedures are introduced or changed.		
CHAPTER 12 – CONTINUOUS IMPROVEMENT AND SMS AUDIT	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe the process for continuous improvement and review of the SMS.</i>		
a) Process for regular internal audit/review of the organisation's SMS to ensure its continuing suitability, adequacy and effectiveness.		
b) Describe any other programs contributing to continuous improvement of the organisation's SMS and safety performance e.g. MEDA, safety surveys, ISO system, etc.		
CHAPTER 13 – SMS RECORDS MANAGEMENT	SMSM Reference	CAD Only S / NS / NA
Objective <i>Describe the method of storing all SMS related records and documents.</i>		
a) The organisation has a SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS.		
b) Records to be kept include hazard reports, risk assessment reports, SAG / Safety meeting notes, safety performance indicator charts, SMS audit reports, SMS training records, etc.		
c) Records should be traceable for all elements of the SMS and be accessible for routine administration of the SMS as well as internal and external audit purposes.		
d) (*) Records shall be kept for a minimum period of 5 years.		
CHAPTER 14 – MANAGEMENT OF CHANGE	SMSM Reference	CAD Only S / NS / NA
Objective		



Describe the organisation's process for managing changes that may have an impact on safety risks and how such processes are integrated with the SMS.

a) Procedure to ensure that substantial organisational or operational changes do take in consideration any impact which they may have on existing safety risks.		
b) Procedure to ensure that appropriate safety assessment is performed prior to introduction of new equipment or process which have safety risk implications. (*) HF shall be integrated within the management of change process to minimise potential risks by specifically considering the impact of change on the people within the system		
c) Procedure for reviewing of existing safety assessments whenever there are changes to the associated process or equipment.		
d) (*) The change management process considers: - Identification and description of the change - Assessment of the criticality and impact (including potential impact on human performance) - Existing controls and implementation of new controls - Change implementation and transition period - Monitoring the effectiveness of change implementation. Responsibilities and timelines are well defined.		

CHAPTER 15 – EMERGENCY RESPONSE PLAN (can be a separate manual)	SMSM Reference	CAD Only S / NS / NA
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Objective
Describe the organisation's intentions and commitment to dealing with emergency situations and their corresponding recovery controls. Outline the roles and responsibilities of key personnel. The Emergency Response Plan can be a separate document or can be part of the SMSM.

a) The organisation has an emergency plan that outlines roles and responsibilities in the event of a major incident, crisis or accident.		
b) There is a notification process that includes an emergency call list and an internal mobilization process.		
c) The organisation has arrangements with other agencies for aid and the provision of emergency services as applicable.		
d) The organisation has procedures for emergency mode operations where applicable. The organisation has defined procedures for the transition from normal to emergency operations and procedures for the transition from emergency to normal operations. The organisation has defined procedures for providing TM CAD with list of passengers and crew on board within 2 hours of an occurrence.		
e) There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin.		
f) The organisation has established procedures for handling media and insurance related issues.		
g) There are defined accident investigation responsibilities within the organisation.		
h) The requirement for preservation of evidence, securing affected area and mandatory/governmental reporting is clearly stated. (*) The organisation has established a procedure to ensure that in the event of accident or serious incident, the continuing airworthiness records are held secure until requested by the state of registry NAA, the Agency and/or the		



responsible investigating body. Such procedure shall consider the involvement of subcontracted/contracted organisations, as applicable.		
i) There is emergency preparedness and response training for affected personnel. This includes simulations, whose scope and frequency needs to be described.		
j) A disabled aircraft or equipment evacuation plan is developed by the organisation in consultation with aircraft/equipment owners, aerodromes operators or other agencies as applicable.		
k) A procedure exists for recording activities during an emergency response.		

SECTION II – COMPLIANCE STATEMENT

We undersigned certify that all the above elements of the checklist have been adhered to, as applicable, and are contained in the SMS Manual.

This compliance schedule is being submitted together with the SMS Manual as a formal application for the approval of the Safety Management System of the company.

Name of the Operator:

Date:

Accountable Manager:

Signature _____

Safety Manager:

Signature _____