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SECTION I: Compliance Checklist

Name of Operator:	Declaration Number and date:
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Abbreviations:

CAME	Continuous Airworthiness Maintenance Exposition
HIRM	Hazard Identification and Risk Management
ISO	International Standards Organisation
MEDA	Maintenance Error Decision Aid
OM	Operations Manual
OSHE	Occupational Safety, Health and Environment
SEMS	Safety and Environmental Management System
SMM	Safety Managment Manual
SPI	Safety Performance Indicators

INTRODUCTION
AMC2 ORO.GEN.200(a)(5) Management system is the basis of the SAFETY MANAGEMENT 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. MKD CAA has reproduced the list as a contents checklist to the operators to serve as a guide for the publication of the SMM. 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.).

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CHAPTER 1 DOCUMENT CONTROL:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective 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.		
a) Hard copy or controlled electronic media and distribution list.		
b) Correlation of this SMS manual with other existing manuals such as the 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.		
d) Manual administration, approval and regulatory acceptance process.		

CHAPTER 2 SMS REGULATORY REQUIREMENTS	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Address current SMS regulations and guidance materials for necessary reference and awareness by all concerned.		
a) Spell out current SMS regulations/standards. Include compliance timeframe and advisory material references as applicable.		
b) Where, appropriate, elaborate or explain the significance and implications of those regulations to the organization.		
c) Correlate to other safety related requirements or standards where appropriate.		

CHAPTER 3 SCOPE AND INTEGRATION OF THE SMS:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective Describe scope and extent of the organization’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.		
a) Spell out nature of the organization’s aviation business and its position or role within the industry as a whole.		
b) Identify major areas, departments, workshops and facilities of the organization within which the SMS will apply.		
c) Identify major processes, operations and equipment which are deemed to be eligible for the organization’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 organizations 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 organization such as QMS, OSHE, SEMS etc, their relevant integration (where applicable) within the aviation SMS should be identified.		

CHAPTER 4 SAFETY POLICY:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the organization’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.		
a) The safety policy should be appropriate to the size and complexity of the organization.		
b) The safety policy states the organization’s intentions, management principles and commitment to continuous improvement in aviation safety.		
c) The safety policy is approved by the Accountable Executive.		
d) The safety policy is promoted by the Accountable Executive 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 to all employees with the intent that they are made aware of their individual safety obligations.		
h) The safety policy shall be signed by the Accountable Executive.		

CHAPTER 5 SAFETY OBJECTIVES:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the safety objectives of the organization. The safety objectives would be a short statement that describes in broad terms what you hope to achieve.		
a) Safety objectives have been established		
b) Safety objectives are expressed as a top-level statement describing the organization’s commitment to achieving safety.		
c) There is a formal process to develop a coherent set of safety objectives.		
d) Safety objectives are publicized 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.		

CHAPTER 6 SAFETY ACCOUNTABLES AND KEY PERSONNEL:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.		
a) The Accountable Executive is responsible for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organization.		
b) Appropriate Safety Manager (office), Safety Committee and/or Safety Action Groups have been appointed as appropriate.		
c) Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization are defined and documented.		
d) All personnel understand their authorities, responsibilities and accountabilities in regards to all safety management processes, decision and actions.		
e) An SMS organizational accountabilities diagram is available.		

CHAPTER 7 SAFETY REPORTING AND REMEDIAL ACTIONS:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: A reporting system should include both reactive (accident/incident 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.		
a) The organization has a procedure that provides for the capture of internal occurrences including accidents, incidents, and other occurrences relevant to SMS.		
b) A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc) which are required to be notified to the MKD CAA and other routine occurrence reports which remain within the organization.		
c) There is also a voluntary and confidential hazard/ occurrence reporting system, incorporating appropriate identity/ data protection as applicable.		
d) The respective reporting processes are simple, accessible and commensurate with the size of the organization.		
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.		

CHAPTER 8 HAZARD IDENTIFICATION AND RISK ASSESSMENT:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: 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.		
a) Identified hazards are evaluated/ prioritized/ processed for risk assessment as appropriate.		
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:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the safety performance monitoring and measurement component of the SMS. This includes the organization’s SMS safety performance indicators (SPIs).		
a) There is a formal process to develop and maintain a set of safety performance indicators and their associated performance targets.		
b) Correlation of the SPIs to the organization’s safety objectives where applicable and the process of regulatory acceptance of the SPIs where required.		
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.		

CHAPTER 10 RELATED INVESTIGATIONS AND REMEDIAL ACTIONS:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe how accidents/incidents/ occurrences are investigated and processed within the organization, including its correlation with the organization’s SMS hazard identification and risk management system.		
a) Procedure to ensure that reported accidents and incidents are investigated internally.		
b) Dissemination of completed investigation reports internally as well as to the MKD CAA as applicable.		
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 activity, 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 organization’s hazard identification and risk management system where appropriate.		

CHAPTER 11 SAFETY TRAINING AND COMMUNICATIONS:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: 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 processes/ channels within the organization.		
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.		
d) The organization’s SMS training is part of the organization’s overall training program.		
e) SMS awareness is incorporated into the employment or indoctrination program.		
f) Safety communication processes/ channels within the organization.		

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CHAPTER 12 CONTINUOUS IMPROVEMENT AND SMS AUDIT:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the process for continuous improvement and review of the SMS.		
a) Process for regular internal audit/ review of the organization’s SMS to ensure its continuing suitability, adequacy and effectiveness.		
b) Describe any other programs contributing to continuous improvement of the organization’s SMS and safety performance eg MEDA, safety surveys, ISO systems, etc.		

CHAPTER 13 SMS RECORDS MANAGEMENT:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the method of storing all SMS related records and documents.		
a) The organization 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 assessments reports, Safety Action Group/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 audits purposes.		

CHAPTER 14 MANAGEMENT OF CHANGE:	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the organization’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 organizational or operational changes do take into 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 processes which have safety risks implications.		
c) Procedure for review of existing safety assessments whenever there are changes to the associated process or equipment		

CHAPTER 15 EMERGENCY RESPONSE PLAN (can be a separate manual):	SMS Manual Reference	CAA Only
		S / NS / NA
Objective: Describe the organization’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 it can be part of the SMS manual.		
a) The organization 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 organization has arrangements with other agencies for aid and the provision of emergency services as applicable.		
d) The organization has procedures for emergency mode operations where applicable.		
e) There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin.		
f) The organization has established procedures for handling media and insurance related issues.		
g) There are defined accident investigation responsibilities within the organization.		
h) The requirement for preservation of evidence, securing affected area and mandatory/ governmental reporting is clearly stated.		
i) There is emergency preparedness and response training for affected personnel.		
j) A disabled aircraft or equipment evacuation plan is developed by the organization in consultation with aircraft/ equipment owners, aerodrome operators or other agencies as applicable.		
k) A procedure exists for recording activities during an emergency response.		

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

SECTION II: Compliance Statement

We the undersigned certify that:

All the above elements of the compliance checklist have been adhered to 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 Operator:

Accountable

Executive:

Signature:

Safety

Manager:

Signature:

Date:

SECTION III: Notes for Completion

1	Legal basis – Commission Regulation (EU) 965/2012 ORO.GEN.200 Management system AMC ANNEX III PART ORO - Section II Management Explains the requirements to be included the SMS manual for complex and non-complex organizations. All the elements of the compliance checklist above, if adhered to, shall satisfy all the requirements of the Implementing rules and their acceptable means of compliance. ORO.GEN.200(b) states that: The management system shall correspond to the size of the operator and the nature and complexity of its activities, taking into account the hazards and associated risks inherent in these activities. It is therefore important that the organization have a management system consistent with their level of activity.		
2	Completion of the form This form should be submitted to the MKD CAA – OPS Department together with the proposed SMS Manual. The second column, entitled ‘SMS Manual Reference’, is to be used to indicate where in the SMS manual the particular sub-topic stated in the column titled ‘SMM Topics’, is covered. The third column will be used by the CAA to crosscheck the entries made against the respective text in the SMS Manual. ‘S’ will be used when the documented section of the Operations Manual satisfies the corresponding rule. ‘A’ will be entered if further action is required by the applicant operator. Please note that a minimum of 30 working days will normally be required to check and confirm the information given. If data is missing or omitted the process may take considerably longer. Any findings notified by the assigned Flight Operations Inspector would need to be closed to the satisfaction of the CAA before approval for the SMS Manual is issued. Failure to include all relevant documentation may result in a delay in processing your application.		
3	Submissions and Enquiries <table border="0"> <tr> <td> Address for submissions: Civil Aviation Agency OPS Department ul. Dame Gruev no. 1 1000 Skopje Republic of N. Macedonia </td><td> Contact details for enquiries: Tel: +389 (2) 3181 660 Fax: +389 (2) 3115 708 e-mail: ops@caa.gov.mk </td></tr> </table>	Address for submissions: Civil Aviation Agency OPS Department ul. Dame Gruev no. 1 1000 Skopje Republic of N. Macedonia	Contact details for enquiries: Tel: +389 (2) 3181 660 Fax: +389 (2) 3115 708 e-mail: ops@caa.gov.mk
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