SELF–ASSESSMENT WORKSHEET

Transitional Operator – Safety management systems

Authorisation holder name		ARN	

Instructions

1. Use this self-assessment worksheet to confirm your safety management system complies with the regulations for safety management systems in accordance with Subpart 119.F and Division 138.B.6 of the *Civil Aviation Safety Regulations 1998* (CASR).

2. All legislation reference questions must be addressed and answered. Any area not completed will be determined as not meeting the relevant legislation provision.

3. Unless otherwise stated, the legislation reference refers to a CASR.

4. Use the 'Documents reference' column to list the operations manual/exposition sections related to the legislation (column 1) and associated question (column 2).

5. Use the 'Comments' column to provide additional information related to the specific compliance requirement and operations manual/exposition reference.

6. For guidance on specific aspects of each question refer to AC 119-01 - Safety Management Systems for Air Transport Operations.

1. Safety policy and objectives

1.1 Management commitment

Legislation reference	Question	Document reference	Comments
119.190(1) 138.140	Does the organisation have a safety management system that is appropriate for the size, the nature and complexity of its operations?		
119.190(2)(a) 138.145(a)	**Does the safety management system include a safety policy signed by the chief executive officer containing:**		
119.190(2)(a)(i) 138.145(a)(i)	management's commitment to and the responsibility for safety, including a commitment to continuous improvement, observing all applicable legal requirements and standards, and including best practices?		
	a statement to provide appropriate resources and affirm that the organisation is managing resources by anticipating and addressing shortfalls?		
	policies for safety critical roles relating to all aspects of fitness for duty (e.g. alcohol and drugs policy, fatigue policy)?		
	Is the safety policy visible and communicated to all personnel and other relevant entities?		

Legislation reference	Question	Document reference	Comments
	Does the chief executive officer and senior management team promote a positive safety culture / just culture and visibly demonstrate commitment to the safety policy through active participation in the safety management system?		
	Does the safety policy actively encourage safety reporting?		
	Is there a just culture policy and principles that clearly identifies acceptable and unacceptable behaviours to promote a just culture?		
	Does the safety policy contain safety objectives that are suitable for the size and complexity of the organisation and are the safety objectives communicated throughout the organisation?		
	Does the safety policy consider and address State Safety Program (SSP) objectives?		

1.2   Safety accountabilities and responsibilities

Legislation reference	Question	Document reference	Comments
119.130(1)(b) 119.160(2)(b) 119.190(2)(a)(ii) 138.145(a)(ii)	Is a chief executive officer appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively?		
	Is the chief executive officer fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organisation?		
	Are safety accountabilities, authorities, and responsibilities throughout the organisation, defined and documented for staff to understand their own responsibilities?		

1.3   Appointment of key personnel

Legislation reference	Question	Document reference	Comments
119.190(2)(a)(iii) 138.145(a)(iii)	Has a competent safety manager, who is responsible for the implementation and maintenance of the SMS, been appointed with a direct reporting line to the chief executive officer?		

Legislation reference	Question	Document reference	Comments
	Has the organisation allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing and safety promotion?		
	Has the organisation established appropriate safety committee(s) that discuss and address safety risks and compliance issues and include the chief executive officer and other heads of functional areas?		

1.4 Coordination of emergency response planning

Legislation reference	Question	Document reference	Comments
119.190(2)(a)(iv) 138.145(a)(iv)	Has an appropriate emergency response plan (ERP) been developed and distributed that defines procedures, roles, responsibilities and actions of key personnel and various organisations?		
	Is the ERP periodically tested for adequacy, and the results reviewed to improve its effectiveness?		

1.5   SMS documentation

Legislation reference	Question	Document reference	Comments
119.190(2)(a)(v) 138.145(a)(v)	Does the SMS documentation include policies and processes that describe the organisation's safety management system and processes, and is the documentation readily available to all relevant personnel?		
	Is SMS documentation, including SMS related records, regularly reviewed and updated with appropriate version control in place?		

2. Safety risk management

2.1 Hazard Identification

Legislation reference	Question	Document reference	Comments
119.190(2)(b) 138.145(b)	**Does the safety management system include a safety risk management process that includes the following:**		
119.190(2)(b)(i) 138.145(b)(i)	a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff?		
	a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation?		
	Do personnel express confidence and trust in the organisation's reporting system?		
	Is there a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external)?		
	Does the hazard identification process identify human performance related hazards?		

Legislation reference	Question	Document reference	Comments
	Is there a process in place to analyse safety data and safety information to look for trends and gain useable management information?		
	Are safety investigations carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened)?		

2.2   Safety risk assessment and mitigation

Legislation reference	Question	Document reference	Comments
119.190(2)(b)(ii) 138.145(b)(ii)	Is there a process for the management of risk that includes the analysis and assessment of risk associated with identified hazards, expressed in terms of likelihood and severity (or alternative methodology)?		
	Is there a criteria for evaluating the level of risk the organisation is willing to accept and are risk assessments and ratings appropriately justified?		
	Does the organisation have a process in place to make decisions and apply appropriate and effective risk controls?		
	Does senior management have visibility of medium and high-risk hazards, as well as their mitigation and controls?		

3. Safety assurance

3.1 Safety performance monitoring and measurement

Legislation reference	Question	Document reference	Comments
119.190(2)(c) 138.145(c)	**Does the safety management system include a safety assurance system that includes the following:**		
119.190(2)(c)(i) 138.145(c)(i)	safety performance indicators (SPIs) linked to the organisation's safety objectives, and are they defined, promulgated, monitored, and analysed for trends?		
	risk mitigations and controls that are constantly verified/audited to confirm they are working and effective?		
	Does safety assurance take into account activities carried out by all directly contracted organisations? (External interfaces)		
	Are responsibilities and accountability for ensuring compliance with safety regulations defined, and applicable requirements clearly identified in the organisation's manuals and procedures?		
	Is there an internal audit program that includes details of the schedule of audits, procedures for audits, reporting, follow-up, and record management?		

Legislation reference	Question	Document reference	Comments
	Are responsibilities and accountabilities for the internal audit process defined, and does the person, or group of persons, with responsibilities for internal audits have direct access to the chief executive officer?		
	After an audit, is there appropriate analysis of causal factors and corrective/preventive actions taken?		

3.2 Management of change

Legislation reference	Question	Document reference	Comments
119.190(2)(c)(ii) 138.145(c)(ii)	Does the organisation have a process to identify whether changes have an impact on safety, and to manage any identified risks in accordance with existing risk management processes?		
	Are human factors (HF) issues considered as part of the change management process and, where appropriate, does the organisation apply appropriate HF / human-centered design standards to equipment and physical environment design?		

3.3 Continuous improvement of the SMS

Legislation reference	Question	Document reference	Comments
119.190(2)(c)(iii) 138.145(c)(iii)	Does the organisation continuously monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS?		

4. Safety promotion

4.1 Training and education

Legislation reference	Question	Document reference	Comments
119.190(2)(d) 138.145(d)	**Does the safety management system include a safety training and promotion system that includes the following:**		
119.190(2)(d)(i) 138.145(d)(i)	a training program for SMS, which includes initial and recurrent training? Does the training cover individual safety duties (i.e. roles, responsibilities and accountabilities) and how the organisation's SMS operates?		
	Is there a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training?		
	Does training include human and organisational factors, including just culture and non-technical skills with the intent of reducing human error?		
	Is there a process that evaluates an individual's competence and takes appropriate remedial action when necessary?		
	Is the competence of trainers defined and assessed, and appropriate remedial action taken when necessary?		

4.2   Safety communication

Legislation reference	Question	Document reference	Comments
119.190(2)(d)(ii) 138.145(d)(ii)	Is there a process to determine what safety-critical information needs to be communicated and how it is communicated throughout the organisation to all relevant personnel, including contracted organisations and personnel where appropriate?		

5. SMS interface management

Legislation reference	Question	Document reference	Comments
119.190(2)(d)	Does the organisation identify and document the relevant internal and external interfaces and the critical nature of such interfaces? Note: an internal interface may be an internal business unit, an external interface may be a contracted organisation.		

6. Flight data analysis program (FDAP)

Legislation reference	Question	Document reference	Comments
119.195(3)(b)(i),(ii)	Is the flight data analysis program managed within the organisation, or provided by another appropriate person?		
119.195(3)(a)	Does the flight data analysis program regularly record and analyse operational flight data of individual and aggregated operations, for the purpose of improving the safety of flight operations?		
119.195(3)(c)(i)(ii)(iii)	Does the flight data analysis program ensure that the identity of an identified person who is the source of data, is protected from disclosure to anyone other than those whose duties are relevant to such operations?		
119.195(3)(d)	Does the flight data analysis program ensure that no punitive action in relation to the data is taken by the organisation against an identified person?		