



WORKSHEET

(OPS.08) Safety management systems assessment

Applicant name	Applicant ARN	EAP case number	File reference
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Instructions

1. Use this worksheet for the assessment of a safety management system.
2. Only complete the sections relevant to the operation.
3. Unless otherwise stated, the legislation reference refers to the *Civil Aviation Safety Regulation 1998* (CASR).
4. The compliant column is used to record evidence that supports an assessment of *present* and *suitable* for the operation. Select a response from the drop-down list. There are four available responses: **Yes** / **No** / **MI** (more information) / **N/A** (not applicable). Yes indicates that both present and suitable have been satisfied and the element is compliant with the rule.
5. For guidance on specific aspects of each question, refer to the respective section in the principle document as identified in the principle reference column.
6. The assessment summary must be completed by the inspector. By selecting satisfied or not satisfied, the inspector is taken to have signed the worksheet.
7. Where required, the approval data sheet must be completed by the assigned inspector. Regservices will use this information to prepare approvals for the delegate.

2.1 General

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190(1) 138.140 142.260 142.265	2.1	Does the operator have a safety management system that is appropriate for the size, the nature and complexity of operator's operations?		

2.2 Statement of the operator's safety policy and objectives

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190(2)(a) 138.145(a) 142.265(2)(b)	2.2	Does the operator's safety management system include a statement of the operator's safety policy and objectives, containing:		
119.190 (2)(a)(i) 138.145(a)(i) 142.265(2)(b)(i)	2.2.1	management's commitment to, and responsibility for, safety?		

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.130(1)(b) 119.160(2)(b) 119.190(2)(a)(ii) 138.145(a)(ii) 142.180(1) 142.265(2)(b)(ii)	2.2.2	the safety accountabilities of managers (including key personnel)?		
119.190(2)(a)(iii) 138.145(a)(iii) 142.265(2)(b)(iii)	2.2.3	the appointment of safety management personnel?		
119.190(2)(a)(iv) 138.145(a)(iv) 142.265(2)(b)(vii)	2.2.4	coordination of an emergency response plan?		
119.190(2)(a)(v) 138.145(a)(v) 142.265(2)(b)(viii)	2.2.5	safety management system documentation?		

2.3 Safety risk management

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190(2)(b) 138.145(b) 142.265(2)(c)	2.3	Does the operator's safety management system include a safety risk management process, including:		
119.190(2)(b)(i) 138.145(b)(i) 142.265(2)(c)(i)	2.3.1	hazard identification processes?		
119.190(2)(b)(ii) 138.145(b)(ii) 142.265(2)(c)(ii)	2.3.2	safety risk assessment and mitigation processes?		

2.4 Safety assurance

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190(2)(c) 138.145(c) 142.265(2)(d)	2.4	Does the operator's safety management system include a safety assurance system, including details of:		

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190(2)(c)(i) 138.145(c)(i) 142.265(2)(d)	2.4.1	processes for safety performance monitoring and measurement?		
119.190(2)(c)(ii) 138.145(c)(ii) 142.265(2)(d)(i)(C)	2.4.2	management of change?		
119.190 (2)(c)(iii) 138.145(c)(iii) 142.265(2)(d)(i)(D)	2.4.3	continuous improvement of the safety management system?		

2.5 Safety training and promotion

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190 (2)(d) 138.145(d) 142.265(2)(e)	2.5	Does the operator's safety management system include a safety training and promotion system, including details of		
119.190 (2)(d)(i) 138.145(d)(i) 142.265(2)(e)(i)	2.5.1	safety management system training and education?		

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.190 (2)(d)(ii) 138.145(d)(ii) 142.265(2)(e)(ii)	2.5.2 2.5.3	safety management system safety communication?		

2.6 Flight data analysis program (FDAP)

Legislation reference	Principle reference	Question	Compliant?	Inspector comments
119.195(3)(b) 142.265(4)(b)	2.6.1	Is the flight data analysis program provided by either the operator or another appropriate person?		
119.195(3) 142.265(2)(d)(ii)		Does the flight data analysis program:		
119.195(3)(a) 142.265(4)(a)	2.6.2	regularly record and analyse the operational flight data of individual and aggregated operations for the purpose of improving the safety of flight operations?		
119.195(3)(c) 142.265(4)(c)(i)	2.6.3	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) 142.265(4)(c)(ii)	2.6.4	ensure that no punitive action in relation to the data may be taken by the operator against the identified person?		

Assessment summary

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This worksheet verifies that the assessment of the SMS for the above-named operator has been assessed in accordance with the current revision of Protocol (OPS.08) Safety management system assessment. If the application is an initial issue, complete the relevant section of (OPS.121), (OPS.133), (OPS.135) or (OPS.138) worksheet as appropriate.

Inspector name		Title		Date	
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Assessment

The exposition has been assessed in accordance with the requirements mentioned in:

- ☐ Subpart 119.F
 ☐ Division 138.B.6
 ☐ Subpart 142.G

Inspector

- ☐ I am satisfied that the safety management system meets the requirements mentioned in the regulations (as applicable).
☐ I am not satisfied that the safety management system meets the requirements mentioned in the regulations.

Reason for recommendation

Approval data sheet

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Tick the relevant boxes for the approvals, if required.

☐ Significant change recommendation (if required)

(1) The proposed significant change(s) to the exposition/operations manual have been assessed in accordance with the requirements mentioned in:

☐ paragraph 119.205(1)(m)
 ☐ paragraph 138.155(1)(m)
 ☐ paragraph 142.340(1)(t)

Inspector

☐ I recommend the significant change

☐ I do not recommend the significant change.

Exposition/operations manual revision reference

Title	Version	Date	RMS reference number

Note: Regservices requires this information to create the EMAN in RMS.