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| Organisation: | Approval Reference(s): |

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| Signature: | Position: |
| Print Name: | Date of signing: |
| SMS Manual Revision: |  |

To be completed and signed for by the Safety Manager or Accountable Manager

For CAA use only

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| CAA Staff Name |  |  |  |
| Date of Phase 1 assessment: |  |  |  |
| Date of Phase 1 completed: |  |  |  |
| Signature |  |  |  |

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|  | CAA Guidance Material Ref |  | Compliance  Y/ N / Partial | Comments / Reference to compliance |
| Management commitment | 5.1 | Is there a written safety policy endorsed by the Accountable Manager? |  |  |
| 5.1 | Does Senior Management continuously promote and demonstrate its commitment to the safety policy? |  |  |
| 5.1 | Has the safety policy been communicated effectively throughout the organisation? |  |  |
| 5.1 | Does the safety policy cover the points in this guidance material? |  |  |
| Safety accountability and responsibilities | 5.2 | Are the safety accountabilities and responsibilities of the Accountable Manager and other key staff members clearly defined and published for all staff and contractors to see? |  |  |
| 5.2 | Does the Accountable Manager have full responsibility for the SMS and authority to make decisions regarding the budget? |  |  |
| 5.2 | Has the management structure of the organisation been defined? |  |  |
| 5.2 | Are all staff members aware of their safety roles and responsibilities? |  |  |
| Appointment of key safety staff members | 5.3 | Has a focal point/Safety Manager for the SMS been appointed? |  |  |
| 5.3 | Is there a direct reporting line between the SMS focal point/ Safety Manager and the Accountable Manager? |  |  |
| 5.3 | Does the SMS focal point/ Safety Manager have the appropriate SMS knowledge and understanding? |  |  |
| 5.3 | Does the organisation have a Safety Committee or equivalent? |  |  |
| 5.3 | Does the Safety Committee or equivalent monitor the safety performance and the effectiveness of the SMS? |  |  |
| 5.3 | Does the Safety Committee or equivalent meet at least annually and are the meetings minuted? |  |  |
| Emergency response planning | 5.4 | Has an emergency response plan been developed and is it kept up to date? |  |  |
| 5.4 | Are the roles, responsibilities and actions of key staff members defined in the ERP? |  |  |
| 5.4 | Does the ERP include all the considerations in this guidance material if appropriate? |  |  |
| 5.4 | Is there a plan for the ERP to be reviewed and tested? |  |  |
| Safety documentation | 5.5 | Does the safety management manual or safety documentation in existing manuals contain all the elements as detailed in this guidance material? |  |  |
| 5.5 | Is there a system for the recording and storage of SMS documentation and records i.e. hazard logs, risk assessments, safety reports from staff/contractors and safety cases? |  |  |
| Hazard identification | 6.2 | Is there a confidential safety reporting system that meets EU 376 / 2014? |  |  |
| 6.2 | Are safety reports assigned an ‘owner’ and reviewed by the Safety Committee or equivalent? |  |  |
| 6.2 | Is there process for feedback to the reporter? |  |  |
| 6.3 | Is there a written procedure describing how hazards are identified? |  |  |
| 6.3 | Have the major hazards associated with the organisation been identified? |  |  |

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| Risk assessment and mitigation | 6.4 | Is there a risk assessment process in place? |  |  |
| 6.4 | Is the risk tolerability matrix appropriate and can it be applied consistently? |  |  |
| 6.4 | Is there a process for deciding any necessary risk mitigation? |  |  |
| 6.4 | Are risk mitigations and controls being verified/audited to confirm the effectiveness? |  |  |
| 6.9 | Are the hazards and risks recorded on a hazard log or risk register? |  |  |
| Safety performance monitoring | 7.2 | Have safety objectives and safety performance indicators been defined? |  |  |
| 7.3 | Is there a process for how safety performance indicators are reviewed to identify any trends? |  |  |
| Management of change | 7.4 | Is there a process to proactively identify hazards and to mitigate risks when significant changes in the organisation occur? |  |  |
| Incident management | 7.5 | Are there procedures for safety investigations to be carried out after incidents or accidents to establish root cause? |  |  |
| 7.5 | Is there is means for the hazards identified from safety investigations to be addressed and communicated to the rest of the organisation? |  |  |

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| Continuous improvement |  |  |  |  |
| 7.6 | Is there a process for how continuous improvement is monitored and managed? |  |  |
| Safety auditing | 7.7 | Is there a plan for safety audits and surveys to be carried out? |  |  |
| 7.7 | Is there an independent quality system or third party agency that audits the SMS? |  |  |
| Safety training | 8.1 | Have all staff been appropriately trained in respect of the SMS and their safety roles and responsibilities? |  |  |
| Communication | 8.2 | Does safety related information get communicated to all staff members as appropriate? |  |  |
| 8.2 | Does relevant safety information reach external users/customers etc? |  |  |
| SMS implementation | 9.1 | Has a gap analysis been carried out? |  |  |
| 9.2 | Is there an SMS implementation plan? |  |  |
| 9.2 | Does the implementation plan reflect the gap analysis? |  |  |
| 9.2 | Is the implementation plan on target? |  |  |