



JOB AID SSP-008 SMS Manual Contents Compliance & Evaluation Checklist

Please complete this form in BLOCK LETTERS.	For GCAA Use Only
	File Ref:
	Date:

Section I: General Information

Name of Operator/Service Provider:	AOC/ROC/ATO/AMO/Number:
	Other [Indicate type of entity and certificate number]:

A. Abbreviations:

HIRM	Hazard Identification and Risk Management
ISO	International Standards Organisation
OM	Operations Manual
SEMS	Safety and Environmental Management System
SMM	Safety Management Manual
SMS	Safety Management System
SPI	Safety Performance Indicators



B. Regulatory basis – GCADs Part 36

The purpose of the SSP-008 SMS Manual Contents Compliance and Evaluation Checklist is to assist service providers with a view to ensuring that the SMS Manual submitted to the Authority for acceptance are standardized and include all items that are required by GCAD Part 36 and other applicable guidance materials.

This Checklist applies to both complex and non-complex organisations. The checklist is provided to ensure the minimum required items are contained in the Manual. It should be enhanced as necessary to suit the service provider's level of activity.

It is important to understand the definition of a complex operator as per the **SMS Acceptance Procedures Manual**. Whilst the number of employees have a bearing on the complexity of operations, the operator shall be assessed on then 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-engine 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.).

SECTION II: COMPLIANCE AND EVALUATION CHECKLIST

A. Notes for completing the Checklist

This Checklist when completed should be submitted to the GCAA Safety Regulation Department together with proposed SMS Manual.

The column '**SMS Manual Reference**' is to be used to indicate where in the SMS manual the particular checklist item is covered. The column '**GCAA Only**' is for use by GCAA. '

Please note that a **minimum** of 30 working days will normally be required to check and confirm the information given.



CHECKLIST ITEMS					
1	GENERAL MANUAL PRESENTATION	SMS Manual Reference	GCAA Only		
			S	NS	NA
1.1	Bound in a secure form (not loose).				
1.2	Binder is 3 or 4 rings.				
1.3	Exterior of binder clearly indicates manual content.				
1.4	Approved by the Accountable Executive.				
1.5	GCAA Acceptance page available.				
1.6	Glossary (Abbreviations/Acronyms) available.				
1.7	The word 'INTENTIONALLY LEFT BLANK' written on all blank pages.				
2	MANUAL CONTROL PROCESS 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.	SMS Manual Reference	GCAA Only		
			S	NS	NA
2.1	Detailed description of how the manual will be kept up to date and ensure that all personnel have the most current Version.				
2.2	Manual Distribution List. (a) <i>Copies numbered for controlled issuance.</i> (b) <i>Details of the methodology and media for manual distribution provided.</i>				
2.3	Amendment issuance tracking process.				
2.4	GCAA issued numbered volume.				
2.5	Revision Instructions adequate.				
2.6	Revision page for revision entry.				
2.7	List of effective pages provided and correct.				
2.8	Last revision to individual pages identified.				
2.9	This manual with other approved documentation has been correlated with other primary user manual.				



2.10	Details of the process for periodic review of other safety management system related documentation and manuals are provided to ensure their continuing suitability, adequacy and effectiveness.				
2.11	This manual and pertinent portion are readily accessible to company personnel.				
2.12	This manual is approved by the Accountable Executive.				
3	MANUAL REFERENCING SYSTEM	SMS Manual Reference	GCAA Only		
			S	NS	NA
3.1	Master table of contents easy to find and use.				
3.2	Table of contents easy to find and use.				
3.3	Index, if included, easy to find and use.				
3.4	Tabbed as necessary for usability without difficulty.				
4	INDIVIDUAL PAGE PRESENTATION	SMS Manual Reference	GCAA Only		
			S	NS	NA
4.1	Page numbered in chronological sequence (by chapter or single document).				
4.2	Last revision number/ date appears on each page.				
4.3	Company name and Logo appears on each page.				
5	PARAGRAPH NUMBERING	SMS Manual Reference	GCAA Only		
			S	NS	NA
5.1	Paragraphs and sub-paragraphs numbered or alphabetized for ease of reference.				
6	SUPPLEMENTAL CONTENT REFERENCING	SMS Manual Reference	GCAA Only		
			S	NS	NA
6.1	Tables referenced for ease of use.				
6.2	Figures referenced for ease of use.				
6.3	Appendices referenced for ease of use.				
7	MANUAL CONTENTS CONFORMANCE	SMS Manual Reference	GCAA Only		
			S	NS	NA
7.1	Company Organisational Structure with names of post holders				
7.2	Duties and Responsibilities of Key positions.				



7.3	A Compliance Statement to GCAD Part 36 and any related references.				
7.4	Definitions, Abbreviations and Acronyms.				
8	SMS REGULATORY REQUIREMENTS, AWARENESS & COMMUNICATION	SMS Manual Reference	GCAA Only		
	Objective Address current SMS regulations and guidance materials for necessary reference and awareness by all concerned.		S	NS	NA
8.1	Spell out current GCAD SMS Directives/Standards. Include compliance time frame and advisory material references as applicable.				
8.2	Where, appropriate, to elaborate or explain the significance and implications of those Directives to the organisation.				
8.3	Correlate to other safety related requirements or standards where appropriate.				
9	SMS SCOPE & INTEGRATION	SMS Manual Reference	GCAA Only		
	Objective 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.		S	NS	NA
9.1	The general nature of the organisation's aviation business and its position or role within the industry as a whole are described.				
9.2	Equipment, facilities, work scope, capabilities and other relevant aspects of the organisation within which the SMS will apply are identified.				
9.3	The scope of all relevant processes, operations and equipment which are a part of the organisation's Hazard Identification Risk Analysis (HIRA) evaluation program are identified; especially those which are directly pertinent to aviation safety.				
9.4	If the scope of HIRA eligible processes, operations, and equipment is too detailed or extensive, are supplementary documents are provided.				
9.5	Where the SMS is operated or administered across a group of interlinked organisations or contractors, such integration and associated accountabilities are defined and documented.				
9.6	Where there are other related control and management systems within the organisation such as ISO9000, HFEM, OHSAS, QMS, MEDA etc, their relevant integration into the SMS is identified and described.				



10	SAFETY POLICY	SMS Manual Reference	GCAA Only		
			S	NS	NA
	Objective 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.				
10.1	The safety policy describes the organisation's intentions, management principles, and commitment to improving aviation safety in the company.				
10.2	The safety policy should be appropriate to the size and complexity of the organisation.				
10.3	The safety policy states the organisation's intentions, management principles and commitment to continuous improvement in the aviation safety level.				
10.4	The safety policy is approved by the Accountable Executive by signature.				
10.5	The safety policy is promoted by the Accountable Executive and all other Managers.				
10.6	The safety policy is communicated to all employees with the intent that They are made aware of their individual safety obligations.				
10.7	Personnel at all levels are involved in the establishment and maintenance of the safety management system.				
10.8	Procedures are included for the review of the safety policy periodically.				
11	SAFETY GOALS & OBJECTIVES	SMS Manual Reference	GCAA Only		
	Objective 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.		S	NS	NA
11.1	There is a formal process to develop a set of safety objectives and goals necessary to provide direction and impetus to the SMS.				
11.2	The safety objectives and the safety performance goals of the organisation are specified in the documentation.				
11.3	Performance goals are specific and measurable that allow measurement of the degree of success of the SMS.				
11.4	Safety objectives have been established.				
11.5	Safety objectives are expressed as a top-level statement describing the organisation's commitment to achieving safety.				
11.6	These objectives and goals can be supported by data-based safety indicators or parameters.				



11.7	Safety objectives and goals are publicised and distributed.				
11.8	Methodology and resources have been established for achieving the objectives and goals				
12	SAFETY ACCOUNTABILITIES & KEY PERSONNEL	SMS Manual Reference	GCAA Only		
			S	NS	NA
	Objective Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.				
12.1	The safety authorities, responsibilities and accountabilities for personnel involved in the SMS are specified in detail.				
12.2	These assignments are clearly defined and documented.				
12.3	These assignments are promulgated to all personnel in key documentation and communication media.				
12.4	These assignments also include specific requirements that the Accountable Executive is responsible for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organisation.				
12.5	The process for appointing the appropriate Safety Manager (office), Safety Committee or Safety Action Groups are included.				
12.6	An SMS organisational accountabilities chart is included.				
13	SAFETY CULTURE	SMS Manual Reference	GCAA Only		
			S	NS	NA
13.1	Details under the system or policy under which employees are encouraged to report errors, safety deficiencies, hazards, accidents, and incidents is included.				
13.2	Policy and procedure in place that facilitate and encourage employees to report errors, safety deficiencies, hazards or occurrences				
13.3	Conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or wilful misconduct) are clearly defined.				
13.4	This reporting policy is widely disseminated throughout the organisation and appears in user-specific procedure manuals.				
14	SAFETY REPORTING	SMS Manual Reference	GCAA 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.				
14.1	A reporting system including both reactive (accident/incident reports etc) and proactive/predictive (hazard reports etc) data is established.				
14.2	The details of the design of the reporting system and how it works is provided.				
14.3	The details of the incident reporting system include factors such as report format, confidentiality, data collection and analysis and subsequent dissemination of information on corrective actions, preventive measures and recovery controls.				
14.4	A process or system that provides for the capture of internal information including incidents, accidents, hazards and other data relevant to SMS is included.				
14.5	The reporting process should be simple, accessible, and commensurate with the size and complexity of the organisation				
14.6	Procedures for review of the reports at the appropriate level of management is provided.				
14.7	A feedback process is established to notify contributors that their reports have been received and to share the results of the analysis.				
14.8	Procedures to make the reporting form accessible across the organisation.				
15	HAZARD IDENTIFICATION & RISK ASSESSMENT	SMS Manual Reference	GCAA 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.				
15.1	The details of organisation's hazard identification system and related schemes and how such data are collated is included.				
15.2	These details include how the organisation's process for any categorization of hazards/risks and their subsequent prioritization for a documented safety assessment.				
15.3	These details include how the organisation's safety assessment process is conducted and how preventive action plans are implemented.				
15.4	The structured process provides for the assessment of risks associated with identified hazards, expressed in terms of consequence (severity) and likelihood (probability of occurrence)				
15.5	Hazard identification and risk analysis procedures clearly manifest aviation safety as its fundamental context.				



15.6	There is a criterion for evaluating risk and the tolerable level of risk the organisation is willing to accept together with any mitigating factors.				
15.7	The provisions for risk control strategies that include corrective, preventive and recovery action plans are included				
15.8	The process for evaluating and updating the effectiveness of the corrective preventive and recovery measures is included.				
15.9	There are specific requirements for documentation and retention of the corrective, preventive and recovery actions, including timelines.				
16	SAFETY PERFORMANCE MONITORING	SMS Manual Reference	GCAA Only		
			S	NS	NA
	Objective Describe the safety performance monitoring and measurement component of the SMS. This includes the Organisation's SMS safety performance indicators (SPIs).				
16.1	Procedures for the review of effectiveness of the Organisation's SMS.				
16.2	These procedures include the safety performance of the organisation by reviewing the safety performance indicators.				
16.3	There is a formal process to develop and maintain a set of safety performance indicators and their associated performance targets.				
16.4	Correlation of the SPIs to the organisation's safety objectives where applicable and the process of regulatory acceptance of the SPI where required.				
16.5	The process of monitoring the performance of these SPIs including remedial action procedure whenever unacceptable or abnormal trends are triggered.				
16.6	Any other supplementary SMS or safety performance monitoring and measurement criteria or process.				
16.7	Periodic planned reviews of company safety performance indicators include an examination of the company's Safety Management System to ensure its continuing suitability, adequacy and effectiveness.				
17	SAFETY INVESTIGATION AND REMEDIAL ACTION	SMS Manual Reference	GCAA Only		
			S	NS	NA
	Objective Describe how accidents/incidents/occurrences are investigated and processed within the organisation, including its correlation with the Organisation's SMS hazard identification and risk management system.				



17.1	The Process for how accidents/incidents are investigated internally.				
17.2	Provisions for reviewing contributing factors to an accident/incident are determined and how corrective action is recommended to prevent re-occurrence.				
17.3	Details of how the corrective/preventive actions are reviewed for updating any existing safety assessment or the need to initiate a safety assessment for newly uncovered hazards/risks.				
17.4	Procedures are provided that ensure reported occurrences and incidents are investigated where applicable.				
17.5	A process to ensure that such investigations include identification of active failures as well as contributing organisational factors is described.				
17.6	The details of the investigation procedure and format includes the integration of safety related findings with the SMS.				
17.7	An investigation process is provided to ensure that appropriate SMS Follow-up actions on related as well as unrelated hazard or risks uncovered during the course of investigations are addressed.				
17.8	Dissemination of completed investigation reports internally.				
17.9	Conditions under which punitive disciplinary action would be considered (e.g., illegal activity, recklessness, gross negligence, or wilful misconduct) are clearly defined.				
18	SAFETY TRAINING & COMMUNICATION	SMS Manual Reference	GCAA 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 organisation.				
18.1	Description of the type of SMS and other safety related training that staff receives.				
18.2	Describe how such training procedures are documented.				
18.3	Describe the safety communication processes/channels within the organisation.				
18.4	The SMS training syllabus, eligibility and requirements are included.				



18.5	There is a validation process that measures the effectiveness of training.				
18.6	The training includes initial, recurrent and refresher, where applicable.				
18.7	The SMS training is part of the organisation's overall training program.				
18.8	SMS awareness is incorporated into employment or indoctrination program.				
18.9	Safety communication processes/channels within the organisation.				
19	CONTINUOUS IMPROVEMENT & SMS AUDIT	SMS Manual Reference	GCAA Only		
	Objective Describe the process for continuous improvement and review of the SMS.		S	NS	NA
19.1	The processes for continuous improvement and review of the organisation's SMS are described.				
19.2	There are provisions for regular audit/ reviews of company safety performance indicators, including an internal assessment/ audit of the company's Safety Management System to ensure its continuing suitability, adequacy and effectiveness.				
19.3	All other programs contributing to continuous improvement of the organisation's SMS and safety performance. (e.g., MEDA, safety surveys, ISO systems) are included.				
20	SMS DATA & RECORDS MANAGEMENT	SMS Manual Reference	GCAA Only		
	Objective Describe the method of storing all SMS related records and documents.		S	NS	NA
20.1	Description of the organisation's method of recording and storing all SMS related documents is provided.				
20.2	The organisation's records system that ensures the generation and retention of all records necessary to document and support the SMS is included.				
20.3	That system requires the retention of records such as hazard reports, risk assessments reports, Safety Action Group (SAG) /Safety Review Board (SRB) meeting notes, safety performance monitoring charts, SMS audit reports, SMS training records.				




20.4	Records should be traceable for all elements of the SMS and be accessible for routine administration of the SMS as well as the internal and external audits purposes.				
21	MANAGEMENT OF CHANGE	SMS Manual Reference	GCAA 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.				
21.1	Description of how the organisation manages changes (internal/ external processes) that may have an impact on safety.				
21.2	Details showing how such processes are integrated with the Organisation’s SMS.				
21.3	A standard procedure or policy to perform or review safety assessments for all substantial internal or external changes which may have safety implications.				
21.4	Procedure for performing safety assessment prior to introduction of new equipment or processes which may have safety implications before they are commissioned.				
21.5	Procedure for review of existing safety assessments whenever there are changes to the changes to the associated process or equipment.				
21.6	Provisions for all concerned stakeholders within or without the Organisation are involved in such reviews.				
21.7	How such reviews are documented and approved by management.				
22	EMERGENCY RESPONSE PLAN (Can be a separate Manual)	SMS Manual Reference	GCAA Only		
			S	NS	NA
	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 it can be part of the SMS manual.				
22.1	Details of the organisation’s intentions and commitment to dealing with emergency situations and their corresponding recovery controls are provided.				
22.2	There is an emergency plan that outlines roles and responsibilities in the event of a major incident, crisis or accident.				



22.3	The Emergency Response Plan has been developed and is available in the organisation's manual system.				
22.4	There is a notification process that includes an emergency call list and an internal mobilization processes.				
22.5	The details of the specific arrangements with other agencies for aid and the provision of emergency services are included.				
22.6	Procedures for emergency mode operations are provided where applicable.				
22.7	Procedure is provided for overseeing the welfare of all affected individuals and for notifying next of kin.				
22.8	Procedures for handling media and insurance related issues are provided.				
22.9	The accident investigation responsibilities within the organisation have been defined.				
22.10	Policy/procedure requiring preservation of evidence, securing affected area and mandatory/governmental reporting is clearly stated.				
22.11	Provisions and general curricula for the emergency preparedness and response training for affected personnel.				
22.12	A disabled aircraft or equipment evacuation plan has been developed by the organisation in consultation with aircraft/equipment owners, aerodrome operators or other agencies as applicable.				
22.13	A procedure exists for recording activities during an emergency response.				



SECTION III: SMS Manual review report form

	CONSOLIDATED REPORT	DEPARTMENT:	
	SMS Manual Review Report	DOC ID:	
		VERSION NO:	
		ISSUE DATE:	

Service Provider Name:		
Manual Title:		
GCAA Reference	Manual Revision date:	Manual Edition/Version: Ed 4.0.0 // V 2.0.0
	SPM revision date:	Manual Edition/Version: V 2.0.0

Item	Manual Reference: (Section/Chapter)	GCAA References	Comments/Findings	Service Provider Response / Corrective Action
1				
2				
3				
4				
5				



GHANA CIVIL AVIATION AUTHORITY

Summary:

Submission Accepted <input type="checkbox"/>	Submission rejected <input type="checkbox"/>	Further Submission Required <input type="checkbox"/>		
Compliance Review				
Name of Inspectors performing the review: 1. 2. 3. 4.	Signatures:	Manager of Section: Name: Signature:	Date:	Follow up Action Required: YES <input type="checkbox"/> NO <input type="checkbox"/>



SECTION IV: 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 Checklist is being submitted together with the SMS Manual as a formal application for the acceptance of the Safety Management System of the organisation.

Name of Operator/Service Provider:

Accountable Executive:

Signature:

Safety Manager:

Signature

Date: