

AIR CHARTER

SAFETY
FOUNDATION

Pre-Audit Checklist



CHECKLIST INSTRUCTIONS

Completing this checklist will assist you in determining your company's readiness to undergo an audit in compliance to FAA Part 5 and ICAO Annex 19 and ACSF Standards.

In the second column under "Remarks/Evidence" feel free to add your own comments how you comply, however the auditor has the option to change/add/delete based on the onsite visit.

In the 3rd column, list the reference in company documentation (e.g., Operations Manual, Maintenance Manual, SMS Manual, Training Manual, etc.) where the individual requirement is met. Be as specific as possible in your reference, e.g., OM Chapter 1, Paragraph 1.2.1.T.

Column 4 of the form asks whether the requirement is "Documented" (Yes/No) and "Implemented" (Yes/No). Check yes after "Documented," only if the requirement is FULLY documented. Otherwise, check no and indicate where the documentation is lacking.

Check yes after "Implemented," only if the requirement is FULLY in use throughout the company (where appropriate) and its use can be monitored. Otherwise, check no and indicate what is needed for the requirement to be fully implemented.

Check the "N/A" box if the particular standard is not applicable to your operation.

NOTE: You may find that many of the ACSF Operator Standards are currently in use throughout your company, but are not documented, or are only partially documented. This is an indication that company manuals, standard operating procedures, etc. need updating to reflect current company processes and procedures.

OPERATOR INFORMATION	
Operator:	Location(s):
Date:	
Person(s) Responsible for Completing Checklist:	
Name: Title:	
Name: Title:	
Name: Title:	

DOCUMENTS REVIEWED WHEN COMPLETING THIS CHECKLIST		
Document	Revision No.	Date

Question #	Questions	Manual Reference	
1	<p>Do the Aviation Safety Action Program procedures ensure the certificate holder has a valid MOU?</p> <p>FAA Ref. 8900.1 Vol 11 Ch 2 Sec 1, AC-120-66</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
2	<p>Do VDRP procedures meet the intent of Advisory Circular 00-58?</p> <p>FAA Ref. 8900.1 Vol 11 Ch 1 Sec 1, AC 00-58</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
3	<p>Do procedures exist in enough detail to meet the regulatory and guidance requirements for this element to produce the intended results?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
4	<p>Do controls exist within this element that ensure risks are reduced to an acceptable level?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>

Question #	Question	Manual Reference	
5	<p>Does the certificate holder have a method to evaluate the impact of changes on related processes (interfaces) for this element?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
6	<p>Does the process design ensure the individual with responsibility provides both financial and human resources for the safety and quality performance of this element?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
7	<p>Is the individual with authority clearly identifiable, qualified and knowledgeable to effectively plan, direct and control resources, change procedures and make key determinations including safety risk acceptance decisions for this element?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
8	<p>Do process measurement(s) exist to evaluate the performance of this element and implement corrective action if necessary?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>

Question #	Question	Manual Reference	
9	<p><i>Does the process design require that individuals understand their safety role and how it contributes to the safety performance of this element thereby promoting a just culture and ensuring reporting without fear of punishment or retribution?</i></p> <p>FAA / ICAO Annex 19 ref: 5.21 (a) (4), ICAO NX 19 A.1.1.1, A.1.1.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
10	<p>Does the certificate holder have documentation showing that the accountable executive is periodically reviewing and assessing the organization's safety management performance?</p> <p>FAA Ref. 5.21, 5.21 (d), 5.25(b), 5.73(a), (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>
11	<p>Does the certificate holder have documentation showing that the accountable executive directs actions to address substandard safety performance?</p> <p>FAA Ref. 5.25(b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Implemented: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>N/A: <input type="checkbox"/></p>

Question #	Question	Manual Reference	
12	<p><i>Does the certificate holder have documentation showing the directives of the accountable executive are tracked and reported upon at the next regular review or as required?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.25 (b), 5.73 (a), (b), 5.97 (a), (b), (c), (d), ICAO NX 19 A.1.5.1, A.3.1.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
13	<p>For the process area being assessed, is the certificate holder completing its planned audits on safety processes to gather data for use in assessing system performance?</p> <p>FAA Ref. 5.71 (a), (b), AC 120-92D (3.3.1.3.2)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
14	<p>Are the certificate holder's process area audits being conducted by personnel who have the identified competencies (i.e., qualification, training, knowledge, and experience) to appropriately assess the assigned process?</p> <p>FAA Ref. 5.91</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
15	<p>Do the certificate holder's audit findings clearly identify conformances and non-conformances?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
16	<p>When certificate holder non-conformances exist, are they appropriately assigned and corrected?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
17	<p><i>Is there clear documentation that the certificate holder's members of management contribute mitigation strategies to correct negative safety trends or potential non-conformance within the system?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.23 (a), 5.25 (a), (b), (c), 5.75, ICAO NX 19 A.1.2, A.1.3</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
18	<p>Do the certificate holder's members of management and other personnel have the competencies required by the organization to perform those functions required of them by the safety management system processes (i.e., qualification, training, knowledge, and experience)?</p> <p>FAA Ref. 5.23 (a), 5.91</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
19	<p>Does the certificate holder analyze the quality of all relevant data outputs of continuous improvement actions at the appropriate levels of the organization?</p> <p>FAA/ICAO Annex 19 Ref: 5.71 (b), ICAO NX 19 A.3.1.1</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
20	<p><i>For corrective or preventive actions leading to new or revised process design, does the certificate holder have clear documentation showing that the safety risk management process was completed prior to deployment into the system?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.51, 5.55 (c), ICAO NX 19 A.2.2, A.3.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
21	<p><i>Does the certificate holder clearly identify "proxies" and the assignment and limitations of their authority to perform safety management responsibilities when select individuals are moved from daily into emergency operations?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.27 (a), 5.27 (b), ICAO NX 19 A.1.4</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
22	<p><i>Does the identified proxy understand their defined limitations and authority as documented by the certificate holder for instances where emergency authority is delegated?</i></p> <p>FAA Ref. 5.27 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
23	<p><i>Does the certificate holder have documentation that those identified with delegated authority (proxies) have the competencies (i.e., qualification, training, knowledge, and experience) required by the organization to make safety related decisions for their process area (e.g., SRM activities, corrective action oversight, etc.)?</i></p> <p>FAA Ref. 5.91</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
24	<p><i>Does the certificate holder have documentation that emergency response plans are coordinated with external business partners that have emergency response plans (e.g., code share partners, airports, etc.)?</i></p> <p>FAA Ref. 5.27 (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
25	<p><i>Does the certificate holder conduct evaluations to monitor safety related performance across its systems and operational processes? Safety objectives should be measurable and not just inspirational statements, such as "We will strive to be the best," "We will maintain a zero-accident rate," etc. They may be based off key performance indicators or Safety Performance Indicators and tracked (SPI/T's) by the safety assurance component of the organization's SMS to ensure the organization's objectives are being met.</i></p> <p>FAA/ICAO Annex 19 Ref: 5.71 (a), AC 120-92D (3.3.1.3.2), ICAO NX 19</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
26	<p>Does the certificate holder review and analyze the aggregate data acquired from various safety assurance input sources such as:</p> <p>#1. Audits; #2. Investigations; #3. Corrective/preventive actions including effectiveness evaluations; #4. Actions directed by executive management reviews; #5. Continuous monitoring activities directed by process owners; #6. Hazard reporting; and #7. New control effectiveness after implementation?</p> <p>FAA Ref. 5.71 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
27	<p>Do the certificate holder's evaluation reports assess whether the organization is meeting its defined safety objectives?</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
28	<p>Does the person/team who performs safety evaluations within the certificate holder's organization, report directly to executive management to independently validate process area safety performance?</p> <p>FAA Ref. 5.23 (a), 5.25 (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
29	<p>"Do personnel that conduct investigations of incidents, accidents or other certificate holder defined events have the competencies (i.e., qualification, training, knowledge, and experience) to perform their safety management related duties and responsibilities?"</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
30	<p>Do personnel that are qualified to conduct investigations of incidents, accidents or other certificate holder defined events follow the organization's process to collect and analyze investigatory data?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
31	<p><i>Are corrective actions resulting from the investigatory process being evaluated for effectiveness (i.e., determine whether system deficiencies and ineffective controls have been corrected to improve the safety performance of the organization)?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.73 (a), 5.75, ICAO NX 19 A.3.3</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
32	<p>As a result of an investigation leading to new or revised processes or procedures, does the certificate holder have clear documentation showing that the safety risk management process was completed prior to deployment into the system?</p> <p>FAA Ref. 5.51 (a), (b), (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
33	<p>Did the certificate holder's personnel adequately demonstrate that they can retrieve required safety management records (both current and historical) as defined in their records process to include:</p> <p>#1. Safety risk management outputs as long as the control remains relevant to the operation;</p> <p>#2. Five year record retention requirement for the outputs of its safety assurance processes;</p> <p>#3. Record of training for each individual to be retained for as long as they are employed by the certificate holder; and</p> <p>#4. Twenty-four calendar month record retention requirement for safety communications provided under 14 CFR 5.93?</p> <p>FAA Ref. 5.97 (a), (b), (c), (d)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
34	<p>Does the certificate holder's SMS have processes to acquire and monitor data within the operational environment to detect changes related to the safety performance of the organization including:</p> <p>#1. Products and services; and</p> <p>#2. Operational processes?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
35	<p>Does the certificate holder's SMS have processes to audit the safety performance of its operational processes, systems, products, and services?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
36	<p>Does the certificate holder's SMS have processes to evaluate the safety performance of its operational processes, systems, products, and services?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
37	<p>Does the certificate holder's SMS have processes to investigate its operational processes, systems, products and services that include:</p> <p>#1. Incidents and accidents; and</p> <p>#2. Reports regarding potential regulatory non-compliance or non-compliance with safety risk controls established in subpart C?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
38	<p>Does the certificate holder's SMS have a confidential reporting system(s) to monitor safety performance that allows employees to:</p> <p>#1. Report hazards, issues, concerns, occurrences, and incidents; and</p> <p>#2. Propose solutions and safety improvements?</p> <p>FAA Ref. 5.71 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
39	<p><i>Does the certificate holder's SMS have procedures to analyze data acquired from their safety assurance processes, described in part 5.71(a)(1 through 7), and any other relevant data with respect to its operation, products and services, including at a minimum:</i></p> <p><i>#1. Monitoring of operational processes;</i></p> <p><i>#2. Monitoring of the operational environment to detect changes;</i></p> <p><i>#3. Auditing of operational process and systems;</i></p> <p><i>#4. Evaluations of the SMS and operational processes and systems;</i></p> <p><i>#5. Investigations of incidents and accidents;</i></p> <p><i>#6. Investigations of reports regarding non-compliance with regulations or risk controls established under subpart C, SRM; and</i></p> <p><i>#7. Confidential safety reporting from employees on hazards, concerns, incidents, etc.?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.71 (a), (b), AC 120-92D (3.3.1.3.2), ICAO NX 19</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
40	<p>Does the certificate holder's SMS require the organization to regularly review and report on the system's safety performance and does the Accountable Executive review these reports to:</p> <p>#1. Ensure compliance with their established safety risk controls;</p> <p>#2. Evaluate the performance of the SMS;</p> <p>#3. Evaluate the safety risk control effectiveness established under 5.55(c) with identification of ineffective controls;</p> <p>#4. Identify changes to the organization's operational environment that may introduce new hazards; and #5. Identify new hazards?</p> <p>FAA Ref. 5.25 (b), (c), 5.73 (a), 5.75</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
41	<p>Does the certificate holder's organization define accountability for assuring the effectiveness of safety risk controls for all managers in their areas of responsibility?</p> <p>FAA Ref. 5.23 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
42	<p>Do the certificate holder's processes and procedures ensure that for ineffective controls or hazards identified during safety performance assessments, safety risk management is applied as described in subpart C?</p> <p>FAA Ref. 5.73 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
43	<p>Does the certificate holder's SMS designate management personnel who, on behalf of the accountable executive, are responsible for:</p> <p>#1. Coordinating implementation, maintenance, and integration of the SMS throughout their organization;</p> <p>#2. Facilitating hazard identification and safety risk analysis;</p> <p>#3. Monitoring the effectiveness of safety risk controls;</p> <p>#4. Ensuring safety promotion throughout their organization as required in subpart E; and</p> <p>#5. Regularly reporting to the accountable executive on the performance of the SMS and on any need for improvement?</p> <p>FAA Ref. 5.25 (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
44	<p>Does the certificate holder have a process to ensure that the accountable executive directs actions necessary to address substandard safety performance in the system?</p> <p>FAA Ref. 5.25 (b), 5.75</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
45	<p>Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety assurance processes and procedures?</p> <p>FAA/ICAO Annex 19 Ref: 5.95 (a), (b), ICAO NX 19 A.1.5.1</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
46	<p>Does the certificate holder's SMS contain a process to maintain records of their safety assurance process outputs for a minimum of 5 years?</p> <p>FAA Ref. 5.3 (b), 5.97 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
47	<p><i>Does the certificate holder demonstrate that:</i></p> <p><i>#1. Safety critical information is communicated at appropriate personnel levels; and</i></p> <p><i>#2. Employees have received an explanation as to why particular company safety actions are taken (i.e., new or revised policies/ procedures or changes that impact their working conditions); and</i></p> <p><i>#3, Records of all communications are retained for a minimum of 24 consecutive calendar months?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.93 (a), (b), (c), (d), 5.97 (d), ICAO NX 19 A.4.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
48	<p><i>Does the certificate holder's safety communication process explain to employees: safety policies, processes, procedures and actions relevant to their responsibilities?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.93, ICAO NX 19 A.4.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
49	<p>Do employees throughout the organization demonstrate awareness of their system for employee reporting of safety hazards or issues?</p> <p>FAA Ref. 5.21 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
50	<p>Do employees throughout the organization demonstrate awareness of unacceptable safety behavior and conditions for disciplinary action?</p> <p>FAA Ref. 5.21 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
51	<p>Do employees throughout the organization demonstrate awareness of their defined safety accountability (i.e. can they relate safety objective(s) to their job)?</p> <p>FAA Ref. 5.21 (a), 5.23 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
52	<p>Does the certificate holder's SMS have a safety policy that includes at least the following minimum requirements:</p> <p>#1. The certificate holder's safety objectives;</p> <p>#2. A commitment to fulfill the organization's safety objectives;</p> <p>#3. A clear statement to commit the necessary resources for implementation of the SMS;</p> <p>#4. A safety reporting policy that defines requirements for employee reporting of safety hazards or issues;</p> <p>#5. A policy that defines unacceptable behavior and conditions for disciplinary action; and</p> <p>#6. An emergency response plan that provides for the safe transition from normal to emergency operations in accordance with the requirements of part 5.27, Coordination of emergency response planning?</p> <p>FAA Ref. 5.21 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
53	<p>Does the certificate holder require that its safety policy be:</p> <p>#1. In accordance with all applicable regulatory requirements in 14 CFR and must reflect the certificate holder's commitment to safety;</p> <p>#2. Be signed by the accountable executive described in part 5.25;</p> <p>#3. Documented and communicated throughout their organization; and</p> <p>#4. Be regularly reviewed by the accountable executive to ensure it remains relevant and appropriate to the certificate holder?</p> <p>FAA Ref. 5.21 (a), (b), (c), (d)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
54	<p>Does the organization's documentation define safety accountability for all organizational personnel, specifically:</p> <p>#1. The accountable executive, as described in part 5.25;</p> <p>#2. All members of management in regard to developing, implementing, and maintaining SMS processes within their area of responsibility; and</p> <p>#3. Employees relative to the certificate holder's safety performance?</p> <p>FAA Ref. 5.23 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
55	<p>Do the certificate holder's processes require that all members of management develop, implement and maintain SMS processes within their area of responsibility to include, but not limited to:</p> <p>#1. Hazard identification and safety risk assessment;</p> <p>#2. Assuring the effectiveness of safety risk controls;</p> <p>#3. Promoting safety as required in subpart E, Safety Promotion; and</p> <p>#4. Advising the accountable executive on the performance of the SMS and on any need for improvement?</p> <p>FAA Ref. 5.23 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
56	<p>Do the certificate holder's safety management processes identify the levels of management with the authority to make decisions regarding safety risk acceptance?</p> <p>FAA Ref. 5.23 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
57	<p>Do the certificate holder's safety management processes require the accountable executive to designate sufficient management personnel who, on behalf of the accountable executive, are responsible for:</p> <p>#1. Coordinating implementation, maintenance, and integration of the SMS throughout the certificate holder's organization;</p> <p>#2. Facilitating hazard identification and safety risk analysis;</p> <p>#3. Monitoring effectiveness of safety risk controls;</p> <p>#4. Ensuring safety promotion throughout the organization as required in subpart E, Safety Promotion; and</p> <p>#5. Regularly reporting to the accountable executive on the performance of the SMS and any need for improvement?</p> <p>FAA Ref. 5.25 (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
58	<p><i>Where emergency response procedures are necessary, does the certificate holder develop and the accountable executive approve as part of the safety policy, an emergency response plan that addresses at least the following:</i></p> <p><i>#1. Delegation of emergency authority throughout the organization;</i></p> <p><i>#2. Assignment of employee responsibilities during the emergency; and</i></p> <p><i>#3. Coordination of the emergency response plan with the emergency response plans of other affected organizations (e.g., code share partners, airports, contractors, affiliates, etc.)? for a minimum of 24 consecutive calendar months?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.21(a), 5.27(a), (b), (c), ICAO NX 19 A.1.4</p> <p>Remarks / Evidence:</p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

59	<p><i>Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety policy, processes and procedures?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.3 (b), 5.95 (a), (b), ICAO NX 19 A.1.5.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
Question #	Question	Manual Reference	
60	<p>Does the certificate holder's SMS define accountability for all members of management to promote safety within their area of responsibility in regards to developing, implementing, and maintaining SMS processes?</p> <p>FAA Ref. 5.23 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
61	<p><i>Does the certificate holder's SMS provide training to each individual identified in part 5.23 that ensures the individuals attain and maintain the competencies necessary to perform their duties relevant to the operation and performance of the SMS?</i></p> <p>FAA/ICAO Annex 19 Ref: 5.23 (a), 5.91, ICAO NX 19 A.4.1.1, A.4.1.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

62	<p>Does the certificate holder's SMS specify that the accountable executive designate management personnel who, on behalf of the accountable executive, ensure that safety is promoted throughout the organization as required by subpart E?</p> <p>FAA Ref. 5.25 (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
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Question #	Question	Manual Reference	
63	<p><i>Does the certificate holder have a process to develop and maintain a means for communicating safety information that:</i></p> <p><i>#1. Ensures employees are aware of the SMS policies, processes, and tools relevant to their responsibilities;</i></p> <p><i>#2. Conveys hazard information relevant to the employee's responsibilities;</i></p> <p><i>#3. Explains why safety actions have been taken; and</i></p> <p><i>#4. Explains why safety procedures are introduced or changed?</i></p> <p>FAA/ICAO Annex 19 Ref. 5.93 (a), (b), (c), (d), ICAO NX 19 A.4.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

64	<p>Does the certificate holder have a process to develop and maintain documentation that describes the organization's SMS processes and procedures?</p> <p>FAA Ref. 5.95 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
65	<p>Does the certificate holder maintain employee records of all safety management related training provided under part 5.91 and retain such records for as long as the individual is employed by the certificate holder?</p> <p>FAA Ref. 5.3 (b), 5.97 (c)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
Question #	Question	Manual Reference	
66	<p>Does the certificate holder retain the records of all safety communications provided under part 5.93 for a minimum of 24 consecutive calendar months?</p> <p>FAA Ref. 5.3 (b), 5.97 (d)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

67	<p>Does the certificate holder's SMS require that the organization apply the Safety Risk Management (SRM) process when any of the following conditions occur:</p> <p>#1. Implementation of new systems; #2. Revision of existing systems; #3. Development of operational procedures; and #4. Identification of hazards or ineffective risk controls through the safety assurance processes contained in subpart D?</p> <p>FAA Ref. 5.51, (a), (b), (c), (d)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
68	<p>Does the certificate holder's SMS define safety accountability for members of management, within their areas of responsibility and authority, regarding development, implementation and maintenance of hazard identification and risk assessment processes?</p> <p>FAA Ref. 5.23 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
69	<p><i>Do the certificate holder's SRM processes identify hazards within the context of the system analysis?</i></p> <p>FAA/ICAO Annex 19 Ref. 5.53 (a), (b), (c), ICAO NX 19 A.2.1.1, A.2.1.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

70	<p><i>When applying SRM, does the certificate holder have a process to describe and analyze the system for use in identifying hazards considering the following information:</i></p> <p><i>#1. The function and purpose of the system;</i></p> <p><i>#2. The system's operating environment;</i></p> <p><i>#3. An outline of the system's processes and procedures; and</i></p> <p><i>#4. The personnel, equipment, and facilities necessary for operation of the system?</i></p> <p>FAA/ICAO Annex 19 Ref. 5.53 (a), (b), (c), ICAO NX 19 A.2.1.1, A.2.1.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
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Question #	Question	Manual Reference	
71	<p><i>Does the certificate holder's SRM include specific processes to analyze safety risk associated with hazards identified in 5.53(c)?</i></p> <p>FAA/ICAO Annex 19 Ref. 5.55 (a), (b), (c), (d), ICAO NX 19 A.2.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

72	<p>Does the certificate holder's SRM documentation clearly identify the levels of management with the authority to make decisions regarding safety risk acceptance for the company?</p> <p>FAA/ICAO Annex 19 Ref. 5.23 (a), (b), ICAO NX 19 A.1.2</p> <p>Remarks / Evidence:</p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
73	<p>Does the certificate holder's SRM include specific processes to ensure that risk controls are developed which are necessary as a result of the safety risk assessment process?</p> <p>FAA Ref. 5.53 (a), 5.55 (c)</p> <p>Remarks / Evidence:</p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
74	<p>Does the certificate holder evaluate, prior to SRM risk control implementation that the identified risk will be acceptable with the risk control applied?</p> <p>FAA Ref. 5.55 (d)</p> <p>Remarks / Evidence:</p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

75	<p>Does the certificate holder's risk management process evaluate the effectiveness of implemented safety risk controls, which includes reviews by the accountable executive?</p> <p>FAA Ref. 5.73 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
76	<p>Does the certificate holder have a process to develop and maintain SMS documentation that describes their SRM processes and procedures?</p> <p>FAA Ref. 5.95 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
77	<p><i>Does the certificate holder's SMS require the organization have a process to maintain records of their SRM outputs for as long as the control(s) remain relevant to their operation, to include:</i></p> <p><i>#1. Records of identified hazards or no hazard risk acceptance;</i></p> <p><i>#2. Records of associated risks with identified hazards, as applicable;</i></p> <p><i>#3. Records of analysis for each risk, as applicable; and</i></p> <p><i>#4. Records of new risk controls approved to mitigate unacceptable risks, as applicable?</i></p> <p>FAA/ICAO Annex 19 Ref. 5.97 (a) (b) (c) (d), ICAO NX 19 A.1.5.1</p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

	<p><i>Remarks / Evidence:</i></p>		
78	<p>When multiple departments are affected by a system change, is there clear documentation that affected process owners or their proxies participate in a collective (organizational) risk assessment?</p> <p>FAA Ref. 5.51</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
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<p>79</p>	<p>When the organization has identified hazards or ineffective risk controls, can the SRM process documentation be traced to ensure the following recording requirements are met:</p> <p>#1. Record(s) of identified hazards or lack of hazards; #2. A list of risks associated with each existing hazard; #3. Analysis of each risk; #4. Record of mitigation (controls) for unacceptable risks; #5. Record of safety risk acceptance decision(s) by authorized individual/group; and 6. Verification of safety risk control effectiveness prior to final risk acceptance?</p> <p>FAA Ref. 5.3 (a), 5.51 (d), 5.73 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
<p>80</p>	<p>Does the certificate holder's risk management process evaluate the effectiveness of implemented safety risk controls, which includes reviews by the accountable executive?</p> <p>FAA Ref. 5.91</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
81	<p>Does the certificate holder clearly document that the individual(s), who have the authority to accept risk for the organizational SRM process, are performing that responsibility?</p> <p>FAA Ref. 5.23 (b), 5.55 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
82	<p>Is there documentation that certificate holder personnel have actively participated as required by the organization's SRM process?</p> <p>FAA Ref. 5.55 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>
83	<p>Do individuals or groups that accept supplier guidance materials into their process area(s) understand that updates or changes to these materials require safety risk management to be conducted before it is used in the system?</p> <p>FAA Ref. 5.51</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No</p> <p>Implemented: Yes No</p> <p>N/A:</p>

Question #	Question	Manual Reference	
84	<p>Do individuals or groups that have the authority to draft and approve new or revised process and procedural changes for their process area(s), understand their responsibility to conduct safety risk management on those changes/materials before they are used in the system?</p> <p>FAA Ref. 5.51</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
85	<p><i>Does the certificate holder clearly define individuals or groups that are performing safety risk management process steps and accepting risk for the process area(s) being assessed?</i></p> <p>FAA Ref. 5.23 (a), 5.23 (b)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
86	<p><i>Does the certificate holder have documentation showing the individuals who complete safety risk management related process steps have the competencies (i.e., qualification, training, knowledge, and experience) to properly perform those activities?</i></p> <p>FAA/ICAO Annex 19 Ref. 5.91, ICAO NX 19 A.4.2</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
87	<p>When the organization has identified hazards or ineffective risk controls, can the SRM process documentation be traced to ensure the following recording requirements are met:</p> <p>#1. Record(s) of identified hazards or lack of hazards; #2. A list of risks associated with each existing hazard; #3. Analysis of each risk; #4. Record of mitigation (controls) for unacceptable risks; #5. Record of safety risk acceptance decision(s) by authorized individual/group; and #6. Verification of safety risk control effectiveness prior to final risk acceptance?</p> <p>FAA Ref. 5.3 (a), 5.51 (d), 5.73 (a)</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
88	<p><i>Does the certificate holder's SRM include specific processes for conducting risk assessment that allows for the determination of acceptable safety risk?</i></p> <p><i>As a recommendation and part of the SRM component, the certificate holder should consider developing a Safety Risk Profile (SRP) product to proactively identify risks presented to the organization with mitigations in order to reduce/eliminate the risks identified.</i></p> <p>FAA/ICAO Annex 19 Ref. 5.55 (b), ICAO NX 19 A.3.3</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Question #	Question	Manual Reference	
89	<p>Do the procedures ensure covered employees receive Aviation Safety Action Program training in accordance with the MOU?</p> <p>FAA Ref. AC-120-66. 8900.1 Vol 11 Ch 2 Sec 1</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
90	<p>Do the Aviation Safety Action Program procedures meet the intent of AC 120-66?</p> <p>FAA Ref. AC-120-66</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>
91	<p>Do the Aviation Safety Action Program procedures ensure an annual review is conducted?</p> <p>FAA Ref. AC-120-66, 8900.1 Vol 11 Ch 2 Sec 1</p> <p><i>Remarks / Evidence:</i></p>		<p>Documented: Yes No Implemented: Yes No N/A:</p>

Appendix A Discrepancy/Corrective Action Plan

DISCREPANCY/CORRECTIVE ACTION NOTICE		
Annex Reference	Discrepancy	Corrective Action Plan

Appendix A Discrepancy/Corrective Action Plan

Responsible Person	Date Due (30 Days)	Action Taken	Date Completed