

## TOPS 2020 - Operator SMS Information Checklist

**IMPORTANT NOTE:** The 2020 TOPS SMS checklist is for information only and is based off of the guidance from the FAA's voluntary program and Part 5. The SMS requirement will not be implemented until 2020 at the earliest. This checklist is intended to assist the operator in determining how many of the parts of an SMS the company already has in place as well as providing an opportunity for insights from your 2020 TOPS auditor about how best to develop your SMS program. This checklist tracks the requirements of the FAA's Part 5 elements, but is organized to reduce redundant questions and to streamline the assessment.

Sections of this checklist for 'design validation':

1. General information: questions 1 through 3
2. Safety Policy: questions 4 through 15;
3. Safety Risk Management: questions 16 through 21;
4. Safety Assurance: questions 22 through 25;
5. Safety Promotion: questions 26 and 27.

Question 28 is for general comments/questions. Questions 29, 30 and 31 are for attaching any reference or supporting documents.

The sections for safety performance are Accountable Executive Review and Organizational Safety Risk Management

### INSTRUCTIONS FOR USING THIS CHECKLIST

1. TOPS will send the checklist to the operator.
2. The operator will fill out the checklist, indicating the operator's determination that an element is met (Yes) or not (No), or whether they have part of an element completed (Partial). Include references to relevant documents and any comments in the comments/references section. If the operator has questions about the survey, contact the TOPS executive director for assistance.
3. The survey will be submitted to TOPS by the operator at least two weeks prior to the scheduled audit.
4. TOPS will provide the operator's auditor with a pdf copy of the preaudit checklist ahead of the audit, by at least two weeks, so the auditor can review the document prior to the site visit.
5. TOPS will send the auditor a clean checklist to fill out as part of the post-audit documents. Both the operator's and the auditor's copies will be reviewed by the TOPS audit committee for feedback and for information to assist with developing the TOPS SMS program further.

Each question requires an answer for all line items. Thank you for your responses!

1. TOPS SMS Preaudit checklist - DEFINITIONS

- Safety Management System (SMS)** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systematic procedures, practices, and policies for the management of safety risk.
- Hazard** means a condition that could foreseeably cause or contribute to an aircraft accident as defined in 49 CFR 830.2.
- Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
- Risk control** means a means to reduce or eliminate the effects of hazards.
- Safety policy** means the certificate holder's documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees in regards to safety.
- Safety objective** means a goal or desirable outcome related to safety.
- Key Performance Indicator (KPI)** a quantifiable measure used to evaluate the success of an organization, employee, etc., in meeting objectives for performance.
- Safety performance** means realized or actual safety accomplishment relative to the organization's safety objectives.
- Safety Risk Management** means a process within the SMS composed of describing the system, identifying the hazards, and analyzing, assessing and controlling risk.
- Safety assurance** means processes within the SMS that function systematically to ensure the performance and effectiveness of safety risk controls and that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of information. Audits are a means of collecting data to confirm whether or not actual practices are being followed within a department. Audits should typically involve the operational management responsible for the system(s) being audited. Evaluations are typically an independent review of the company's processes, procedures, and systems. The evaluation process builds on the concepts of audit.
- Safety promotion** means a combination of training and communication of safety information to support the implementation and operation of an SMS in an organization.

2. Operator Name and person completing this form

3. Assigned Auditor

\* 4. **Policy and Documentation:** Does the company have a written safety policy? REF(5.95 / 5.97 a,b,c,d / 5.3 a 1,2,3,4 / 5.3 b)

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 5. Policy and Documentation: Safety Risk Management / Management of Change - Does the company must maintain records of SRM outputs for as long as the control(s) remain relevant to the operation to include: REF(5.95 / 5.97 a,b,c,d / 5.3 a 1,2,3,4 / 5.3 b)**

	Yes	No	Partial	???
Records of Identified hazards or no hazard risk acceptance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Records of associated risks with identified hazards as applicable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Records of analysis for each risk as applicable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Records of new risk controls approved to mitigate unacceptable risks as applicable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 6. Policy and Documentation: Safety Assurance - Must maintain records of safety assurance outputs for a minimum of 5 years. REF(5.95 / 5.97 a,b,c,d / 5.3 a 1,2,3,4 / 5.3 b)**

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 7. Policy and Documentation: Safety Promotion records REF(5.95 / 5.97 a,b,c,d / 5.3 a 1,2,3,4 / 5.3 b)**

Yes

No

Partial

???

Must maintain records of all SMS training for as long as the individual is employed by the company.

Must maintain all SMS records of Safety Communications for a minimum of 24 consecutive calendar months.

Comments/references

**\* 8. Policy and Documentation: Is there a safety policy which includes the following requirements (Ref (5.21 a 1,2,3,4,5, b, c, d)):**

	Yes	No	Partial	???
The company's safety objectives and commitment to fulfill them.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A clear statement to commit the necessary resources for SMS implementation and continuous reduction of risk.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
An anonymous safety reporting policy that requires reporting and defines just culture.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A policy that defines unacceptable behavior and conditions for discipline.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The policy will be regularly reviewed by the Accountable Executive to ensure relevance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A statement by the accountable executive that he/she will always make decisions based first on risk reduction and second on revenue.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The policy will be signed by the Accountable Executive and communicated to the company.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 9. Policy and Documentation: Does the policy name the Accountable Executive (AE) and assure the following (Ref (5.23 a 1, 5.25 a 1,2,3,4)):**

	Yes	No	Partial	???
The AE is the final authority over operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Controls the financial and human resources required for the operation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The AE retains ultimate responsibility for the SMS performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 10. Policy and Documentation: Does the safety policy require the following responsibilities for the AE (Ref (5.23 b 1,2,3,4,5)):**

	Yes	No	Partial	???
Ensure the SMS is implemented and performing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop and sign the safety policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communicate the Safety policy throughout the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regularly review the safety policy and safety objectives (KPI) to ensure relevance and appropriateness and direct actions necessary to address substandard performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 11. Policy and Documentation: Safety policy identifies members of management and other employees and defines their accountability in regards to development, implementation and maintenance of the following SMS Processes in their areas of responsibility (Ref (5.23 a 2, I, ii, iii, iv / 5.23 a 3)):**

	Yes	No	Partial	???
Hazard Identification and reporting.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Safety Risk Management as it relates to Management of change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assuring the effectiveness of processes, procedures and risk controls	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Promoting the Safety Management System.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advising the Accountable Executive or Representative (ex. Director of Safety) on performance of the SMS.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 12. Policy and Documentation: Is there clear definition in the policy of the levels of management with the authority to make decisions regarding safety risk level acceptance? (Ref (5.23 b))**

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 13. Policy and Documentation: Policy requires designation of safety management personnel (ex. Director of Safety) who on behalf of the Accountable Executive coordinates and facilitates development, implementation and maintenance of the following SMS Processes (Ref (5.23 c 1,2,3,4,5)):**

	Yes	No	Partial	???
Hazard Identification and reporting.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Safety Risk Management as it relates to Management of change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring the effectiveness of processes, procedures and risk controls	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ensuring promotion of the Safety Management System throughout the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regularly reporting to the Accountable Executive on performance of the SMS.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments



**\* 14. Policy and Documentation: Policy requires designation of safety management personnel (ex. Director of Safety) who on behalf of the Accountable Executive coordinates and facilitates development, implementation and maintenance of the following SMS Processes (Ref (5.23 c 1,2,3,4,5)):**

	Yes	No	Partial	???
Hazard Identification and reporting.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Safety Risk Management as it relates to Management of change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring the effectiveness of processes, procedures and risk controls	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ensuring promotion of the Safety Management System throughout the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regularly reporting to the Accountable Executive on performance of the SMS.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 15. Policy and Documentation: Is there an ERP signed by the AE that addresses the following (Ref 5.21 a 6 / 5.27 a, b, c):**

	Yes	No	Partial	???
Delegation of emergency authority throughout the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assignment of employee responsibilities during an emergency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Coordination ERP's of other organizations that could be affected by a company emergency (ex. Airports, contractors, other aviation companies.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A requirement to conduct ERP drills.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

**\* 16. Risk Management: Does the company's SRM policy require that the SRM process be conducted every time one of the following conditions has occurred: REF(5.51 a,b,c,d)**

	Yes	No	Partial	???
Implementation of new systems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Revision of Existing Systems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Development of Operational procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Identification of hazards or ineffective risk controls through the safety assurance processes.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 17. **Risk Management:** Does the SRM process require the following Description and Analysis of the system for use in identifying hazards considering the following information. REF (5.53 a, b 1,2,3,4)

	Yes	No	Partial	???
The function and purpose of the system	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The systems operating environment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
An outline of the system's processes and procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The personnel, equipment, and facilities necessary for operation of the system.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 18. **Risk Management:** Does the SRM process identify hazards within the context of system analysis? REF (5.53 c)

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 19. **Risk Management:** Does the SRM process include specific processes to analyze safety risk based on severity and probability with hazards identified and for conducting risk assessment utilizing a risk matrix for determination of acceptable safety risk (initial risk analysis and assessment)? REF (5.55 a, b)

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 20. **Risk Management:** Does the SRM process ensure that risk controls are developed which are necessary as a result of the SRM process? REF (5.55 c, d)

Yes

No

Partial

???

Comments/references

\* 21. **Risk Management:** Are the developed risk controls evaluated utilizing a risk matrix prior to implementation to ensure the risk will be acceptable with the risk control applied (residual risk analysis and assessment)? REF (5.55 c, d)

Yes

No

Partial

???

Comments/references

\* 22. **Safety Assurance:** Does the Safety Assurance process acquire data and monitor data within the operational environment to detect changes in the organizations products, services and operational processes by utilization the following: REF( 5.71 a 1,2,3,4,7)

	Yes	No	Partial	???
A confidential reporting system(s) that allows employees to report hazards, issues, occurrences, incidents and propose solutions and safety improvements.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Audits - to audit the safety performance of its operational processes, systems, products and services. (see definitions re "audit")	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluations - to evaluate the safety performance of its operational processes, systems, products and services. (see definition re "evaluation")	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 23. **Safety Assurance:** Does the Safety Assurance process have procedures to analyze acquired data in regards to operational processes, systems, products and services through the use of the following: REF (5.71 a 5,6 / 5.71 b)

	Yes	No	Partial	???
Investigations of incidents, accidents, and reports regarding non-compliance with regulations or risk controls.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Safety meetings involving managers with the authority to make risk control decisions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 24. **Safety Assurance:** Does the Safety Assurance process require assessments of the analyzed systems be conducted and regularly reported on (Safety meetings) to ensure that safety objectives are being met by the performance of the SMS including requiring the Accountable Executive to review the following: REF (5.73 a 1,2,3,4,5)

	Yes	No	Partial	???
Compliance with established safety risk controls (shown by reporting, audits, evaluations, and investigations)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Performance of the SMS (are KPI/safety goals being met)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Safety Risk Control effectiveness (shown by reporting, audits, evaluations, and investigations)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Changes to the organizations operational environment that may introduce new hazards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
New Hazards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 25. **Safety Assurance:** Does the Safety Assurance process establish and implement corrective actions in regards to safety performance deficiencies identified in system assessments? (same process from SRM as established by change management requirement). REF (5.73 b / 5.75)

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 26. **Promotion:** Is SMS training required to be provided to employees to ensure individuals attain and maintain the competencies necessary to perform their duties relevant to the operation and performance of the SMS? REF (5.91)

Yes	No	Partial	???
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

\* 27. **Promotion:** Does the Safety Promotion process develop and maintain a means for communicating safety information that: REF (5.93 a,b,c,d)

	Yes	No	Partial	???
Ensures employees are aware of the SMS policies, procedures and tools relevant to their responsibilities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Conveys hazard information relevant to the employees responsibilities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Explains why safety actions have been taken.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Explains why safety procedures are introduced or changed.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments/references

28. Do you have any other comments, questions, or concerns?

29. Document attachment

A reference and/or supporting document can be attached here. File size is limited to 16MB.

No file chosen



30. Document attachment

A reference and/or supporting document can be attached here. File size is limited to 16MB.

Choose File

No file chosen

31. Document attachment

A reference and/or supporting document can be attached here. File size is limited to 16MB.

Choose File

No file chosen

32. AE Review: Has the certificate holder established Safety Performance Goals / Objectives and are they documented in the safety policy? (SPG)

Yes

No

Comments

33. AE Review: Has the certificate holder established Safety Performance Indicators to ensure Goals / Objectives are obtained and are they documented in the safety policy? (SPI)

Yes

No

34. AE Review: Does the certificate holder regularly review its Safety Performance and Safety Policy?

Yes

No

Comments

35. AE Review: Does the certificate holder have documentation showing that the accountable executive is periodically reviewing and assessing the organization's safety management performance? (Basically are the SPI and SPG being achieved and does the AE know?)

Yes

No

Comments

36. AE Review: 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?

Yes

No

Comments

37. Org SRM: 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? (Process should be documented in manual, but evidence is completed company risk assessment forms)

Yes

No

Comments

38. Org SRM: 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:

- Record(s) of identified hazards or lack of hazards;
- A list of risks associated with each existing hazard;
- Analysis of each risk;
- Record of mitigation (controls) for unacceptable risks;
- Record of safety risk acceptance decision(s) by authorized individual/group
- Verification of "conceptual" safety risk control effectiveness prior to final risk acceptance? (Residual Risk)

(Process should be documented in manual, but evidence is completed company risk assessment forms)

Yes

No

Explain/comments

39. Org SRM: Does the certificate holder have documentation showing the individuals or group who complete the organizational safety risk management related process steps have the competencies (i.e., qualification, training, knowledge, and experience) to properly perform those activities?

(This is SMS training for process owners. Must show that SMS training requirements documented in manual are followed and appropriate to perform SRM)

Yes

No

Comments

40. Org SRM: 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?

(Risk acceptance levels should be in the manual, evidence will be on completed risk assessment forms)

Yes

No

Comments

41. Org SRM: Is there documentation that certificate holder personnel have actively participated as required by the organization's SRM process?

(Evidence will be on completed risk assessment forms)

Yes

No

Comments