



CAMEROON CIVIL AVIATION AUTHORITY – DIRECTION OF AVIATION SAFETY

MANUAL	REF	DSA AOC MAN 001
AIR OPERATOR CERTIFICATION AND SURVEILLANCE MANUAL	ED	02 DU 01/04/2015
	REV	00 DU 01/04/2015

CHAPTER 2 AIR OPERATOR SMS MANUAL REVIEW



DSA.SAF.CHL.001, DSA.SAF.CHL.002

2.1 BACKGROUND AND OBJECTIVES

2.1.1 Regulations requires a commercial air transport operator to implement a safety management system (SMS) acceptable to the CCAA.

2.1.2 Regulations also outline the framework for the implementation and maintenance of an SMS and provides for the SMS to be commensurate with the size of the air operator and the complexity of its operations. Some elements of SMS are quite complex, thus effective implementation of an SMS by an operator will typically take several years. Nevertheless, the framework for the implementation and maintenance of an SMS must be established and made acceptable to CCAA during the initial certification of an air operator. The objective of this chapter is to provide guidance and direction to inspectors for the initial review to determine the acceptability of the air operators' safety management system. This applies also to existing air operators that are implementing an SMS.

2.2 GENERAL SMS REVIEW AND ACCEPTABILITY

2.2.1 Determining the acceptability of an SMS is an important part of the overall certification process. The certification team or some of its members designated by the PM (hereinafter referred to as the Team) will complete a review exercise of the applicant's organization in accordance with the procedures described in this section. The review exercise is a two-part process comprising of a documentation review and an on-site review. Its purpose is to confirm that elements of the SMS are documented, in place and ready to be used. The exercise does not test the effectiveness of the system. The depth of the on-site review is at the discretion of the PM, and may be based on the results of the documentation review and any information uncovered while on-site.



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2.3 SPECIFIC SMS REVIEW

2.3.1 Documentation Review

2.3.1.1 The objective of a documentation review is to identify omissions or deficiencies in the conformity of the submitted documentation with the regulations. It is not intended at this stage to establish if the described policies, procedures and processes are effective. This particular part of the certification is a desktop exercise that does not involve an on-site visit and is intended to confirm that the applicant has documented its SMS in a manner that meets the requirements.

2.3.1.2 The Team should consider two aspects of structure when conducting the documentation review, as some sections will apply to the whole organization while others may apply only to an individual certificate aspect:

- a) the corporate aspect are the policies, process and procedures documented and consistent across all regulated areas of the organization; and
- b) the individual certificate aspect are the policies, processes and procedures unique to a particular area of the operations.

2.3.1.3 The documentation review provides a focus for planning the on-site review by gaining a general overview and understanding of the applicant's SMS and of its state of preparedness for certification.

2.3.1.4 The major steps of a documentation review include the following:

- a) SMS initial or routine review guide (contained in Attachment A and B, respectively). In preparation for the exercise, the Team shall provide the applicant with the SMS initial review guide contained in the Attachment to this Chapter and request the applicant to enter the required information in Table Att A-1, i.e. the document references and supporting remarks. The Team will use Table Att A or B-1 of the guide to document the results of the documentation review exercise. The guide will be signed by the PM and the Team members.



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- b) Receipt of the applicant’s submission. Applicants must submit documentation that demonstrates to the CCAA that they have addressed all of the required SMS elements. Along with their documentation, organizations must submit the completed documentation review guide.
- c) Preliminary review. The Team will perform a preliminary review of the documentation submitted to verify its completeness. The Team members are required to pay particular attention to Part A of the documentation review guide.
- d) Request for omitted documents. The PM is responsible for contacting in writing the applicant to request any omitted documentation.
- e) Documentation review. The Team shall complete the documentation review exercise and document the results in Part B of the documentation review guide. The Team will clearly identify any discrepancies in the comment section of the guide.
 - i. The aim of the documentation review is to ascertain that the SMS requirements are clearly addressed in the submitted documentation. A general policy statement is not usually enough to satisfy the requirement. The Team must verify that there is a safety policy in place that it is supported by appropriate procedures and, where required by regulation, a process is outlined.

The documentation shall be complete, comprehensive and appropriately cross-referenced.

- ii. Although detailed processes and procedures may be referenced in an SMS manual, multiple documents may also be utilized.
- f) Discrepancies. All observed discrepancies shall be recorded in the comment/remarks section of Table Att A or B-1 of the SMS review guide in detail and communicated in writing to the applicant. The Team must ensure that the problem area and the reasons why they consider it missing, incomplete, or otherwise deficient are clearly defined.
- g) Review of the documentation corrections. The Team shall review any corrections to the organization’s documentation and ensure that the documentation meets SMS requirements.
- h) Conclusion of the documentation review. Once the initial documentation review has been completed satisfactorily, the Team shall complete Table Att A-1 of the SMS initial review guide.



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This sign-off does not constitute an acceptance of the referenced documentation, but rather indicates that all available company documentation was reviewed against the SMS requirements and that the on-site portion of the review can proceed.

2.3.2 On-site review

2.3.2.1 The objective of an on-site review is to validate observations from the documentation review exercise. This includes deficiencies in the submitted documentation, as well as verifying that the documented policies, processes and procedures are in place and available for immediate use when the applicant's request for certification is granted.

2.3.2.2 The major steps of an on-site review include the following:

- a) On-site review. Through a series of interviews and observations, the Team shall validate the information for selected SMS elements by comparing the organization against the SMS expectations. The Team is responsible for documenting observations and any supporting evidence;
- b) Comparison of on-site observations to documentation review. The Team shall compare the observations collected on-site to the documentation of SMS elements previously reviewed;
- c) Discrepancies. All discrepancies observed by inspectors shall be recorded. The Team shall ensure that the problem areas are clearly defined, and document the fact that observations from the documentation review and the on-site review were not compatible; and
- d) Review of the documentation corrections. The Team shall review any corrections to the applicant's documented policies, processes and procedures resulting from the on-site review and verify that the revised documentation meets SMS requirements.

2.4 CONCLUSION OF THE SMS REVIEW EXERCISE

Once the on-site review has been completed satisfactorily, the PM shall sign the On-site Review Record of the Table Att A-1. SMS assessment checklist — Initial SMS acceptance. This does not constitute an acceptance of the referenced documentation, but rather indicates that all available company documentation was validated on site and the SMS portion of the organization is acceptable for initial certification of the air operator.



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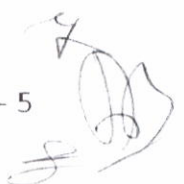
2.5 SMS ASSESSMENT

2.5.1 For those air operators implementing SMS through a phased implementation acceptable to CCAA, the minimum acceptable performance procedure illustrated in the Corrective Action Notice of Table Att A-1 provides for a three-stage minimum acceptable score criteria. Twelve months following the initial AOC issuance the operator shall undergo a full SMS assessment using the review guide contained in the Attachment A. This will be followed twelve months later by another SMS assessment using the review guide contained in the Attachment A. **2.5.2** Thereafter, or after the initial SMS review for those air operators implementing a full SMS when applying for an AOC, the SMS oversight will be integrated into the CCAA surveillance plan, using the routine review guide contained in Attachment B.

Attachment A SMS INITIAL REVIEW GUIDE

Instructions:

1. Table Att A-1 is a regulatory SMS assessment checklist (85 questions) which can be used for the initial assessment and acceptance of an air operator's SMS. For an initial acceptance process, the assessment questions need to be comprehensive in order to adequately address all SMS elements of the organization. This will ensure that all elements and their related processes are in place within the organization. The operational aspects of the SMS would be more appropriately addressed during subsequent routine review of the SMS (see Attachment B).
2. Those air operators implanting a full SMS when applying for an AOC should achieve an assessment result of 85%. For those air operators implementing SMS through a phased implementation acceptable to CCAA, the minimum acceptable performance procedure illustrated in the Corrective Action Notice of Table Att A-1 provides for a three-stage minimum acceptable score criteria. This procedure can facilitate the regulator's progressive assessment of the service provider's SMS implementation process, instead of auditing only after an air operator's SMS has been fully implemented or is mature. Such a progressive assessment protocol will also ensure that the regulator is actively involved in monitoring the operator's SMS implementation from the early phases.
3. Where a phased-element SMS implementation approach is adopted the questions in the checklist may need to be re-configured and adapted to align with the specific spread of elements across the relevant phases, as may be determined by the State.






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- An illustrative corrective action notice (CAN) procedure is provided at the end of the checklist.
- The completed SMS assessment checklist will be used by inspectors to plan the on-site review of the SMS.
- After the on-site review is satisfactorily completed, the PM will sign the On-Site Review record.

Table Att A-1. SMS assessment checklist — Initial SMS acceptance

SMS Assessment Checklist — Initial Acceptance SMS audit checklist routine



DSA SAF CHKL 001
SMS Assessment Initial Acceptance - Airline XXX

Date: XX/XX/20XX

Cameroon Civil Aviation Authority

SMS ASSESSMENT Checklist - Initial Acceptance

INPUT COLUMN: ANNOTATE "Y" for YES, "N" for NO, "NA" for NOT APPLICABLE

Organisation Name		Date of Assessment				Assessed by			REF	
Component / Element	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks	
PART 1 SAFETY POLICIES AND OBJECTIVES SP1.1	There is a documented Safety Policy statement, relevant to aviation safety, relevant to scope and complexity of the organization's operations, that address the provision of necessary human and financial resources for its implementation	N	Add the question of resources	The safety policy is endorsed by the Accountable Manager and there is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations	N		There is a periodic review of the Safety Policy by senior management or the Safety Committee	N		
	There is a formal process to develop a coherent set of safety objectives	N	There are some safety objectives hidden but indicate how it will be established and reviewed and present it after the safety policy. They can be more focused on items that are core to aviation safety (CIT, Runway excursions)	The safety objectives are linked to the safety performance indicators, safety performance targets and safety requirements	N		The safety objectives are published and distributed	N		



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Attachment B SMS ROUTINE REVIEW GUIDE


Instructions:

1. Table Att B-1 is a regulatory SMS assessment checklist (39 questions) to be used for routine SMS assessment after the initial review has been completed successfully. After an organization's SMS has satisfied the regulator's initial assessment and acceptance process, there will be many assessment questions from the initial assessment checklist that will no longer be expedient or necessary for routine assessment purposes. A routine SMS assessment checklist need only focus on the operational aspects of an SMS and evidence of the satisfactory implementation of its supporting processes.
2. The routine SMS assessment may be conducted on a stand-alone basis or incorporated as part of a routine surveillance audit of the organization/systems. In case of the latter, such SMS routine assessment questions may accordingly be incorporated as a section within the normal organization audit checklist. The auditor performing an integrated QMS-SMS audit will need to be trained for SMS audit as appropriate. The normal corrective action notice (CAN) protocol of the regulator can also be applied to the routine SMS assessment.



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Table Att B-1.SMS assessment checklist — — Routine SMS assessment



DSA SAF CHKL 002

SMS Assessment - Routine Assessment Airline XXX

Date: XXXX/XX/XX

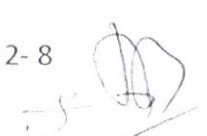
Cameroon Civil Aviation Authority

SMS ASSESSMENT Checklist - Routine Assessment

Organisation Name: _____ Assessed by: _____

SMS Element	No	Assessment Question
Management commitment & responsibilities [1-1]	1	The Safety Policy is relevant to the scope and complexity of the organization's operations
	2	There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations
	3	There is a periodic review of the Safety Policy by senior management or the Safety Committee
	4	The Accountable Manager's terms of reference indicate his overall responsibility for all safety issues
Safety accountabilities [1-2]	1	There is a Safety Committee (or equivalent mechanism) that reviews the SMS and its safety performance
	2	The Accountable Manager's final authority over all operations conducted under his Organization's Certificate(s) is indicated in his terms of reference
Appointment of key safety personnel [1-3]	1	The Manager performing the SMS role have relevant SMS functions included in his terms of reference
	2	The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager
	3	The SMS Manager has direct access or reporting to the Accountable Manager concerning the implementation & operation of the SMS
	4	The SMS Manager is a senior management position not lower than or subservient to other operational or production positions
	1	Does the Emergency plan address possible or likely emergency/ crisis scenarios relating to the organization's

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CHAPTER 3 APPROVAL OF MINIMUM EQUIPMENT LISTS (MEL) AND CONFIGURATION DEVIATION LISTS (CDL)



DSA.AOC.MAN.003, DSA.AOC.CHKL.077

3.1 GENERAL

3.1.1 Background

3.1.1.1 MEL procedures were developed to allow the continued operation of an aircraft with specific items of equipment inoperative under certain circumstances. For particular situations, an acceptable level of safety can be maintained with specific items of equipment inoperative for a limited period of time, until repairs can be made.

3.1.1.2 A flight operations inspector (FOI) is the primary CCAA official responsible for the overall process of administering, evaluating, and approving an operator's MEL. It is essential that the FOI coordinates closely with the airworthiness inspector (AWI) and other individuals or groups involved in this process prior to the approval of the MEL.

3.1.2 Guidance Material

A specific Manual for the MEL has been developed: [DSA.AOC.MAN.003](#).

Inspectors are required to abide to the guidelines set in that manual.