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APPROVAL PAGE

This Check list for SMS Inspector has been prepared by Air Navigation Regulation Directorate to assist the effort of the Ethiopian Civil Aviation Authority to maintain the provision of effective Air Navigation Services with in Ethiopia airspace.

It is important to note that the Check list for *SMS Inspector improves the safety of Air Navigation Services in Ethiopia.

The Director General of Ethiopian Civil Aviation Authority has here by approved the Check list for SMS Inspector on June, 2016 to be used as guidance to SMS Inspector.

Approved by 

Date June, 2016 **Wosenyetch Hunegnaw (Col)**
Director General





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Requirement ECAA/ANR/AC/005 Chapter 3.3

The Safety Management System (SMS) shall establish and implement acceptable level of safety performance to be achieved in the provision of Air Traffic Services.

<i>Checklist Questions</i>	<i>Compliance verified</i>	<i>Evidence and/or Observations</i>
<p><i>Has the SMS of an ATS provider establishes an acceptable level of safety performance to be achieved in the provision of Air Traffic Services?</i></p> <p>❖ <i>Verify if performance based acceptable level of safety</i></p> <ul style="list-style-type: none"> ✓ <i>indicators established and</i> ✓ <i>targets established</i> <p>❖ <i>Verify if Establishment of</i></p> <ul style="list-style-type: none"> ✓ <i>safety indicator value and</i> ✓ <i>safety target value</i> 	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	

INSPECTION RESULT



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Requirement ECAA/ANR/AC/005 Chapter 3.3

The Safety Management System (SMS) shall establish and implement acceptable level of safety performance to be achieved in the provision of Air Traffic Services.

<i>Checklist Questions</i>	<i>Compliance verified</i>	<i>Evidence and/or Observations</i>
<p><i>Does the SMS of an ATS provider establish and implement SMS acceptable to the State?</i></p> <p>❖ <i>Verify if SMS of an ATS provider:-</i></p> <ul style="list-style-type: none"> • <i>Establish safety policy</i> • <i>Implement safety policy</i> <p>❖ <i>Verify if SMS of an ATS provider:-</i></p> <ul style="list-style-type: none"> • <i>Establish safety objective</i> • <i>Implement safety objective</i> <p>❖ <i>Verify if SMS of an ATS provider:-</i></p> <ul style="list-style-type: none"> • <i>Establish safety risk management</i> • <i>Implement safety risk management</i> 	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	



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- ❖ *Verify if SMS of an ATS provider:-*
 - *Establish safety assurance*
 - *Implement safety assurance*
- ❖ *Verify if SMS of an ATS provider:-*
 - *Establish safety promotion*
 - *Implement safety promotion*
- *Verify if the SMS of an ATS provider establish and implement*
 - ✓ *reporting and incident investigation*
 - ✓ *risk identification*
 - ✓ *risk severity classification*
 - ✓ *mitigation safety reviews*
 - ✓ *safety assessments*
 - ✓ *safety surveys*
 - ✓ *dissemination of safety information*
 - ✓ *Training*

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Requirement ECAA/ANR/AC/005 Chapter 3.3 H

The service provider responsible for the provision of Air Traffic services shall implement documented surveillance processes, by defining and planning inspections, audits, and monitoring activities on a continuous basis, to proactively assure that aviation license, certificate, authorization and/or approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

<i>Checklist Questions</i>	<i>Compliance verified</i>	<i>Evidence and/or Observations</i>
<p><i>Does the SMS of an ATS provider, as part of its surveillance programme, periodically assess ATS providers' SMS, including its hazard identification and safety risk management processes and its safety performance indicators (SPIs) and their relevant alert and target levels?</i></p> <p><i>❖ Verify if the SMS of an ATS provider,</i></p> <ul style="list-style-type: none"> <i>• Have surveillance programme;</i> 	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	



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- *Periodically to assess ATS provider ;*
- *Conduct hazard identification;*
- *Conduct safety risk management processes and its safety performance indicators and*
- *Assess alert and target levels;*

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Requirement ECAA/ANR/AC/005 Chapter 3.3 H

The service provider responsible for the provision of Air Traffic services shall be carried out safety assessment in respect of proposals for significant airspace reorganizations, for significant changes in the provision of ATS procedures applicable to an airspace or an aerodrome, and for the introduction of new equipment, systems or facilities, in accordance with the requirements in ICAO PANS-ATM (Doc.4444) 2.6.1

Checklist Questions	Compliance verified	Evidence and/or Observations
<p><i>Does the SMS of an ATS provider carries out safety assessments with respect to significant airspace reorganizations,</i></p> <p><i>a) for significant changes in the provision of ATS procedures applicable to an airspace or an aerodrome, and</i></p> <p><i>b) For the introduction of new equipment, systems or facilities?</i></p> <p>❖ <i>Verify if</i></p> <ul style="list-style-type: none"> • <i>Safety assessments conducted with respect to significant airspace re-organizations such as airspace or aerodrome re-organizations.</i> • <i>Safety assessments conduct for introduction of new</i> 	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	



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equipment, systems or facilities.

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Requirement ECAA/ANR/AC/005 Chapter 3.3 G

Safety reviews of ATS units shall be conducted on a regular and systematic basis by personnel qualified through training, experience and expertise and having a full understanding of relevant Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS), safe operating practices and Human Factors principles.

<i>Checklist Questions</i>	<i>Compliance verified</i>	<i>Evidence and/or Observations</i>
<p><i>Does the SMS of an ATS provider regularly conduct safety reviews on the ATS service provider?</i></p> <p>❖ <i>Verify if SMS of an ATS provider conduct safety reviews</i></p> <ul style="list-style-type: none"> • <i>ATS operations manuals,</i> • <i>ATS unit instructions</i> • <i>Air traffic control coordination procedures are complete, concise and up-to-date;</i> • <i>Adequate route spacing and/or</i> • <i>The separation minima used</i> 	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	

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Requirement ECAA/ANR/AC/005 Chapter 3.3 G

The service provider responsible for the provision of Air Traffic services shall be carried out safety reviews on a regular and systematic basis by personnel qualified through training, experience and expertise.

<i>Checklist Questions</i>	<i>Compliance verified</i>	<i>Evidence and/or Observations</i>
<p><i>Does the SMS of an ATS provider conduct safety review by appropriately qualified personnel?</i></p> <p><i>Has the SMS of an ATS provider has appropriately qualified personnel to conduct safety reviews?</i></p> <p>❖ <i>Verify if SMS of an ATS provider has</i></p> <ul style="list-style-type: none"> ✓ <i>Minimum qualification</i> ✓ <i>Minimum qualification met by SMS personal</i> <p>❖ <i>Verify if SMS personal</i></p> <p><i>Take appropriate training and certificate</i></p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	



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- ❖ *Verify if SMS of an ATS provider establish*
- *Safety review board*

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Requirement ECAA/ANR/AC/005 Chapter 3.3 J

The service provider responsible for the provision of Air Traffic services shall establish Procedure for the reporting of aircraft proximity incidents and their investigation to promote the safety of aircraft.

<i>Checklist Questions</i>	<i>Compliance verified</i>	<i>Evidence and/or Observations</i>
<p><i>Has the SMS of an ATS provider established and implemented a system for reporting air traffic incidents?</i></p> <p>❖ <i>Verify if the SMS of an ATS provider</i></p> <ul style="list-style-type: none"> • <i>Devolve and implement procedure for reporting air traffic incidents containing</i> ✓ <i>value of Safety reporting systems</i> ✓ <i>Types of incident reporting systems</i> ✓ <i>Principles for effective incidents reporting systems</i> ✓ <i>Implementation of incident reporting systems</i> 	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>	



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✓ *Reporting method and format*

✓ *Reporting Formats*

❖ *Verify if the ATS provider*

- *Implement the procedure*

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