

## Detailed Air Carrier Audit/Gap Analysis Tool Assessments and Implementation Plan

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
<b>8.1.1 Organizational Management</b>									
1	Does the operator have a process and associated documentation for ensuring that its SMS includes the operator's systems, including—								
1.1	Flight Operations? <i>SMS Standard 4.1.A.1</i>	<i>PM 3.2.1.B.3</i>	2	2	na	na	na	na	na
1.2	Dispatch/flight following? <i>SMS Standard 4.1.A.2</i>	<i>PM 3.2.1.B.3</i>	2	na	2	na	na	na	na
1.3	Maintenance and inspection? <i>SMS Standard 4.1.A.3</i>	<i>PM 3.2.1.B.3</i>	2	na	na	2	na	na	na
1.4	Cabin safety? <i>SMS Standard 4.1.A.4</i>	<i>PM 3.2.1.B.3</i>	2	na	na	na	2	na	na
1.5	Ground handling and servicing? <i>SMS Standard 4.1.A.5</i>	<i>PM 3.2.1.B.3</i>	2	na	na	na	na	2	na
1.6	Cargo handling? <i>SMS Standard 4.1.A.6</i>	<i>PM 3.2.1.B.3</i>	2	na	na	na	na	na	2
1.7	Training? <i>SMS Standard 4.1.A.7</i>	<i>PM 3.2.1.B.3</i>	2	2	2	2	2	2	2
2	Does the operator have a process and associated documentation that require the SMS processes to be—  <i>SMS Standard</i>								
2.1	Documented?  <i>SMS Standard 4.1.B.1</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
2.2	Monitored?  <i>SMS Standard 4.1.B.2</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
2.3	Measured?  <i>SMS Standard 4.1.B.3</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1

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2.4	Analyzed?  <i>SMS Standard 4.1.B.4</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
3	Does the operator have a process and associated documentation to ensure all SMS outputs are—								
3.1	Recorded?  <i>SMS Standard 4.1.C.1</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
3.2	Monitored?  <i>SMS Standard 4.1.C.2</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
3.3	Measured?  <i>SMS Standard 4.1.C.3</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
3.4	Analyzed?  <i>SMS Standard 4.1..4</i>	<i>PM 3.2.3.E.2.b &amp; 3.2.1.B.3 (draft)</i>	1	1	1	1	1	1	1
4	Does the operator have a process and associated documentation to promote a positive safety culture?  <i>SMS Standard 4.1.D</i>	<i>PM 2.0, 2.1 (Safety Policy Poster (draft)), 3.2.3.E.m (draft), &amp; 4.8.1.B (draft)</i>	1	1	1	1	1	1	1
5	Does top management define the operator's safety policy?  <i>SMS Standard 4.2.A</i>	<i>PM 2.0, Safety Policy Poster (draft), &amp; 3.2.3.A.2</i>	1	1	1	1	1	1	1

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6	Does the operator's safety policy include the following:								
6.1	A commitment to implement SMS?  <i>SMS Standard 4.2.B.1</i>	<i>PM 2.0, Safety Policy Poster (draft), &amp; 3.2.3.A (draft)</i>	1	1	1	1	1	1	1
6.2	A commitment to continually improving the level of safety?  <i>SMS Standard 4.2.B.2</i>	<i>PM 2.0, Safety Policy Poster (draft), &amp; 3.2.3.A (draft)</i>	1	1	1	1	1	1	1
6.3	A commitment to the management of safety risk?  <i>SMS Standard 4.2.B.3</i>	<i>PM 2.0, Safety Policy Poster (draft), &amp; 3.2.3.A (draft)</i>	1	1	1	1	1	1	1
6.4	A commitment to comply with all applicable regulatory requirements?  <i>SMS Standard 4.2.B.4</i>	<i>PM 2.0, Safety Policy Poster (draft), &amp; 3.2.3.A (draft)</i>	1	1	1	1	1	1	1
6.5	A commitment to encourage employees to report safety issues without reprisal?  <i>SMS Standard 4.2.B.5</i>	<i>PM 2.0, Safety Policy Poster (draft), &amp; SPPM 3.5 (draft)</i>	1	1	1	1	1	1	1
6.6	Clear standards for acceptable behavior?  <i>SMS Standard 4.2.B.6</i>	<i>PM 2-0 &amp; SPPM 1.2 &amp; 3.6.1 all employees</i>	2	2	2	2	2	2	2
6.7	Guidance to management on setting safety objectives?	<i>PM 2.0 &amp; 4.7</i>	2	2	2	2	2	2	2

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	<i>SMS Standard 4.2.B.7</i>								
6.8	Guidance to management on reviewing safety objectives? <i>SMS Standard 4.2.B.8</i>	<i>PM 2.0 &amp; 4.7</i>	2	2	2	2	2	2	2
7	Does the operator have a process and associated documentation to ensure the safety policy is documented?  <i>SMS Standard 4.2.B.9</i>	<i>PM 3.2.1.B.3 (draft), 3.2.3.C.1.g, 3.2.3.E.2.a, &amp; 4.7</i>	1	1	1	1	1	1	1
8	Does the operator have a process and associated documentation to ensure the safety policy is communicated to all employees and responsible parties? <i>SMS Standard 4.2.B.10</i>	<i>PM 2.0, 2.1 (draft), Safety Policy Poster (draft) &amp; 4.2</i>	1	1	1	1	1	1	1
9	Does the operator have a process and associated documentation to ensure the safety policy is periodically reviewed and updated? <i>SMS Standard 4.2.B.11</i>	<i>PM 2.1 (draft), 4.3.1, &amp; 4.7</i>	1	1	1	1	1	1	1
10	Does the operator have a process and associated documentation to identify individuals safety performance responsibilities?  <i>SMS Standard 4.2.B.12</i>	<i>PM 2-0, Safety Policy Poster (draft), &amp; SPPM 1.2 &amp; 3.6.1</i>	1	1	1	1	1	1	1
11	Does the operator have a process and associated documentation to ensure that the organization's quality policy is consistent with its SMS? <i>SMS Standard 4.3</i>	<i>PM 4.8.2 (draft)</i>	1	1	1	1	1	1	1
12	Does the operator have a process and associated documentation to establish and maintain a safety management plan that meets the objectives of its safety policy? <i>SMS Standard 4.4</i>	<i>PM 3.2.1.B.5 &amp; 4.7</i>	2	2	2	2	2	2	2
13	Does the operator have a process and associated documentation to ensure top management has the ultimate responsibility for the SMS? <i>SMS Standard 4.5.A</i>	<i>PM 3.2.3.A.2 (draft) &amp; 4.8.1.D (draft)</i>	1	1	1	1	1	1	1

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14	Does the operator have a process and associated documentation for top management to provide the resources essential to implementing and maintaining the SMS? <i>SMS Standard 4.5.B</i>	<i>PM 3.2.3.B.1.a</i>	2	2	2	2	2	2	2
15	Does the operator have a process and associated documentation to appoint a member of management with the responsibilities and authority to—								
15.1	Ensure that SMS processes are established, implemented, and maintained? <i>SMS Standard 4.5.C.1</i>	<i>PM 3.2.3.E.2.a</i>	2	2	2	2	2	2	2
15.2	Report to top management on the performance of the SMS and the need for improvement? <i>SMS Standard 4.5.C.2</i>	<i>PM 3.2.3.E.2.c, 4.7, SPPM 3.4 (draft)</i>	2	2	2	2	2	2	2
15.3	Ensure that the awareness of safety requirements is promoted throughout the organization? <i>SMS Standard 4.5.C.3</i>	<i>PM 3.2.3.E.2.f &amp; .m</i>	2	2	2	2	2	2	2
16	Does the operator have a process and associated documentation to ensure that aviation safety-related positions, responsibilities, and authorities are —								
16.1	Defined? <i>SMS Standard 4.5.D.1</i>	<i>PM 4.8.1.D &amp; SPPM 3.4 (draft)</i>	1	1	1	1	1	1	1
16.2	Documented? <i>SMS Standard 4.5.D.2</i>	<i>PM 4.8.1.D &amp; SPPM 3.4 (draft)</i>	1	1	1	1	1	1	1
16.3	Communicated throughout the organization? <i>SMS Standard 4.5.D.3</i>	<i>PM 4.8.1.D &amp; SPPM 3.4 (draft)</i>	1	1	1	1	1	1	1
17	Does the operator have a process and associated documentation to ensure the SMS complies with all safety-related legal and regulatory requirements?	<i>PM 3.2.1.B.4 (draft) &amp; 3.2.3.E.2.k</i>	1	1 FTOCB R Mason May 09	1	1	1	1	1

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	<i>SMS Standard 4.6.A</i>								
18	Does the operator have a process and associated documentation to identify current applicable safety-related legal and regulatory requirements?  <i>SMS Standard 4.6.B</i>	<i>PM 3.2.1.B.4 (draft) &amp; 3.2.3.E.2.k</i>	1	1 <i>FTOCB R Mason May 09</i>	1 <i>DOM D. Woods Oct 09</i>	1 <i>DSM J. Chow Oct 10</i>	1 <i>FAPPM B. Lee Oct 09</i>	1 <i>GOM T. Stuart Apr 10</i>	1 <i>ACM L. Edison Apr 10</i>
19	Does the operator have a process and associated documentation to continually improve the effectiveness of the SMS and of safety risk controls through the use of—								
19.1	Safety and quality polices?  <i>SMS Standard 6.8</i>	<i>PM 4.8.1.E (policy) Add Procedure to SPPM Ch 3 J. Langley May 2009</i>	1	1	1	1	1	1	1
19.2	Objectives?  <i>SMS Standard 6.8</i>	<i>PM 4.8.1.E (policy) Add Procedure to SPPM Ch 3 J. Langley May 09</i>	1	1	1	1	1	1	1
19.3	Audits and evaluation results?  <i>SMS Standard 6.8</i>	<i>PM 4.8.1.E (policy) Add Procedure to SPPM Ch 3 J. Langley May 09</i>	1	1	1	1	1	1	1

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19.4	Analysis of data?  <i>SMS Standard 6.8</i>	<i>PM 4.8.1.E (policy)</i> <i>Add Procedure to SPPM Ch 3</i> <i>J. Langley</i> <i>May 09</i>	1	1	1	1	1	1	1
19.5	Corrective and preventive actions?  <i>SMS Standard 6.8</i>	<i>PM 4.8.1.E (policy)</i> <i>Add Procedure to SPPM Ch 3</i> <i>J. Langley</i> <i>May 09</i>	1	1	1	1	1	1	1
19.6	Management reviews?  <i>SMS Standard 6.8</i>	<i>PM 4.8.1.E (policy)</i> <i>Add Procedure to SPPM Ch 3</i> <i>J. Langley</i> <i>May 09</i>	1	1	1	1	1	1	1
<b>8.1.2 Documentation and Records Management</b>									
1	Does the operator have a process and associated documentation for establishing and maintaining, in paper or electronic format, the following:								
1.1	Safety policies?  <i>SMS Standard 4.9.A.1</i>	<i>PM 4.4.B (draft)</i>	1	1 <i>FOPPM</i> 1 <i>R Mason</i> <i>May 09</i>	1 <i>DOM</i> <i>D.</i> <i>Woods</i> <i>Oct 09</i>	1 <i>MPPM</i> <i>G.</i> <i>Grant</i> <i>Oct 10</i>	1 <i>FAPPM</i> <i>B. Lee</i> <i>Oct 09</i>	1 <i>GOM</i> <i>T.</i> <i>Stuart</i> <i>Apr 10</i>	1 <i>ACM</i> <i>L.</i> <i>Edison</i> <i>Apr 10</i>

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1.2	Safety objectives?  SMS Standard 4.9.A.2	PM 4.4.B (draft)	1	1 FOPPM 1 R Mason May 09	1 DOM D. Woods Oct 09	1 MPPM G. Grant Oct 10	1 FAPPM B. Lee Oct 09	1 GOM T. Stuart Apr 10	1 ACM L. Edison Apr 10
1.3	SMS requirements?  SMS Standard 4.9.A.3	PM 4.4.B (draft)	1	1 FOPPM 1 R Mason May 09	1 DOM D. Woods Oct 09	1 MPPM G. Grant Oct 10	1 FAPPM B. Lee Oct 09	1 GOM T. Stuart Apr 10	1 ACM L. Edison Apr 10
1.4	Safety-related procedures and processes?  SMS Standard 4.9.A.4	PM 4.4.B (draft)	1	1 FOPPM 1 R Mason May 09	1 DOM D. Woods Oct 09	1 MPPM G. Grant Oct 10	1 FAPPM B. Lee Oct 09	1 GOM T. Stuart Apr 10	1 ACM L. Edison Apr 10
1.5	Responsibilities and authorities for safety-related procedures and processes?  SMS Standard 4.9.A.5	PM 4.4.B (draft)	1	1 FOPPM 1 R Mason May 09	1 DOM D. Woods Oct 09	1 MPPM G. Grant Oct 10	1 FAPPM B. Lee Oct 09	1 GOM T. Stuart Apr 10	1 ACM L. Edison Apr 10
1.6	Interactions and interfaces between safety-related procedures and policies?  SMS Standard 4.9.A.6	PM 4.4.B (draft)	1	1 FOPPM 1 R Mason May 09	1 DOM D. Woods Oct 09	1 MPPM G. Grant Oct 10	1 FAPPM B. Lee Oct 09	1 GOM T. Stuart Apr 10	1 ACM L. Edison Apr 10
1.7	SMS outputs?  SMS Standard 4.9.A.7	PM 4.4.B (draft)	1	1 FOPPM 1 R Mason May 09	1 DOM D. Woods Oct 09	1 MPPM G. Grant Oct 10	1 FAPPM B. Lee Oct 09	1 GOM T. Stuart Apr 10	1 ACM L. Edison Apr 10
2	Does the operator have a process and associated documentation that require all documentation be— SMS Standard 4.9.B.1								



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2.1.	Legible?  <i>SMS Standard 4.9.B.1.a</i>	PM 4.4.1.D	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM Ch 2	2 DSM Ch 2	2 IEM 1.2	2 DSM Ch 2	2 DSM Ch 2
2.2	Dated with the dates of revisions?  <i>SMS Standard 4.9.B.1.b</i>	PM 4.4.1.D	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM Ch 2	2 DSM Ch 2	2 IEM 1.2	2 DSM Ch 2	2 DSM Ch 2
2.3	Readily identifiable?  <i>SMS Standard 4.9.B.1.c</i>	PM 4.4.1.D	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM Ch 2	2 DSM Ch 2	2 IEM 1.2	2 DSM Ch 2	2 DSM Ch 2
2.4	Maintained in an orderly manner?  <i>SMS Standard 4.9.B.1.d</i>	PM 4.4.1.D	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM Ch 2	2 DSM Ch 2	2 IEM 1.2	2 DSM Ch 2	2 DSM Ch 2
2.5	Retained for a specified period as determined by the organization and approved by the oversight organization? <b>Note: Under the Pilot Program, the SMS records system does not require FAA approval.</b>  <i>SMS Standard 4.9.B.1.e</i>	PM 4.4.1.D (draft)	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM Ch 2	2 DSM Ch 2	2 IEM 1.2	2 DSM Ch 2	2 DSM Ch 2
3	Does the operator have a process and associated documentation to control all documents to ensure—								
3.1	They are locatable?  <i>SMS Standard 4.9.B.2.a</i>	PM 4.4.1.A.5	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM 3.5	2 DSM Ch 2	2 IEM 1.2	2 DSM Ch 2	2 DSM Ch 2

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3.2	They are periodically reviewed?  <i>SMS Standard 4.9.B.2.b.1</i>	<i>PM 4.4.1.A.7 (draft)</i>	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM 3.5	2 DSM 4.2	2 IEM 1.2	2 DSM 4.2	2 DSM 4.2
3.3	They are revised as necessary?  <i>SMS Standard 4.9.B.2.b.2</i>	<i>PM 4.4.1.A.7 (draft)</i>	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM 3.5	2 DSM 4.2	2 IEM 1.2	2 DSM 4.2	2 DSM 4.2
3.4	They are approved for adequacy by authorized personnel?  <i>SMS Standard 4.9.B.2.b.3</i>	<i>PM 4.4.1.A.4</i>	1	1 <i>FTOCB 5 R Mason May 09</i>	2 DOM Ch 2	2 DSM 2.2 MPPM 001.12+	2 IEM 1.2	2 DSM 2.2	2 DSM 2.2
3.5	All current versions are available at all locations where operations essential to the functioning of the SMS are performed?  <i>SMS Standard 4.9.B.2.c</i>	<i>PM 4.4.1.A.5</i>	1	1 <i>FTOCB 9 R Mason May 09</i>	2 DOM 3.5	2 DSM 2.2 MPPM 001.12+	2 IEM 1.2	2 DSM 2.2	2 DSM 2.2
3.6	All obsolete documents are promptly removed from all locations or otherwise assured against the unintended use of such documents?  <i>SMS Standard 4.9.B.2.d</i>	<i>PM 4.4.1.A.8</i>	1	1 <i>FTOCB 8.4 R Mason May 09</i>	2 DOM 3.5	2 DSM 4.2 MPPM 001.12+	2 IEM 1.2	2 DSM 4.2	2 DSM 4.2
4	Does the operator have a process and associated documentation to ensure SMS records are—								

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4.1	Identified?  SMS Standard 4.9.C.1.a and 4.9.C.2.b	PM 4.4.1.D and 4.5.1.A	1	1 FOPPM 1 R Mason May 09	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.2	Maintained?  SMS Standard 4.9.C.1.b	PM 4.4.1.D and 4.5.1.A	1	1 FOPPM 1 R Mason May 09	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.3	Disposed of?  SMS Standard 4.9.C.1.c	PM 4.4.1.D and 4.5.1.A	1	1 FOPPM 1 R Mason May 09	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.4	Legible?  SMS Standard 4.9.C.2.a	PM 4.4.1.D and 4.5.1.A	1	1 FOPPM 1 R Mason May 09	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.5	Identifiable?  SMS Standard 4.9.C.2.b	PM 4.4.1.D and 4.5.1.A	1	1 FOPPM 1 R Mason May 09	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.6	Traceable to the activity involved?  SMS Standard 4.9.C.2.c	PM 4.4.1.D and 4.5.1.A	1	1 FOPPM 1 R Mason May 09	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7

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Question									
4.7	Readily retrievable?  <i>SMS Standard 4.9.C.3.a</i>	<i>PM 4.4.1.D and 4.5.1.A</i>	1	1 <i>FOPPM</i> 1 <i>R Mason</i> <i>May 09</i>	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.8	Protected against damage?  <i>SMS Standard 4.9.C.3.b.1</i>	<i>PM 4.4.1.D and 4.5.1.A</i>	1	1 <i>FOPPM</i> 1 <i>R Mason</i> <i>May 09</i>	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.9	Protected against deterioration?  <i>SMS Standard 4.9.C.3.b.2</i>	<i>PM 4.4.1.D and 4.5.1.A</i>	1	1 <i>FOPPM</i> 1 <i>R Mason</i> <i>May 09</i>	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.1	Protected against loss?  <i>SMS Standard 4.9.C.3.b.3</i>	<i>PM 4.4.1.D and 4.5.1.A</i>	1	1 <i>FOPPM</i> 1 <i>R Mason</i> <i>May 09</i>	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
4.11	Retained for a documented period of time?  <i>SMS Standard 4.9.C.3.4</i>	<i>PM 4.4.1.D and 4.5.1.A</i>	1	1 <i>FOPPM</i> 1 <i>R Mason</i> <i>May 09</i>	2 DOM 1.3.8+ FOS DTM	2 MPPM 322.20+	2 FATM 3.0+	2 STM 2.0+	2 ACM 12.7
<b>8.1.3 Emergency Preparedness and Response</b>									
1	Does the operator have a process and associated documentation for establishing procedures to—								
1.1	Identify the potential for accidents and incidents?	<i>Emer Resp Man D Stevens</i> <i>Jan 2009</i>	1	1 <i>FOPPM</i> 12 <i>J Hines</i> <i>Jan 09</i>	1	1	1	1	1

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Question									
	<i>SMS Standard 4.8.1</i>								
1.2	Coordinate and plan the organization's response to accidents and incidents?  <i>SMS Standard 4.8.2</i>	<i>Emer Resp Man D Stevens Jan 2009</i>	1	1 <i>FOPPM 12 J Hines Jan 09</i>	1	1	1	1	1
1.3	Execute periodic exercises of the organization's response?  <i>SMS Standard 4.8.3</i>	<i>Emer Resp Man D Stevens Jan 2009</i>	1	1 <i>FOPPM 12 J Hines Jan 09</i>	1	1	1	1	1
<b>8.2.1 System and Task Analysis</b>									
1	Does the operator have a process and associated documentation to include its system and task analysis process in its safety risk management process?  <i>SMS Standard 5.A.1</i>	<i>SPPM 3.3 (draft)</i>	1	1 <i>AQP Vol 1 3.2.3 J Hines May 09</i>	1	1	1	1	1
2	Does the operator have a process and associated documentation for developing system and task descriptions to the level of detail necessary to identify hazards?  <i>SMS Standard 5.1.A</i>	<i>SPPM 3.3 (draft)</i>	1	1 <i>AQP V2 1.1 J Hines May 09</i>	1	1	1	1	1
3	Does the operator have a process and associated documentation to ensure that the operator's system and task analyses considers the following: <i>SMS Standard 5.1.B</i>								
3.1.	The system's interactions with other systems in the air transportation system?  <i>SMS Standard 5.1.B.1</i>	<i>SPPM 3.3.1.B (draft)</i>	1	1 <i>FOPPM AQP Vol J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>

Question	Participant #1	Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
3.2	The system's functions for each of the seven systems (flight operations, dispatch/flight following, maintenance and inspection, cabin safety, ground handling and servicing, cargo handling, and training)? <b>Note: Under the Pilot Program, functions must be defined for only the department or area included in the Pilot Program.</b>  <i>SMS Standard 5.1.B.2</i>	<i>Add policy to SPPM 3.3.1, 9/09, J Langley</i>	1	1 <i>FOPPM, V1,2.2 J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
3.3	The employee tasks required to accomplish the functions in each of the seven systems listed above? <b>Note: Under the Pilot Program, tasks must be defined for only the department or area included in the Pilot Program.</b>  <i>SMS Standard 5.1.B.3</i>	<i>Add policy to SPPM 3.3.1, 9/09, J Langley</i>	1	1 AQP <i>Vol 2 1.1 &amp; 1.2 (JTA) FOPPM J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
3.4	The required human factors considerations of the system for operations?  <i>SMS Standard 5.1.B.4.a</i>	<i>SPPM 3.3.1.D (draft)</i>	1	1 AQP <i>Vol 1.2 FOPPM J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
3.5	The required human factors considerations of the system for maintenance?  <i>SMS Standard 5.1.B.4.b</i>	<i>SPPM 3.3.1.D (draft)</i>	1	<i>na</i>	<i>na</i>	1 <i>MPPM G. Grant Apr 11</i>	<i>na</i>	<i>na</i>	<i>na</i>
3.6	The hardware components of the system?  <i>SMS Standard 5.1.B.5</i>	<i>SPPM 3.3.1.A (draft)</i>	1	1 AQP <i>Vol 2 1.4 &amp; 1.5 &amp; 1.6 FOPPM J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
3.7	The software components of the system?  <i>SMS Standard 5.1.B.6</i>	<i>SPPM 3.3.1.A (draft)</i>	1	1 AQP Vol 2 1.4 & 1.5 & 1.6 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.8	Related procedures that define guidance for the operation and use of the system?  <i>SMS Standard 5.1.B.7</i>	<i>SPPM 3.3.1.A (draft)</i>	1	1 AQP Vol 2 1.4 & 1.5 & 1.6 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.9	The ambient environment?  <i>SMS Standard 5.1.B.8</i>	<i>SPPM 3.3.1.A (draft)</i>	1	1 AQP Vol 2 1.1 & 1.2 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.10	The operational environment?  <i>SMS Standard 5.1.B.9</i>	<i>SPPM 3.3.1.A (draft)</i>	1	1 AQP Vol 2 1.1 & 1.2 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.11	The maintenance environment?  <i>SMS Standard 5.1.B.10</i>	<i>SPPM 3.3.1.A (draft)</i>	1	na	na	1 MPPM G. Grant Apr 11	na	na	na

Question	Participant #1	Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
3.12	Contracted and purchased products and services?  <i>SMS Standard 5.1.B.11</i>	<i>SPPM 3.3.1.C (draft)</i>	1	1 AQP Vol 3 3.3 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.13	The interactions between the items listed in sections 3.2 through 3.10 above?  <i>SMS Standard 5.1.B.12</i>	<i>SPPM 3.3.1.C (draft)</i>	1	1 AQP Vol 2 1.2 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.14	Any assumptions made about the system?  <i>SMS Standard 5.1.B.13.a</i>	<i>SPPM Ch 3 Jeff M May 2009</i>	1	1 AQP Vol 2 1.2 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.15	Any assumptions made about the system interactions?  <i>SMS Standard 5.1.B.13.b</i>	<i>SPPM Ch 3 Jeff M May 2009</i>	1	1 AQP Vol 2 1.2 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
3.16	Any assumptions made about the existing safety risk controls?  <i>SMS Standard 5.1.B.13.c</i>	<i>SPPM Ch 3 J Langley May 2009</i>	1	1 AQP Vol 2 1.2 FOPPM J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
4	Is the operator's safety assurance function based on a comprehensive system description?  <i>SMS Standard 6.2</i>	<i>SPPM 3.3 (draft)</i>	1	1 AQP Vol 1 & 2 FOPPM J Hines May 09	1	1	1	1	1
<b>8.2.2 Hazard Identification</b>									



Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
1	Does the operator have a process and associated documentation to include its hazard identification process in its safety risk management process?  <i>SMS Standard 5.A.2</i>	<i>SPPM 3.3.1 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
2	Does the operator have a process and associated documentation that ensures that the operator identifies hazards for the entire scope of the system that is being evaluated as defined in the system description?  <i>SMS Standard 5.2.A.1</i>	<i>SPPM 3.3.1 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
3	<i>Does the operator have a process and associated documentation that ensures that the operator documents all of these identified hazards?</i>  <i>SMS Standard 5.2.A.2</i>	<i>SPPM 3.3.1 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
4	Does the operator have a process and associated documentation that ensures that the operator is tracking this hazard information?  <i>SMS Standard 5.2.B.1</i>	<i>Add process to SPPM 3.3.1 J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
5	Does the operator have a process and associated documentation that ensures that the operator is managing this hazard information through the entire safety risk management process?  <i>SMS Standard 5.2.B.2</i>	<i>Add process to SPPM 3.3.1 J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
<b>8.2.3 Safety Risk Analysis and Assessment</b>									
1	Does the operator have a process and associated documentation to include its risk analysis and assessment processes in its safety risk management process?  <i>SMS Standard 5.A.3 and 5.A.4</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
2	Does the operator have a process and associated documentation to define acceptable and unacceptable levels of safety risk (for example, does the operator have a safety risk matrix)?  <i>SMS Standard 5.D.</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
3	Does the operator's levels of safety risk include descriptions of the following:								
3.1	Severity levels?  <i>SMS Standard 5.D.1.a</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
			2						
3.2	Likelihood levels?  <i>SMS Standard 5.D.1.b</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
4	Does the operator have a process and associated documentation to define acceptable risk hazards that will exist in the short-term while safety risk control/mitigation plans are developed and executed?  <i>SMS Standard 5.D.3</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
5	Does the operator have a process and associated documentation to ensure that it does not implement any of the following until the level of safety risk of each identified hazard is determined to be acceptable:								
5.1	New system designs?  <i>SMS Standard 5.E.1</i>	<i>SPPM 3.3.1.B (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
5.2	Changes to existing system designs?  <i>SMS Standard 5.E.2</i>	<i>SPPM 3.3.1.B (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
5.3	New operations or procedures?  <i>SMS Standard 5.E.3</i>	<i>SPPM 3.3.1.B (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
5.4	Modifications to existing operations or procedures?  <i>SMS Standard 5.E.4</i>	<i>SPPM 3.3.1.B (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
6	Does the operator have a process and associated documentation to allow it to take interim immediate action to mitigate an existing safety risk?  <i>SMS Standard 5.F</i>	<i>SPPM 3.3.1.B (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
7	Does the operator have a safety risk analysis process and associated documentation that includes—								
7.1	Existing safety risk controls?  <i>SMS Standard 5.3.1</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
7.2	Triggering mechanisms?	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
	<i>SMS Standard 5.3.2</i>								
8	Does the operator's safety risk analysis process and associated documentation include an estimation of the likelihood and severity of the safety risk of a reasonably likely outcome from the existence of a hazard?  <i>SMS Standard 5.3.3</i>	<i>SPPM 3.3.2 (draft)</i>	1	1 <i>FOPPM</i> 5 <i>J Hines</i> <i>May 09</i>	1	1	1	1	1
9	Does the operator have a process and associated documentation to ensure that it assess each hazard for its safety risk acceptability using its levels of safety risk?  <i>SMS Standard 5.4.A</i>	<i>SPPM 3.3 - 3.3.3 (draft)</i>	1	1 <i>FOPPM</i> 5 <i>J Hines</i> <i>May 09</i>	1	1	1	1	1
10	Does the operator have a process and associated documentation to ensure that it defines the levels of management that can make safety risk acceptance decisions?  <i>SMS Standard 5.D.2. and 5.4.B</i>	<i>SPPM 3.3.2 Figure 5 (draft)</i>	1	1 <i>FOPPM</i> 5 <i>J Hines</i> <i>May 09</i>	1	1	1	1	1
<b>8.2.4 Safety Risk Controls</b>									
1	Does the operator have a process and associated documentation to include its safety risk control process in its safety risk management process?  <i>SMS Standard 5.A.5</i>	<i>SPPM 3.3 - 3.3.10 (draft)</i>	1	1 <i>FOPPM</i> 5 <i>R Mason</i> <i>May 09</i>	1	1	1	1	1
2	Does the operator have a process and associated documentation to ensure that it has a safety risk control/mitigation plan for each hazard with unacceptable risk?  <i>SMS Standard 5.5.A</i>	<i>SPPM 3.3.3 (draft)</i>	1	1 <i>FOPPM</i> 5 <i>R Mason</i> <i>May 09</i>	1	1	1	1	1
3	Does the operator have a process and associated documentation to ensure that its safety risk controls are—								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
3.1	Clearly described?  <i>SMS Standard 5.5.B.1</i>	<i>PM 4.4.A - C and 4.4.1.A (draft)</i>	1	1 <i>FOPPM 5 R Mason May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
3.2	Evaluated to ensure that the requirements have been met?  <i>SMS Standard 5.5.B.2</i>	<i>SPPM 3.3.4 (draft)</i>	1	1 <i>FOPPM 5 R Mason May 09</i>	2 <i>DQM all</i>	2 <i>MPPM 415</i>	2 <i>InFlight Stds Guide all</i>	2 <i>SPPM 6-5</i>	2 <i>ACM 2.4.4</i>
3.3	Ready to be used in the operational environment for which they are intended?  <i>SMS Standard 5.5.B.3</i>	<i>SPPM 3.3.4 (draft)</i>	1	1 <i>AQP V1 FOPPM 5 J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
3.4	Documented?  <i>SMS Standard 5.5.B.4</i>	<i>PM 4.4.A - C and 4.4.1.A (draft)</i>	1	1 <i>AQP 1,2,3 FOPPM J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
4	Does the operator have a process and associated documentation to ensure that it has evaluated substitute risk in the creation of safety risk controls/mitigations?  <i>SMS Standard 5.5.C</i>	<i>SPPM 3.3.8 and SMS Model (figure 1) (draft)</i>	1	1 <i>FOPPM 5 R Mason May 09</i>	1	1	1	1	1
<b>8.3.1 Data Acquisition</b>									
1	Does the operator have a process and the associated documentation for collecting data necessary to demonstrate the effectiveness of its—								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
1.1	Operational processes?  SMS Standard 6.3.1	Add policy to SPPM 3.3.4 J Langley May 09	1	1 AQP Vol 1,2,3 FOPPM 5, 6 J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
1.2	SMS?  SMS Standard 6.3.2	Add policy to SPPM 3.3.4 J Langley May 09	1	1 AQP Vol 1,2,3 FOPPM 5,6 J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
2	Does the operator have a process and the associated documentation for monitoring operational data to—								
2.1	Assess conformity with safety risk controls?  SMS Standard 6.3.1.A.1	Add policy to SPPM 3.3.4 J Langley May 09	1	1 FOPPM 5 J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
2.2	Measure the effectiveness of safety risk controls?  SMS Standard 6.3.1.A.2	Add policy to SPPM 3.3.4 J Langley May 09	1	1 FOPPM 5 J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
2.3	Assess system performance?  SMS Standard 6.3.1.A.3	Add policy to SPPM 3.3.4 J Langley May 09	1	1 FOPPM 5 J Hines May 09	1 DOM D Woods Jan 10	1 MPPM G. Grant Apr 11	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10

Question	Participant #1	Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
2.4	Identify hazards?  <i>SMS Standard 6.3.1.A.4</i>	<i>Add policy to SPPM 3.3.4 J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>DOM D Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
3	Does the operator have a process and associated documentation that ensures that it monitors products and services from subcontractors?  <i>SMS Standard 6.3.1.B</i>	<i>PM 3.2.1.D</i>	1	1 <i>FTOCB 4 R Mason May 1/09</i>	n/a	2 <i>MPPM 345.22</i>	n/a	2 <i>GOM 1.28</i>	2 <i>ACM 2.3.4</i>
4	Does the operator have a process and associated documentation that ensures that regular internal audits of safety-related functions of the operator's internal processes are conducted by line management of each operational department?  <i>SMS Standard 6.3.2.A</i>	<i>PM 4.8.2.A (draft)</i>	1	1 <i>AQP FOPPM 6 J Hines May 09</i>	2 <i>DQM</i>	2 <i>MPPM 415.20</i>	2 <i>InFlight Stds Guide</i>	1 <i>GOM T. Stuart Jul 10</i>	2 <i>ACM 2.3.4</i>
5	Does the operator have a process and associated documentation that ensures that regular audits of safety-related functions of the operator's processes that are accomplished by subcontractors are conducted by the line management of the appropriate operational department?  <i>SMS Standard 6.3.2.A</i>	<i>PM 4.8.2.A (draft)</i>	1	1 <i>FOPPM 5 R Mason May 09</i>	n/a--no subcontr acted activities	2 <i>MPPM 415.20</i>	n/a--no subcont racted activitie s	1 <i>GOM T. Stuart Jul 10</i>	2 <i>ACM 2.3.4</i>
6	Does the operator have a process and associated documentation that ensures that regular audits are conducted to—								
6.1	Determine conformity with safety risk controls?  <i>SMS Standard 6.3.2.B.1</i>	<i>PM 4.8.2.A (draft)</i>	1	1 <i>AQP V3 6.0 FOPPM 6 J Hines May 09</i>	2 <i>DQM</i>	2 <i>MPPM 415.10</i>	2 <i>InFlight Stds Guide</i>	1 <i>GOM T. Stuart Jul 10</i>	2 <i>ACM 2.3.4</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
6.2	Assess performance of safety risk controls?  <i>SMS Standard 6.3.2.B.2</i>	<i>PM 4.8.2.A (draft)</i>	1	1 AQP V3 6.0 FOPPM 6 J Hines May 06	2 DQM	2 MPPM 415.20	2 InFlight Stds Guide	1 GOM T. Stuart Jul 10	2 ACM 2.3.4
7	Does the operator have a process and associated documentation that ensures that planning of the audit program takes into account—								
7.1	Safety significance of the processes to be audited?  <i>SMS Standard 6.3.2.C.1</i>	<i>PM 4.8.2.A (draft)</i>	1	1 AQP V1 2.3.2 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
7.2	Results of previous audits?  <i>SMS Standard 6.3.2.C.2</i>	<i>PM 4.8.2.A (draft)</i>	1	1 AQP V1 Fig 3.1 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
8	Does the operator have a process and associated documentation that ensures that the audit program includes—								
8.1	Definition of the audit's—								
8.1.1	Criteria?	<i>PM 4.8.2.A (draft)</i>	1	1 AQP V1 3.3 V2 1.2 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10



Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
	SMS Standard 6.3.2.D.1.a								
8.1.2	Scope?	PM 4.8.2.A (draft)	1	1 AQP V2, Task Analysis FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
	SMS Standard 6.3.2.D.1.b								
8.1.3	Frequency?	PM 4.8.2.A (draft)	1	1 AQP V2, fig 1.1 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
	SMS Standard 6.3.2.D.1.c								
8.1.4	Methods?	PM 4.8.2.A (draft)	1	1 AQP V2, fig 1.1 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
	SMS Standard 6.3.2.D.1.d								
8.2	Processes used to select the auditors?	PM 4.8.2.A (draft)	1	1 AQP V1 3.9.5, .6 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
	SMS Standard 6.3.2.D.2								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
8.3	A requirement that individuals shall not audit their own work?  <i>SMS Standard 6.3.2.D.3</i>	<i>PM 4.8.2.A (draft)</i>	1	1 <i>Admin Guide 12.2.3 FOPPM 6 J Hines May 09</i>	1 <i>DQM D. Woods Jan 10</i>	2 <i>MPPM 415.20</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
8.4	Documented procedures, including—								
8.4.1	Responsibilities?  <i>SMS Standard 6.3.2.D.4.a</i>	<i>PM 4.8.2.A (draft)</i>	1	1 <i>IEAG and AQP Vol FOTM 12.1.12 Move to FOPPM 6 J Hines May 09</i>	1 <i>DQM D. Woods Jan 10</i>	1 <i>MPPM 415.20 G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
8.4.2	Requirements for—								
8.4.2.1	Planning audits?  <i>SMS Standard 6.3.2.D.4.b.1</i>	<i>PM 4.8.2.A (draft)</i>	1	1 <i>IEAG 7.2.7, 15.2, 15.7, &amp; 15.9 FOPPM 6 J Hines May 09</i>	1 <i>DQM D. Woods Jan 10</i>	2 <i>MPPM 415.20</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
8.4.2.2	Conducting audits?  SMS Standard 6.3.2.D.4.b.2	PM 4.8.2.A (draft)	1	1 IEAG 12.3 & .4, 15.2 & .7 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
8.4.2.3	Reporting results?  SMS Standard 6.3.2.D.4.b.3	PM 4.8.2.A (draft)	1	1 IEAG 15.2, .7, .9, & .11 PPDB FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
8.4.2.4	Maintaining records?  SMS Standard 6.3.2.D.4.b.4	PM 4.8.2.A (draft)	1	1 IEAG Pilot Records Guide 15.11.4 FOPPM 6 J Hines May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10
8.5	Audits of contractors and vendors?  SMS Standard 6.3.2.D.5	PM 4.8.2.A (draft)	1	1 FOPPM 6 J Hines FTOCB R Mason May 09	1 DQM D. Woods Jan 10	2 MPPM 415.20	1 FAPPM B. Lee Jan 10	1 GOM T. Stuart Jul 10	1 ACM L. Edison Jul 10

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
9	Does the operator have a process and associated documentation that ensures that internal evaluations of operational processes and the SMS are conducted at planned intervals? <i>SMS Standard 6.3.3.A</i>	<i>IEPM 5.1</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
10	Does the operator have a process and associated documentation that ensures that planning of the internal evaluation program takes into account—								
10.1	Safety significance of the processes to be audited? <i>SMS Standard 6.3.3.B.1</i>	<i>IEPM 4.1</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
10.2	Results of previous audits? <i>SMS Standard 6.3.3.B.2</i>	<i>IEPM 4.1 &amp; 5.2.F</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11	Does the operator have a process and associated documentation that ensures that the evaluation program includes—								
11.1	Definition of the evaluation's—								
11.1.1	Criteria? <i>SMS Standard 6.3.3.C.1.a</i>	<i>IEPM 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.1.2	Scope? <i>SMS Standard 6.3.3.C.1.b</i>	<i>IEPM 4.6 &amp; 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.1.3	Frequency? <i>SMS Standard 6.3.3.C.1.c</i>	<i>IEPM 5.1</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.1.4	Methods? <i>SMS Standard 6.3.3.C.1.d</i>	<i>IEPM 4.6 &amp; 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.2	Processes used to select the auditors? <i>SMS Standard 6.3.3.C.2</i>	<i>IEPM 4.6 &amp; 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.3	A requirement that individuals shall not audit their own work? <i>SMS Standard 6.3.3.C.3</i>	<i>IEPM 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.4	Documented procedures, including—								
11.4.1	Responsibilities? <i>SMS Standard 6.3.3.C.4.a</i>	<i>IEPM 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.4.2	Requirements for—								
11.4.2.1	Planning audits? <i>SMS Standard 6.3.3.C.4.b.1</i>	<i>IEPM 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.4.2.2	Conducting audits? <i>SMS Standard 6.3.3.C.4.b.2</i>	<i>IEPM 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a
11.4.2.3	Reporting results?	<i>IEPM 5.2</i>	2	n/a	n/a	n/a	n/a	n/a	n/a

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
	<i>SMS Standard 6.3.3.C.4.b.3</i>								
11.4.2.4	Maintaining records? <i>SMS Standard 6.3.3.C.4.b.4</i>	IEPM 5.2	2	n/a	n/a	n/a	n/a	n/a	n/a
11.5	Audits of contractors and vendors? <i>SMS Standard 6.3.3.C.5</i>	IEPM 5.2	2	n/a	n/a	n/a	n/a	n/a	n/a
12	Does the operator have a process and associated documentation that ensures that the evaluation program is under the direction of the management official described in SMS Standard 4.5? <i>SMS Standard 6.3.3.D</i>	IEPM 2.1	2	n/a	n/a	n/a	n/a	n/a	n/a
13	Does the operator have a process and associated documentation that ensures that the evaluation program includes an evaluation of the internal audit programs conducted by line management of the operational departments? <i>SMS Standard 6.3.3.E</i>	IEPM 5.0	2	n/a	n/a	n/a	n/a	n/a	n/a
14	Does the operator have a process and associated documentation that ensures that the person or organization performing evaluations of an operational department is functionally independent of the department being evaluated? <i>SMS Standard 6.3.3.F</i>	IEPM 2.1	2	n/a	n/a	n/a	n/a	n/a	n/a
15	Does the operator have a process and associated documentation that ensure that it includes the results of oversight organization audits in the analyses conducted under SMS Standard 6.4? <i>SMS Standard 6.3.4</i>	IEPM 5.2.1.H	2	n/a	n/a	n/a	n/a	n/a	n/a
16	Does the operator have a process and associated documentation that ensures that it collects data on—								
16.1	Incidents? <i>SMS Standard 6.3.5.A.1</i>	SPPM Ch 4	2	2	2	2	2	2	2
16.2	Accidents? <i>SMS Standard 6.3.5.A.2</i>	SPPM Ch 4	2	2	2	2	2	2	2
17	Does the operator have a process and associated documentation that ensures that procedures are established to investigate—								
17.1	Accidents? <i>SMS Standard 6.3.5.B.1</i>	SPPM Ch 4	2	2	2	2	2	2	2

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
17.2	Incidents? <i>SMS Standard 6.3.5.B.2</i>	SPPM Ch 4	2	2	2	2	2	2	2
17.3	Instances of potential regulatory non-compliance? <i>SMS Standard 6.3.5.B.3</i>	RCM	2	2	2	2	2	2	2
18	Does the operator have a process and associated documentation that ensures that the organization establishes and maintains a confidential employee safety reporting and feedback system?  <i>SMS Standard 6.3.6.A</i>	<i>SPPM 3.5 (will be moved to SPPM 1.5) J Langley May 2009</i>	1	1 <i>FOPPM 5 J Hines May 09 SPPM 5 ASAP &amp; Safety Event Reportin g Sys (SER)</i>	2 <i>SPPM Ch 5 ASAP &amp; SER</i>	2 <i>SPPM Ch 5 ASAP &amp; SER</i>	2 <i>SPPM Ch 5 SER</i>	2 <i>GOM Page 1- 35 SER</i>	2 <i>ACM 2.1 SER</i>
19	Does the operator have a process and associated documentation that ensures that employees are encouraged to use the safety reporting and feedback system without reprisal?  <i>SMS Standard 6.3.6.B</i>	<i>PM 2.0 &amp; Safety Policy Poster (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09 SPPM 5, ASAP &amp; SER</i>	2 <i>SPPM Ch 5 ASAP &amp; SER</i>	2 <i>SPPM Ch 5 ASAP &amp; SER</i>	2 <i>SPPM Ch 5 SER</i>	2 <i>GOM Page 1- 35 SER</i>	2 <i>ACM 2.1 SER</i>
20	Does the operator have a process and associated documentation that ensures that data from the safety reporting and feedback system is monitored to identify emerging hazards?  <i>SMS Standard 6.3.6.C</i>	<i>SPPM Ch 3.5 and 5</i>	1	1 <i>FOPPM 5 J Hines May 09 SPPM Ch 5 DAG &amp; ERC</i>	2 <i>SPPM Ch 5 DAG &amp; ERC</i>	2 <i>SPPM Ch 5 DAG &amp; ERC</i>	2 <i>SPPM Ch 5 DAG</i>	2 <i>SPPM 3.5</i>	2 <i>SPPM 3.5</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
21	Does the operator have a process and associated documentation that ensures the <u>data collected</u> in the safety reporting and feedback system <u>is included in the analyses</u> conducted under SMS Standard 6.4?  <i>SMS Standard 6.3.6.D.</i>	<i>SPPM 3.3.4 &amp; 3.3.5 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09 SPPM Ch 5 DAG &amp; ERC</i>	2 <i>SPPM Ch 5 DAG &amp; ERC</i>	2 <i>SPPM Ch 5 DAG &amp; ERC</i>	2 <i>SPPM Ch 5 DAG</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
<b>8.3.2 Data Analysis and System Assessment</b>									
1	Does the operator have a process and associated documentation to ensure that it monitors its systems and operations to—								
1.1	Identify new hazards?  <i>SMS Standard 6.1.1</i>	<i>SPPM 3.3.4 (draft)</i>	1	1 <i>SPPM Ch 5 DAG, ASAP, FOQA FOPPM J Hines May 09</i>	2 <i>SPPM Ch 5 DAG, ASAP</i>	2 <i>MPPM-CASS Bd, SPPM-ASAP</i>	2 <i>SPPM Ch 5 DAG</i>	2 <i>SPPM 6.5 (SCAP) &amp; 6.6 (ISAP)</i>	2 <i>ACM 2-2-4</i>
1.2	Measure the effectiveness of safety risk controls?  <i>SMS Standard 6.1.2</i>	<i>SPPM 3.3.4 (draft)</i>	1	1 <i>AQP SPPM-ASAP/ FOQA FOPPM J Hines May 09</i>	2 <i>DQM SPPM ASAP</i>	2 <i>MPPM-CASS RAPM ASAP</i>	2 <i>InFight Stds Guide</i>	2 <i>SPPM 6.5 (SCAP) &amp; 6.6 (ISAP)</i>	2 <i>ACM 2.2.4</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
1.3	Ensure compliance with regulatory requirements?  <i>SMS Standard 6.1.3</i>	<i>SPPM 3.3.4 (draft)</i>	1	1 <i>AQP/ SOA/ Ck Amn FOPPM/ FTOCB R Mason May 09</i>	2 <i>DQM</i>	2 <i>MPPM-- CASS</i>	2 <i>InFlight Stds Guide</i>	2 <i>SPPM 6.5 (SCAP) &amp; 6.6 (ISAP)</i>	2 <i>ACM 2.2.4</i>
2	Does the operator have a process and associated documentation to ensure that it includes <u>results of oversight organization audits</u> in its data analysis?  <i>SMS Standard 6.3.4.A</i>	<i>Expand SPPM 3.3.4 to include Std 6.3.4.A J Langley May 09</i>	1	1	1	1	1	1	1
3	Does the operator have a process and associated documentation to ensure that it includes <u>data collected in its safety reporting and feedback system in its data analysis?</u>  <i>SMS Standard 6.3.6.D</i>	<i>SPPM 3.3.4 &amp; 3.3.5 (draft)</i>	1	1 <i>FOPPM Chap 5 SPPM FDAG, ASAP, FOQA, PPDB J Hines May 09</i>	2 <i>FOPPM 3.2.1 &amp; SPPM FDAG</i>	2 <i>MPPM- CASS RAPM</i>	2 <i>SPPM- CDAG</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
4	Does the operator have a process and associated documentation to ensure that it analyzes the data that it collects to demonstrate the effectiveness of—								
4.1	Risk controls in the organization's operational processes?  <i>SMS Standard 6.4.A.1</i>	<i>SPPM 3.3.4 &amp; 3.3.5 (draft)</i>	1	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	2 <i>FOPPM 3.2.1 &amp; SPPM FDAG</i>	2 <i>MPPM- CASS RAPM- RCB SPPM- ASAP</i>	2 <i>SPPM- CDAG</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>



Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
4.2	The organization's SMS?  <i>SMS Standard 6.4.A.2</i>	<i>SPPM 3.3.5.A (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>MPPM-CASS, RAPM-RCB, SPPM-ASAP G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
5	Does the operator have a process and associated documentation to ensure that it analyzes the data that it collects to evaluate where improvements can be made in the organization's—								
5.1	Operational processes?  <i>SMS Standard 6.4.B.1</i>	<i>SPPM 3.3.5.A (draft)</i>	1	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	2 <i>FOPPM 3.2.1 &amp; SPPM FDAG</i>	2 <i>MPPM-CASS RAPM SPPM-ASAP</i>	2 <i>SPPM-Event Reporting-CDAG</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
5.2	SMS?  <i>SMS Standard 6.4.B.2</i>	<i>SPPM 3.3.5.A (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>MPPM-CASS, RAPM-RCB, SPPM-ASAP G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
6	Does the operator have a process and associated documentation to ensure that it assesses the performance of the—								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
6.1	Safety-related functions of operational processes against their requirements?  <i>SMS Standard 6.5.A.1</i>	<i>SPPM 3.3.6.A (draft)</i>	1	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	2 <i>FOPPM 3.2.1 &amp; SPPM FDAG</i>	2 <i>MPPM-CASS RAPM SPPM-ASAP</i>	2 <i>SPPM-Event Reporting-CDAG</i>	2 <i>SPPM-SCAP</i>	2 <i>ACM</i>
6.2	SMS against its requirements?  <i>SMS Standard 6.5.A.2</i>	<i>SPPM 3.3.6.A (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>MPPM-CASS, RAPM-RCB, SPPM-ASAP G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
7	Does the operator have a process and associated documentation to ensure that <u>system assessments</u> result in a finding of—								
7.1	Conformity or nonconformity with existing safety risk controls and/or SMS requirements, including regulatory requirements?  <i>SMS Standard 6.5.B.1 &amp; 2</i>	<i>SPPM 3.3.6.B (draft)</i>	1	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	1 <i>MPPM-CASS, RAPM-RCB, SPPM-ASAP G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
7.2	New hazards found?  <i>SMS Standard 6.5.B.3</i>	<i>SPPM 3.3.6.C (draft)</i>	1	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	1 <i>FOPPM 5 &amp; SPPM FDAG, ASAP, FOQA J Hines May 09</i>	1 <i>MPPM-CASS, RAPM-RCB, SPPM-ASAP G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
8	Does the operator have a process and associated documentation to ensure that it <u>uses the safety risk management process</u> if the assessment indicates the—								
8.1	Identification of new hazards?  <i>SMS Standard 6.5.C.1</i>	<i>SPPM 3.3.6.C (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
8.2	Need for system changes?  <i>SMS Standard 6.5.C.2</i>	<i>SPPM 3.3.6.C (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
9	Does the operator have a process and associated documentation to ensure that it maintains records of assessments in accordance with the requirements of Clause 4.9?  <i>SMS Standard 6.5.D</i>	<i>PM 4.5.1.A &amp; SPPM 3.3.6.D (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
10	Does the operator have a process and associated documentation to ensure that top management conducts regular reviews of the SMS, including—								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
10.1	The outputs of safety risk management?  <i>SMS Standard 6.7.A.1</i>	<i>Add requirement to Safety Council policy and procedure found SPPM 3.10 (old) or 1.9 (new) J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
10.2	The outputs of safety assurance?  <i>SMS Standard 6.7.A.2</i>	<i>Add requirement to Safety Council policy and procedure found SPPM 3.10 (old) or 1.9 (new) J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
10.3	Lessons learned?  <i>SMS Standard 6.7.A.3</i>	<i>Add to Safety Council policy and procedure found SPPM 3.10 (old) or 1.9 (new) J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
11	Does the operator have a process and associated documentation to ensure that top management's reviews of the SMS include assessing the need for changes to the operator's—								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
11.1	Operational processes?  <i>SMS Standard 6.7.B.1</i>	<i>Add requirement to Safety Council policy and procedure found SPPM 3.10 (old) or 1.9 (new) J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
11.2	SMS?  <i>SMS Standard 6.7.B.2</i>	<i>Add requirement to Safety Council policy and procedure found SPPM 3.10 (old) or 1.9 (new) J Langley May 09</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
12	Does the operator have a process and associated documentation to ensure that it develops safety lessons learned?  <i>SMS Standard 7.5.A</i>	<i>PM 3.2.2.E.1 (draft), SPPM 3.10 (old) or 1.9 (new), 5.1.1, 5.2.2, 5.2.7 all</i>	1	1	1	1	1	1	1
13	Does the operator have a process and associated documentation to ensure that safety lessons learned are used to promote continuous improvement of safety?  <i>SMS Standard 7.5.B</i>	<i>PM 3.2.3.E.1 (draft) &amp; SPPM 5.2.7 all</i>	1	1	1	1	1	1	1
14	Does the operator have a process and associated documentation to ensure that safety lessons learned are communicated to all personnel?	<i>PM 3.2.3.E.1 (draft) &amp; SPPM 5.2.7 all</i>	1	1 <i>FOPPM 10 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
	<i>SMS Standard 7.5.C</i>								
	<b>8.3.3 Corrective and Preventive Action</b>								
1	Does the operator have a process and associated documentation to ensure that the operator develops, prioritizes, and implements, as appropriate, the following:								
1.1	Corrective actions for identified nonconformities with risk controls?	<i>SPPM 3.3.7 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
	<i>SMS Standard 6.6.A.1</i>								
1.2	Preventive actions for identified potential nonconformities with risk controls?	<i>SPPM 3.3.7 (draft)</i>	1	1 <i>FOPPM 5 J Hines May 09</i>	1	1	1	1	1
	<i>SMS Standard 6.6.A.2</i>								
2	Does the operator have a process and associated documentation to ensure that the operator considers safety lessons learned in the development of—								
2.1	Corrective actions?	<i>SPPM 3.3.7.B (draft)</i>	1	1 <i>FOPPM 6 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
	<i>SMS Standard 6.6.B.1</i>								
2.2	Preventive actions?	<i>SPPM 3.3.7.B (draft)</i>	1	1 <i>FOPPM 6 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
	<i>SMS Standard 6.6.B.2</i>								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
3	Does the operator have a process and associated documentation to ensure that it takes the necessary corrective action based on the findings of investigations?  <i>SMS Standard 6.6.C</i>	<i>SPPM 3.3.7.B (draft) &amp; expand Ch 4 to include requirement J Langley May 2009</i>	1	1	1	1	1	1	1
4	Does the operator have a process and associated documentation to ensure that it prioritizes and implements corrective actions in a timely manner?  <i>SMS Standard 6.6.D</i>	<i>SPPM 3.3.7.B (draft)</i>	1	1 <i>FOPPM 6 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
5	Does the operator have a process and associated documentation to ensure that it prioritizes and implements preventive actions in a timely manner?  <i>SMS Standard 6.6.E</i>	<i>SPPM 3.3.7.B (draft)</i>	1	1 <i>FOPPM 6 J Hines May 09</i>	1 <i>DOM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
6	Does the operator have a process and associated documentation to ensure that it keeps records of the disposition and status of corrective and preventive actions according to established record retention policy?  <i>SMS Standard 6.6.F</i>	<i>PM 4.5.1.A &amp; SPPM 3.3.7.D (draft)</i>	1	1 <i>FOPPM SPPM 4.6 J Hines May 09</i>	1 <i>DQM D. Woods Jan 10</i>	1 <i>MPPM G. Grant Apr 11</i>	1 <i>FAPPM B. Lee Jan 10</i>	1 <i>GOM T. Stuart Jul 10</i>	1 <i>ACM L. Edison Jul 10</i>
<b>8.4.1 Communication and Awareness</b>									
1	Does the operator have a process and associated documentation to ensure that it <u>communicates outputs of the SMS</u> to its employees, as appropriate?  <i>SMS Standard 7.2.A</i>	<i>PM 3.2.3.E.2.b (draft) &amp; PM 4.2</i>	1	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.8</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 5.2.7</i>

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
2	Does the operator have a process and associated documentation to ensure that it provides access to the outputs of the SMS to its oversight organization in accordance with established agreements and disclosure programs?  <i>SMS Standard 7.2.B</i>	<i>SPPM Ch 5 &amp; 6 &amp; Regulatory Compliance Manual (RCM)</i>	2	2 <i>SPPM 5.3.3. FOPPM 6.9 ASAP MOU</i>	2 <i>SPPM 5.3.3.D DOM ASAP MOU</i>	2 <i>MPPM 415.20 ASAP</i>	2 <i>SPPM 5.4.5 CDAG</i>	2 <i>RCM</i>	2 <i>RCM</i>
3	Does the operator have a process and associated documentation to ensure that it develops safety lessons learned?  <i>SMS Standard 7.5.A</i>	<i>3.2.3.E.2.I (draft)</i>	1	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.11</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.11</i>	2 <i>SPPM 6.11</i>
4	Does the operator have a process and associated documentation to ensure that safety lessons learned are used to promote continuous improvement of safety?  <i>SMS Standard 7.5.B</i>	<i>PM 4.8.1.E &amp; SPPM 3.3.7.B (draft)</i>	1	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.11</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.11</i>	2 <i>SPPM 6.11</i>
5	Does the operator have a process and associated documentation to ensure that safety lessons learned are communicated to all personnel?  <i>SMS Standard 7.5.C</i>	<i>3.2.3.E.2.I (draft)</i>	1	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.11</i>	2 <i>SPPM 5.2.7</i>	2 <i>SPPM 6.11</i>	2 <i>SPPM 6.11</i>
<b>8.4.2 Personnel Qualifications and Training</b>									
1	Does the operator have a process and associated documentation to ensure that it documents the competency requirements for the safety-related positions identified in SMS Standard 4.5.D?  <i>SMS Standard 7.3.A</i>	<i>PM 4.8.1.D (draft) and SPPM 3.4 (all) (draft)</i>	1	1 <i>FOPPM Ch 2 &amp; 3 J Hines May 09</i>	1 <i>DOM 1.3 D. Woods Oct 09</i>	1 <i>MPPM 270.10 G. Grant Oct 10</i>	1 <i>FAPPM 1.7 B. Lee Oct 09</i>	1 <i>GOM T. Stuart Apr 10</i>	1 <i>ACM L. Edison Apr 10</i>
2	Does the operator have a process and associated documentation to ensure that the personnel in the safety-related positions identified in SMS Standard 4.5.D meet the documented competency requirements?  <i>SMS Standard 7.3.B</i>	<i>PM 4.8.1.D (draft)</i>	1	1 <i>FOPPM Ch 2 &amp; 3 J Hines May 09</i>	1 <i>DOM 1.3 D. Woods Oct 09</i>	1 <i>MPPM 270.10 G. Grant Oct 10</i>	1 <i>FAPPM 1.7 B. Lee Oct 09</i>	1 <i>GOM T. Stuart Apr 10</i>	1 <i>ACM L. Edison Apr 10</i>



Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
3	Does the operator have a process and associated documentation to ensure that it develops training for the personnel in the safety-related positions identified in SMS Standard 4.5.D that includes—								
3.1	Initial training?  <i>SMS Standard 7.4.1.a</i>	<i>PM 4.8.1.D (draft) &amp; SPPM 3.4 (draft)</i>	1	1 <i>FOPPM J Hines May 09</i>	1 <i>DTM D. Woods Oct 09</i>	1 <i>MPPM G. Grant Oct 10</i>	1 <i>FATM B. Lee Oct 09</i>	1 <i>STM S. Meeks Apr 10</i>	1 <i>STM S. Meeks Apr 10</i>
3.2	Recurrent training?  <i>SMS Standard 7.4.1.b</i>	<i>PM 4.8.1.D (draft) &amp; SPPM 3.4 (draft)</i>	1	1 <i>FOPPM &amp; J Hines May 09</i>	1 <i>DTM D. Woods Oct 09</i>	1 <i>MPPM G. Grant Oct 10</i>	1 <i>FATM B. Lee Oct 09</i>	1 <i>STM S. Meeks Apr 10</i>	1 <i>STM S. Meeks Apr 10</i>
4	Does the operator have a process and associated documentation to ensure that personnel in the safety-related positions identified in SMS Standard 4.5.D receive training commensurate with their—								
4.1	Level of responsibility?  <i>SMS Standard 7.4.2.a</i>	<i>PM 4.8.1.D (draft) &amp; SPPM 3.4 (draft)</i>	1	1 <i>FOPPM 2 &amp; 3 J Hines May 09</i>	1 <i>DTM D. Woods Oct 09</i>	1 <i>MPPM G. Grant Oct 10</i>	1 <i>FATM B. Lee Oct 09</i>	1 <i>STM S. Meeks Apr 10</i>	1 <i>STM S. Meeks Apr 10</i>
4.2	Impact on the safety of the organization's product or service?  <i>SMS Standard 7.4.2.b</i>	<i>PM 4.8.1.D (draft) &amp; SPPM 3.4 (draft)</i>	1	1 <i>FOPPM 2 &amp; 3 J Hines May 09</i>	1 <i>DTM D. Woods Oct 09</i>	1 <i>MPPM G. Grant Oct 10</i>	1 <i>FATM B. Lee Oct 09</i>	1 <i>STM S. Meeks Apr 10</i>	1 <i>STM S. Meeks Apr 10</i>
5	Does the operator have a process and associated documentation to ensure that it maintains training currency by periodically—								

Participant #1		Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question									
5.1	Reviewing the training?  <i>SMS Standard 7.4.3.a</i>	<i>PM 4.8.1.E (draft) &amp; SPPM 3.4 (draft)</i>	1	1 <i>FOPPM J Hines May 09</i>	1 <i>DTM D. Woods Oct 09</i>	1 <i>MPPM 412.12 G Grant Apr 11</i>	1 <i>FATM B. Lee Oct 09</i>	1 <i>STM S. Meeks Apr 10</i>	2 <i>ACM 12.1</i>
5.2	Updating the training?  <i>SMS Standard 7.4.3.b</i>	<i>PM 4.8.1.E (draft) SPPM 3.4 (draft)</i>	1	1 <i>FOPPM J Hines May 09</i>	1 <i>DTM D. Woods Oct 09</i>	1 <i>MPPM 412.12 G Grant Apr 11</i>	1 <i>FATM B. Lee Oct 09</i>	1 <i>STM S. Meeks Apr 10</i>	2 <i>ACM 12.1</i>

Assessment Scale								
Word Picture	Score	Score	Score	Score	Score	Score	Score	Score
No action has been taken on this requirement of the standard.	0	0	0	0	0	0	0	0
A plan exists with resources and schedule identified to meet this requirement of the standard.	1	1	1	1	1	1	1	1
Identifiable actions have satisfied this requirement of the standard. These actions have been observed in policies, procedures, organizational actions, and employee actions.	2	2	2	2	2	2	2	2
This requirement of the standard has been integrated with other SMS functions within the organization.	3	3	3	3	3	3	3	3

Participant #1	Corporate Documentation Source	Overall Score	FLT	DSP	MNT	CAB	GND	CGO
Question	This requirement of the standard has been integrated with other SMS functions within the organization. Additionally, this requirement has been subjected to at least one prior round of evaluation/auditing and there is evidence they have been sustained over time. Further, there are no identifiable reasons suggesting that continued sustainment will not occur.	4	4	4	4	4	4	4
	Conformance with this requirement of the standard is considered state of the art; they could be used as a benchmark for other organizations to use.	5	5	5	5	5	5	5