

CHECKLIST TO SMS IMPLEMENTATION

Meeting SMS requirements requires more than documentation, it demands a systematic approach. This implementation checklist outlines the core components necessary to develop, deploy, and sustain a compliant and effective Safety Management System.

Use this checklist to ensure nothing is overlooked as you progress toward full implementation and operational readiness.



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STEP 1	Implemented Yes / No / Partial / N/A	Notes	Reference	Date Implemented	Using Baldwin Software
14 CFR 5.25 (a) Designate the SMS accountable executive					✓ Documents - SMS Manual
(b) Define accountable executive responsibilities					
(c) Designate SMS management personnel *					
14 CFR 5.91 Establish initial high-level SMS training for all employees involved in SMS					✓ Bulletins** ✓ Status Board**
14 CFR 5.93 * Develop a SMS system for communicating					✓ Documentation - SMS Manual ✓ Discussion Board** ✓ Bulletins** ✓ Safety News ✓ Task Management
(a) SMS policies, process, and relevant tools					
(b) Hazard information					
(c) Reasons for safety actions					
(d) Explanation of introductions or changes to safety procedures					

*Does NOT apply to Single-Pilot Operations. **Included in Advanced package, optional add-on for LITE.

STEP 2	Implemented Yes / No / Partial / N/A	Notes	Reference	Date Implemented	Using Baldwin Software
14 CFR 5.21 (a) Establish the safety policy and objectives					✓ Quick Risk Safety Profile (QRSP)
(b) Accountable executive signs the safety policy					✓ Documents - SMS Manual
(c) Document and communicate the Safety Policy throughout the organization *					
(d) Accountable executive reviews safety policy regularly					
14 CFR 5.23 (a) Define SMS responsibilities for accountable executive, management, and all employees involved in SMS					✓ Documents - SMS Manual ✓ Users
(b) Identify management's SMS authorities *					
14 CFR 5.95 Develop and maintain SMS documentation that describes: (a) Safety policy					✓ Documents - SMS Manual
(b) SMS processes and procedures					
14 CFR 5.27 Develop an emergency response plan to include: (a) Delegation of emergency authority *					✓ Documents - ERP Manuals ✓ ER Alert
(b) Assignment of responsible emergency employees *					
(c) Coordination of other organizations' interfacing emergency response plans.					

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STEP 3	Implemented Yes / No / Partial / N/A	Notes	Reference	Date Implemented	Using Baldwin Software
14 CFR 5.51 Develop a Safety Risk management process to include: (a) Implementation of the new system					✓ Documents - SMS Manual ✓ Safety Report Form Change
(b) Revision of existing systems					✓ Change Management Form
(c) Development of operational procedures					✓ Hazards Module
(d) Identification of hazards or ineffective risk controls					
14 CFR 5.53 (a) Analyze safety risk management system used to identify hazards					✓ Hazards Module
(b) Conduct system analysis					
(c) Develop and maintain processes to identify hazards					
14 CFR 5.55 (a) Develop and maintain a process to analyze safety risk associated with identified hazards					✓ Hazards Module ✓ Risk Assessment Forms
(b) Define a process to conduct risk assessments and determination of acceptable safety risk					
(c) Develop and maintain a process to develop safety risk controls resulting from safety risk assessments					
(d) Evaluate proposed safety risk control for acceptability before safety risk control is applied					
14 CFR 5.57 (a) Identify hazards in the operating environment					✓ Change Management Form
(b) Notify interfacing persons of identified hazards that could be addressed or mitigated by them					✓ ER Alert ✓ External Links**
(c) Define interfacing persons as those contributing to the safety of the certificate or Letter of Authorization holder's aviation-related products and services					✓ Hazards Module ✓ Safety Report Form

**Included in Advanced package, optional add-on for LITE.

STEP 4	Implemented Yes / No / Partial / N/A	Notes	Reference	Date Implemented	Using Baldwin Software
14 CFR 5.71 (a) Develop and maintain processes and systems to acquire data to monitor safety performance					<input checked="" type="checkbox"/> Safety Performance Monitoring
(b) Develop and maintain processes that analyze the data acquired through the previously identified processes					
14 CFR 5.73 (a) Conduct safety performance assessments against safety objectives					<input checked="" type="checkbox"/> Quick Risk Safety Profile (QRSP) <input checked="" type="checkbox"/> Visualizations
(b) Upon assessment completion, identify ineffective controls or new hazards using safety risk management process					<input checked="" type="checkbox"/> Accident Prevention Effort (APE)**
14 CFR 5.75 Establish and implement processes to correct safety performance deficiencies					<input checked="" type="checkbox"/> Audit Manager** <input checked="" type="checkbox"/> Baldwin IEP <input checked="" type="checkbox"/> Safety Performance Monitoring
14 CFR 5.91 SMS training for all employees involved in SMS to attain and maintain competencies					<input checked="" type="checkbox"/> Bulletins** <input checked="" type="checkbox"/> Status Board**
14 CFR 5.97 (a) Maintain records of safety risk management outputs					<input checked="" type="checkbox"/> Documents - SMS Manual <input checked="" type="checkbox"/> Hazards Module
(b) Maintain records of safety assurance process outputs					<input checked="" type="checkbox"/> Safety Performance Monitoring
(c) Maintain records of all SMS training					<input checked="" type="checkbox"/> Audit Manager** <input checked="" type="checkbox"/> Status Board**
(d) Retain records of all SMS communications *					<input checked="" type="checkbox"/> Bulletins** <input checked="" type="checkbox"/> Discussion Board**

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