Section/division Consistency and Standardisation Form Number: CA 140-02

SAFETY MANAGEMENT SYSTEM GAP ANALYSIS

SAFETY MANAGEMENT SYSTEM GAP ANALYSIS TEMPLATE

Component 1 – Safety Policy and Objectives

Element 1.1 – Management Commitment and Responsibility

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
	-1 Is there a safety policy in place?	Yes					
1.1-1		No					
		Partially					
	Does the safety policy reflect senior management's commitment	Yes					
1.1-2	Does the safety policy reflect senior management's commitment regarding safety management?	No					
		Partially					
	le the cafety policy appropriate to the circ pature and complexity of the	Yes					
1.1-3	Is the safety policy appropriate to the size, nature and complexity of the organisation?	No					
		Partially					
		Yes					
1.1-4	Is the safety policy relevant to aviation safety?	No					
		Partially					
		Yes					
1.1-5	Has the safety policy been signed by the accountable executive?	No					
		Partially					
		Yes					
1.1-6	Has the safety policy been communicated, with visible endorsement,	No					
5	throughout the organisation?	Partially					
		Yes					

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No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
	le the pafety policy being periodically reviewed to angure that it remains	No					
1.1-7	Is the safety policy being periodically reviewed to ensure that it remains relevant and appropriate to the organisation?	Partially					
	Toovant and appropriate to the organication.	Yes					
	Elem	ent 1.2 – Sat	fety Account	abilities			
1.2-1	Has [organisation] identified an accountable executive, irrespective of other functions, who shall have ultimate responsibility and accountability, on behalf of [organisation], for the implementation and	Yes					
1.2-1		No					
	maintenance of SMS?	Partially					
	Does the accountable executive have full control of the financial and	Yes					
1.2-2	human resources required for the operations authorised to be	No					
	conducted under the operations certificate?	Partially					
	Does the accountable executive have final authority over all aviation	Yes					
1.2-3	activities of his organisation?	No					
	, and the second	Partially					
	Has [organisation] identified and documented safety accountabilities of	Yes					
1.2-4	management as well as operational personnel, with respect to the	No					
	SMS?	Partially					
	Is there a safety committee or review board for the purpose of reviewing	Yes					
1.2-5	SMS and safety performance?	No					
	, ,	Partially					
	Is the safety committee or review board being chaired by the	Yes					
1.2-6	accountable executive or by an appropriately assigned deputy, duly	No					
	substantiated in the SMS manual?	Partially					
	Does the safety committee include relevant operational or departmental	Yes					
1.2-7	heads, as applicable?	No					
	, 10 of the second seco	Partially					
	Are there safety action groups that work in conjunction with the safety	Yes					
1.2-8	committee (especially for large/complex organisations)?	No					
	committee (especially for large/complex organisations):	Partially					

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No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
	1.3 Ap	pointment of	Key Safety	Personnel			
	Has [organisation] appointed qualified person to manage and oversee	Yes					
1.3-1	the day-to-day operations of SMS?	No					
	, . ,	Partially					
	Does the qualified person have a direct access or reporting to the	Yes					
1.3-2	accountable executive concerning the implementation and operation of	No					
	SMS?	Partially					
	Door the management is a few administrative the CMC hold other	Yes					
1.3-3	Does the manager responsible for administering the SMS hold other responsibilities that may conflict or impair his role as SMS manager?	No					
	responsibilities that may confine of impair his fole as own manager:	Partial					
	le the CMC manager's position as conjer management not lower or	Yes					
1.3-4	Is the SMS manager's position as senior management not lower or subservient to other operational or production positions?	No					
	Cases very to care operational of production positions.	Partially					
	1.4 Coordin	ation of Eme	ergency Resp	onse Planning			
	Does [organisation] have an emergency response/contingency plan	Yes					
1.4-1	appropriate to the size, nature and complexity of the organisation?	No					
	appropriate to the oles, matter and somplethly or the original and	Partially					
	Does the emergency/contingency plan address all possible or likely	Yes					
1.4-2	emergencies/crisis scenarios relating to the organisation's aviation	No					
	product or service deliveries?	Partially					
	Does the ERP include procedures for the continuing safety production,	Yes					
1.4-3	delivery or support of its aviation products or services during such	No					
	emergencies or contingencies?	Partially					
	Is there a plan and record for drills or exercises with respect to the	Yes					
1.4-4	ERP?	No					
		Partially					

No	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
		Yes					
1.4-5		No					
	contingency procedures of other organisations where applicable?	Partially					
	Doos [organication] have a process to distribute and communicate the	Yes					
1.4-6	Does [organisation] have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organisations?	No					
		Partially					
	la thara a procedure for periodic review of the EDD to encure its	Yes					
1.4-7	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?	No					
		Partially					
	Ele	ment 1.5 – S	MS Docume	ntation			
	Is there a top-level SMS document or exposition document which is	Yes					
1.5-1	approved by the accountable manager and accepted by the CAA?	No					
	approved by the description of t	Partially					
	Describe CMC described address the consciention's CMC and its	Yes					
1.5-2	Does the SMS documentation address the organisation's SMS and its associated components and elements?	No					
		Partially					
	Is [organisation] SMS framework in alignment with the regulatory SMS	Yes					
1.5-3	framework?	No					
		Partially					
	Does [organisation] maintain a record of relevant supporting	Yes					
1.5-4	documentation pertinent to the implementation and operation of SMS?	No					
	, , , , , , , , , , , , , , , , , , , ,	Partially					
	Does [organisation] have an SMS implementation plan to establish its	Yes					
1.5-5	SMS implementation process, including specific tasks and their relevant	No]			
	implementation milestones?	Partially					

No	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required			
	Does the SMS implementation plan address the coordination between	Yes								
1.5-6	service provider's SMS and the SMS of external organisations, where	No		1						
	applicable?	Partially								
	Has the SMS implementation plan been endorsed by the accountable	Yes								
1.5-7	executive?	No								
	oxedure.	Partially								
	Component 2 – Safety Risk Management									
	Ele	ment 2.1 – H	azard Identif	ication						
	Is there a process for the reporting of voluntary hazards/threats by all	Yes								
2.1-1	employees?	No								
	3	Partially								
	Is the process of reporting voluntary hazards/threats simple, available to all personnel involved in safety-related duties and commensurate with the size of the service provider?	Yes								
2.1-2		No								
		Partially								
	Deep Jargeniantian CDCDC include presedure for incident/accident	Yes								
2.1-3	Does [organisation] SDCPS include procedure for incident/accident reporting by operational or production personnel?	No		1						
	reporting by epotential at production personner.	Partially								
	Is the accident/incident reporting simple, accessible to all personnel	Yes								
2.1-4	involved in safety-related duties and commensurate with the size of the	No		1						
	service provider?	Partially								
	Does [organisation] have procedures for investigation of all reported	Yes								
2.1-5	incidents/accidents?	No		1						
		Partially								
	Are there procedures to ensure that hazards/threats identified or	Yes								
2.1-6	uncovered during incident/accident investigation processes are appropriately accounted for and integrated into the organisation's	No								
	hazard collection and risk mitigation procedure?	Partially]						
		Yes								
2.1-7	Are there procedures to review hazards/threats from relevant industry reports, for follow-up actions or risk evaluation where applicable?	No		1						
	Topolio, for follow-up doubtle of flor ovalidation whole applicable:	Partially		1						

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No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required			
	Element 2.2 – Safety Risk Assessment and Mitigation									
	La the control of the	Yes								
2.2-1	Is there a documented hazard identification and risk mitigation (HIRM) procedure involving the use of objective risk analysis tools?	No								
	procedure involving the doc of objective flor analysis tools:	Partially								
	Are the risk assessment reports approved by departmental managers or	Yes								
2.2-2	at a higher level, where applicable?	No								
		Partially								
	Is there a procedure for periodic review of existing risk mitigation	Yes								
2.2-3	records?	No								
		Partially								
	le there a procedure to account for mitigation actions whenever	Yes								
2.2-4	Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?	No								
	anacceptable her terrore are tachtined.	Partially								
	Is there a procedure to prioritize identified hazards for risk mitigation	Yes								
2.2-5	actions?	No								
	double.	Partially								
	Is there a programme for systematic and progressive review of all	Yes								
2.2-6	aviation safety-related operations, processes, facilities and equipment,	No								
	subject to the HIRM process as identified by the organisation?									
	Co	mponent 3 -	Safety Assu	rance						
	Element 3.1 – Safe	ety Performa	nce Monitori	ng and Measurement						
	Are there identified safety performance indicators for measuring and	Yes								
3.1-1		No								
		Partially								
	Are the safety performance indicators relevant to the organisation's	Yes								
3.1-2	safety policy as well as management's high-level safety	No								
	objectives/goals?	Partially								

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
	Do the safety performance indicators include alert/target settings to	Yes					
3.1-3	define unacceptable performance regions and planned improvement	No					
	goals?	Partially					
	Is the setting of alerts or out-of-control criteria based on objective safety	Yes					
3.1-4	metrics principles?	No					
	metrics principles:	Partially					
	Do the safety performance indicators include quantitative monitoring of	Yes					
3.1-5	high-consequence safety outcomes (e.g. accident and incident rates)j as well as lower-consequence events (e.g.) rate of non-compliance,	No					
	deviations?	Partially					
	Are safety performance indicators and their associated performance	Yes					
3.1-6	settings developed in consultation with, and subject to, the Civil Aviation	No					
	Authority's agreement?	Partially					
	Is there a procedure for corrective or follow-up action to be taken when	Yes					
3.1-7	targets are not achieved and alert levels are exceeded/breached?	No					
		Partially					
		Yes					
3.1-8	Are the safety performance indicators being periodically reviewed?	No					
		Partially					
	Elemer	nt 3.2 – the N	lanagement o	of Change			
	Is there a procedure for the review of relevant existing aviation safety-	Yes					
3.2-1	related facilities and equipment (including HIRM records) whenever	No					
	there are pertinent changes to those facilities or equipment?	Partially					
	Is there a procedure for review of relevant existing aviation safety-	Yes					
3.2-2	related operations and processes (including any HIRM records) whenever there are pertinent changes to these operations or	No					
	processes?	Partially					
	la thora a proceedure for review of new eviction perfets related annualization	Yes					
3.2-3	Is there a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are commissioned?	No					
	and processed for mazaras/mine service and and animine model	Partially					

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
	Is there a procedure for the review of relevant existing facilities,	Yes		•			
3.2-4	equipment, operations or processes (including HIRM records) whenever there are pertinent changes external to the organisation such as regulatory/industry standards, best practices or technology?	No					
		Partially					
	Element 3	.3 – Continu	ous Improvei	ment of SMS			
		Yes					
3.3-1	Is there a procedure for periodic internal audit/assessment of the SMS?	No					
		Partially					
		Yes					
3.3-2	Is there a current internal SMS audit/assessment plan?	No					
		Partially					
	Dogg the CMC guidt plan include the compling of complete dispirities	Yes					
3.3-3	Does the SMS audit plan include the sampling of completed/existing safety risk assessments?	No					
	called non-accountance.	Partially					
	Door the CMC quality plan include the compliant of pefety menformance	Yes					
3.3-4	Does the SMS audit plan include the sampling of safety performance indicators for data currency and their target/alert settings performance?	No					
	malaction for data currency and their target and to catalige performance.	Partially					
	Deep the CMC guidit plan equar the CMC interface with subcentractors or	Yes					
3.3-5	Does the SMS audit plan cover the SMS interface with subcontractors or customers where applicable?	No					
	Castomere unore approadie.	Partially					
	la thora a process for CMC quality assessment reports to be submitted as	Yes					
3.3-6	Is there a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention where appropriate?	No					
	mgmgmod for the accountable manager of attention miles appropriate.	Partially					
	Co	mponent 4 -	- Safety Prom	otion			
	Elem	ent 4.1 – Tra	ining and Ed	ucation			
	le there a programme to provide SMS training/familiarization to	Yes					
4.1-1	Is there a programme to provide SMS training/familiarisation to personnel involved in the implementation or operation of the SMS?	No					
	,	Partially					

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
	Lies the associated associative understand convenients CMC	Yes					
4.1-2	Has the accountable executive undergone appropriate SMS familiarisation, briefing or training?	No					
	tanimandation, proming or taniming.	Partially					
	Are personnel involved in conducting risk mitigation provided with	Yes					
4.1-3	appropriate risk management training/familiarisation?	No					
	appropriate new management training rammaneation.	Partially					
	le there evidence of expeniestion wide CMC education or averages	Yes					
4.1-4	Is there evidence of organisation-wide SMS education or awareness efforts?	No					
	onore.	Partially					
	Elen	ment 4.2 – Saf	ety Commun	ication			
	Does [organisation] participate in sharing safety information with	Yes					
4.2-1	relevant external industry product and service providers or	No					
	organisations, including the relevant aviation regulatory organisations?	Partially					
	le there evidence of a cofety (CMC) publication sireular or channel for	Yes					
4.2-2	Is there evidence of a safety (SMS) publication, circular or channel for communicating safety information (SMS) matters to employees?	No					
	Communicating salety information (cine) matters to employees.	Partially					
	la [arganiantian] CMC manual and related guidance material accessible	Yes					
4.2-3	Is [organisation] SMS manual and related guidance material accessible or disseminated to all relevant personnel?	No					
	- C. G. S.	Partially					

APPROVAL BY:

SIGNATURE OF PERSON RESPONSIBLE FOR SAFETY MANAGEMENT SYSTEM	NAME IN BLOCK LETTERS	DATE
SIGNATURE OF ACCOUNTABLE EXECUTIVE	NAME IN BLOCK LETTERS	DATE

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