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
1.1-1	Is there a safety policy in place?	Yes					
		No					
		Partially					
1.1-2	Does the safety policy reflect senior management's commitment regarding safety management?	Yes					
		No					
		Partially					
1.1-3	Is the safety policy appropriate to the size, nature and complexity of the organisation?	Yes					
		No					
		Partially					
1.1-4	Is the safety policy relevant to aviation safety?	Yes					
		No					
		Partially					
1.1-5	Has the safety policy been signed by the accountable executive?	Yes					
		No					
		Partially					
1.1-6	Has the safety policy been communicated, with visible endorsement, throughout the organisation?	Yes					
		No					
		Partially					
		Yes					

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
1.1-7	Is the safety policy being periodically reviewed to ensure that it remains relevant and appropriate to the organisation?	No					
		Partially					
		Yes					
Element 1.2 – Safety Accountabilities							

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
Element 1.2 – Safety Accountabilities							
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 maintenance of SMS?	Yes					
		No					
		Partially					
1.2-2	Does the accountable executive have full control of the financial and human resources required for the operations authorised to be conducted under the operations certificate?	Yes					
		No					
		Partially					
1.2-3	Does the accountable executive have final authority over all aviation activities of his organisation?	Yes					
		No					
		Partially					
1.2-4	Has [organisation] identified and documented safety accountabilities of management as well as operational personnel, with respect to the SMS?	Yes					
		No					
		Partially					
1.2-5	Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?	Yes					
		No					
		Partially					
1.2-6	Is the safety committee or review board being chaired by the accountable executive or by an appropriately assigned deputy, duly substantiated in the SMS manual?	Yes					
		No					
		Partially					
1.2-7	Does the safety committee include relevant operational or departmental heads, as applicable?	Yes					
		No					
		Partially					
1.2-8	Are there safety action groups that work in conjunction with the safety committee (especially for large/complex organisations)?	Yes					
		No					
		Partially					

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

No	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
1.4-5	Does the ERP address the necessary coordination of its emergency response/contingency procedures with the emergency/response contingency procedures of other organisations where applicable?	Yes					
		No					
		Partially					
1.4-6	Does [organisation] have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organisations?	Yes					
		No					
		Partially					
1.4-7	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?	Yes					
		No					
		Partially					
Element 1.5 – SMS Documentation							
1.5-1	Is there a top-level SMS document or exposition document which is approved by the accountable manager and accepted by the CAA?	Yes					
		No					
		Partially					
1.5-2	Does the SMS documentation address the organisation's SMS and its associated components and elements?	Yes					
		No					
		Partially					
1.5-3	Is [organisation] SMS framework in alignment with the regulatory SMS framework?	Yes					
		No					
		Partially					
1.5-4	Does [organisation] maintain a record of relevant supporting documentation pertinent to the implementation and operation of SMS?	Yes					
		No					
		Partially					
1.5-5	Does [organisation] have an SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones?	Yes					
		No					
		Partially					

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

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**						
2.2-1	Is there a documented hazard identification and risk mitigation (HIRM) procedure involving the use of objective risk analysis tools?	Yes					
		No					
		Partially					
2.2-2	Are the risk assessment reports approved by departmental managers or at a higher level, where applicable?	Yes					
		No					
		Partially					
2.2-3	Is there a procedure for periodic review of existing risk mitigation records?	Yes					
		No					
		Partially					
2.2-4	Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?	Yes					
		No					
		Partially					
2.2-5	Is there a procedure to prioritize identified hazards for risk mitigation actions?	Yes					
		No					
		Partially					
2.2-6	Is there a programme for systematic and progressive review of all aviation safety-related operations, processes, facilities and equipment, subject to the HIRM process as identified by the organisation?	Yes					
		No					
		Partially					
**Component 3 – Safety Assurance**						
**Element 3.1 – Safety Performance Monitoring and Measurement**						
3.1-1	Are there identified safety performance indicators for measuring and monitoring the safety performance of the organisation's aviation activities?	Yes					
		No					
		Partially					
3.1-2	Are the safety performance indicators relevant to the organisation's safety policy as well as management's high-level safety objectives/goals?	Yes					
		No					
		Partially					

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

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
3.2-4	Is there a procedure for the review of relevant existing facilities, 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?	Yes					
		No					
		Partially					
Element 3.3 – Continuous Improvement of SMS							
3.3-1	Is there a procedure for periodic internal audit/assessment of the SMS?	Yes					
		No					
		Partially					
3.3-2	Is there a current internal SMS audit/assessment plan?	Yes					
		No					
		Partially					
3.3-3	Does the SMS audit plan include the sampling of completed/existing safety risk assessments?	Yes					
		No					
		Partially					
3.3-4	Does the SMS audit plan include the sampling of safety performance indicators for data currency and their target/alert settings performance?	Yes					
		No					
		Partially					
3.3-5	Does the SMS audit plan cover the SMS interface with subcontractors or customers where applicable?	Yes					
		No					
		Partially					
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?	Yes					
		No					
		Partially					
Component 4 – Safety Promotion							
Element 4.1 – Training and Education							
4.1-1	Is there a programme to provide SMS training/familiarisation to personnel involved in the implementation or operation of the SMS?	Yes					
		No					
		Partially					

No.	Aspect to be analysed or question to be answered	Answer	Indicate	Status of implementation	Target Date	Reference Document	Action Required
4.1-2	Has the accountable executive undergone appropriate SMS familiarisation, briefing or training?	Yes					
		No					
		Partially					
4.1-3	Are personnel involved in conducting risk mitigation provided with appropriate risk management training/familiarisation?	Yes					
		No					
		Partially					
4.1-4	Is there evidence of organisation-wide SMS education or awareness efforts?	Yes					
		No					
		Partially					
Element 4.2 – Safety Communication							
4.2-1	Does [organisation] participate in sharing safety information with relevant external industry product and service providers or organisations, including the relevant aviation regulatory organisations?	Yes					
		No					
		Partially					
4.2-2	Is there evidence of a safety (SMS) publication, circular or channel for communicating safety information (SMS) matters to employees?	Yes					
		No					
		Partially					
4.2-3	Is [organisation] SMS manual and related guidance material accessible or disseminated to all relevant personnel?	Yes					
		No					
		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**