

**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       |          |                          |             |                    |                 |

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| 1.1-7  | Is the safety policy being periodically reviewed to ensure that it remains relevant and appropriate to the organisation?  | No        |          |                          |             |                    |                 |
|  |   | Partially |          |                          |             |                    |                 |
|  |   | Yes       |          |                          |             |                    |                 |
| <b>Element 1.2 – Safety Accountabilities</b> |   |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |

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| <b>1.3 Appointment of Key Safety Personnel</b>         |  |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>1.4 Coordination of Emergency Response Planning</b> |  |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>Element 1.5 – SMS Documentation</b> |  |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>Component 2 – Safety Risk Management</b> |  |           |          |                          |             |                    |                 |
| <b>Element 2.1 – Hazard Identification</b>  |  |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |

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| <b>Element 2.2 – Safety Risk Assessment and Mitigation</b>         |   |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>Component 3 – Safety Assurance</b>                              |   |           |          |                          |             |                    |                 |
| <b>Element 3.1 – Safety Performance Monitoring and Measurement</b> |   |           |          |                          |             |                    |                 |
| 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 |
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| 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) 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 |          |                          |             |                    |                 |
| <b>Element 3.2 – the Management of Change</b> |  |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>Element 3.3 – Continuous Improvement of SMS</b> |   |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>Component 4 – Safety Promotion</b>              |   |           |          |                          |             |                    |                 |
| <b>Element 4.1 – Training and Education</b>        |   |           |          |                          |             |                    |                 |
| 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 |          |                          |             |                    |                 |
| <b>Element 4.2 – Safety Communication</b> |   |           |          |                          |             |                    |                 |
| 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 |