SMS Gap Analysis Checklist

No.	Aspect to be analysed or question to be answered	Answer	Status of implementation
Component 1 — SAFETY POLICY AND OBJECTIVES			
Element 1.1 — Management commitment and responsibility			
1.1-1	Is there a safety policy in place?	☐ Yes ☐ No ☐ Partial	
1.1-2	Does the safety policy reflect senior management's commitment regarding safety management?	☐ Yes ☐ No ☐ Partial	
1.1-3	Is the safety policy appropriate to the size, nature and complexity of the organisation?	☐ Yes ☐ No ☐ Partial	
1.1-4	Is the safety policy relevant to aviation safety?	☐ Yes ☐ No ☐ Partial	
1.1-5	Is the safety policy signed by the accountable executive?	☐ Yes ☐ No ☐ Partial	
1.1-6	Is the safety policy communicated, with visible endorsement, throughout the organisation?	☐ Yes ☐ No ☐ Partial	
1.1-7	Is the safety policy periodically reviewed to ensure it remains relevant and appropriate to the organisation?	☐ Yes ☐ No ☐ Partial	
Element 1.2 — Safety accountabilities			
1.2-1	Has organisation identified an accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS?	☐ Yes ☐ No ☐ Partial	
1.2-2	Does the accountable executive have full control of the financial and human resources required for the operations authorized to be conducted under the operations certificate?	☐ Yes ☐ No ☐ Partial	
1.2-3	Does the Accountable Executive have final authority over all aviation activities of his organisation?	☐ Yes ☐ No ☐ Partial	
1.2-4	Has organisation identified and documented the safety accountabilities of management as well as operational personnel, with respect to the SMS?	☐ Yes ☐ No ☐ Partial	
1.2-5	Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?	☐ Yes ☐ No ☐ Partial	
1.2-6	Is the safety committee chaired by the accountable executive or by an appropriately assigned deputy, duly substantiated in the SMS manual?	☐ Yes ☐ No ☐ Partial	

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1.2-7	Does the safety committee include relevant operational or departmental heads as applicable?	☐ Yes ☐ No ☐ Partial	
1.2-8	Are there safety action groups that work in conjunction with the safety committee (especially for large/ complex organisations)?	☐ Yes ☐ No ☐ Partial	
Element 1.3 — Appointment of key safety personnel			
1.3-1	Has organisation appointed a qualified person to manage and oversee the day-to-day operation of the SMS?	☐ Yes ☐ No ☐ Partial	
1.3-2	Does the qualified person have direct access or reporting to the accountable executive concerning the implementation and operation of the SMS?	☐ Yes ☐ No ☐ Partial	
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 a senior management position not lower than or subservient to other operational or production positions?	☐ Yes ☐ No ☐ Partial	
Element 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 ☐ Partial	
1.4-2	Does the emergency/ contingency plan address all possible or likely emergency/ crisis scenarios relating to the organisation's aviation product or service deliveries?	☐ Yes ☐ No ☐ Partial	
1.4-3	Does the ERP include procedures for the continuing safe production, delivery or support of its aviation products or services during such emergencies or contingencies?	☐ Yes ☐ No ☐ Partial	
1.4-4	Is there a plan and record for drills or exercises with respect to the ERP?	☐ Yes ☐ No ☐ Partial	
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 ☐ Partial	
1.4-6	Does organisation have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organisations?	☐ Yes ☐ No ☐ Partial	
1.4-7	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?	☐ Yes ☐ No ☐ Partial	

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\multicolumn{4}{c}{**Element 1.5 — SMS documentation**}			
1.5-1	Is there a top-level SMS summary or exposition document which is approved by the accountable manager and accepted by the CAAM?	☐ Yes ☐ No ☐ Partial	
1.5-2	Does the SMS documentation address the organisation's SMS and its associated components and elements?	☐ Yes ☐ No ☐ Partial	
1.5-3	Is organisation SMS framework in alignment with the regulatory SMS framework?	☐ Yes ☐ No ☐ Partial	
1.5-4	Does organisation maintain a record of relevant supporting documentation pertinent to the implementation and operation of the SMS?	☐ Yes ☐ No ☐ Partial	
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 ☐ Partial	
1.5-6	Does the SMS implementation plan address the coordination between the service provider's SMS and the SMS of external organisations where applicable?	☐ Yes ☐ No ☐ Partial	
1.5-7	Is the SMS implementation plan endorsed by the accountable executive?	☐ Yes ☐ No ☐ Partial	
**Component 2 — SAFETY RISK MANAGEMENT**			
**Element 2.1 — Hazard identification**			
2.1-1	Is there a process for voluntary hazards/threats reporting by all employees?	☐ Yes ☐ No ☐ Partial	
2.1-2	Is the voluntary hazard/ threats reporting simple, available to all personnel involved in safety-related duties and commensurate with the size of the service provider?	☐ Yes ☐ No ☐ Partial	
2.1-3	Does service provider SDCPS include procedures for incident/ accident reporting by operational or productionpersonnel?	☐ Yes ☐ No ☐ Partial	
2.1-4	Is incident/ accident reporting simple, accessible to all personnel involved in safety-related duties and commensurate with the size of the service provider?	☐ Yes ☐ No ☐ Partial	
2.1-5	Does [Organisation] have procedures for investigation of all reported incident/ accidents?	☐ Yes ☐ No ☐ Partial	
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 ☐ Partial	

SMS Gap Analysis Checklist

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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 ☐ Partial	
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 ☐ Partial	
2.2-2	Are the risk assessment reports approved by departmentalmanagers or at a higher level where appropriate?	☐ Yes ☐ No ☐ Partial	
2.2-3	Is there a procedure for periodic review of existing risk mitigation records?	☐ Yes ☐ No ☐ Partial	
2.2-4	Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?	☐ Yes ☐ No ☐ Partial	
2.2-5	Is there a procedure to prioritize identified hazards for risk mitigation actions?	☐ Yes ☐ No ☐ Partial	
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 service provider?	☐ Yes ☐ No ☐ Partial	
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 ☐ Partial	
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 ☐ Partial	
3.1-3	Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals?	☐ Yes ☐ No ☐ Partial	
3.1-4	Is the setting of alert levels or out-of-control criteria based on objective safety metrics principles?	☐ Yes ☐ No ☐ Partial	
3.1-5	Do the safety performance indicators include quantitative monitoring of high-consequence safety outcomes (e.g. accident and serious incident rates) as well as lower-consequence events (e.g. rate of non-compliance, deviations)?	☐ Yes ☐ No ☐ Partial	
3.1-6	Are safety performance indicators and their associated performance settings developed in consultation with, and subject to, the CAAM's agreement?	☐ Yes ☐ No ☐ Partial	

SMS Gap Analysis Checklist

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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 ☐ Partial	
3.1-8	Are the safety performance indicators periodically reviewed?	☐ Yes ☐ No ☐ Partial	
Element 3.2 — The management of change			
3.2-1	Is there a procedure for 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 ☐ Partial	
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 those operations or processes?	☐ Yes ☐ No ☐ Partial	
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 ☐ Partial	
3.2-4	Is there a procedure for 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 ☐ Partial	
Element 3.3 — Continuous improvement of the SMS			
3.3-1	Is there a procedure for periodic internal audit/ assessment of theSMS?	☐ Yes ☐ No ☐ Partial	
3.3-2	Is there a current internal SMS audit/ assessment plan?	☐ Yes ☐ No ☐ Partial	
3.3-3	Does the SMS audit plan include the sampling of completed/ existing safety risk assessments?	☐ Yes ☐ No ☐ Partial	
No.	Aspect to be analysed or question to be answered	Answer	Status of implementation
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 ☐ Partial	
3.3-5	Does the SMS audit plan cover the SMS interface with subcontractors or customers where applicable?	☐ Yes ☐ No ☐ Partial	
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 ☐ Partial	

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Component 4 — SAFETY PROMOTION			
Element 4.1 — Training and education			
4.1-1	Is there a programme to provide SMS training/ familiarization topersonnel involved in the implementation or operation of the SMS?	☐ Yes ☐ No ☐ Partial	
4.1-2	Has the accountable executive undergone appropriate SMS familiarization, briefing or training?	☐ Yes ☐ No ☐ Partial	
4.1-3	Are personnel involved in conducting risk mitigation provided with appropriate risk management training or familiarization?	☐ Yes ☐ No ☐ Partial	
4.1-4	Is there evidence of organisation-wide SMS education or awareness efforts?	☐ Yes ☐ No ☐ Partial	
Element 4.2 — Safety communication			
4.2-1	Does service provider participate in sharing safety information with relevant external industry product and service providers or organisations, including the relevant aviation regulatory organisations?	☐ Yes ☐ No ☐ Partial	
4.2-2	Is there evidence of a safety (SMS) publication, circular or channel for communicating safety (SMS) matters to employees?	☐ Yes ☐ No ☐ Partial	
4.2-3	Are service provider's SMS manual and related guidance materials accessible or disseminated to all relevant personnel?	☐ Yes ☐ No ☐ Partial	