

Table 5-A7-1. Gap analysis checklist

<i>No.</i>	<i>Aspect to be analysed or question to be answered</i>	<i>Answer</i>	<i>Status of implementation</i>
Component 1 — SAFETY POLICY AND OBJECTIVES			
Element 1.1 — Management commitment and responsibility			
1.1-1	Is there a safety policy in place? [5.3.7 to 5.3.15; 5.5.3]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.1-2	Does the safety policy reflect senior management's commitment regarding safety management? [5.3.7 to 5.3.15]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.1-3	Is the safety policy appropriate to the size, nature and complexity of the organization? [5.3.7 to 5.3.15]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.1-4	Is the safety policy relevant to aviation safety? [5.3.7 to 5.3.15]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

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1.1-5	Is the safety policy signed by the accountable executive? [5.3.7 to 5.3.15; 5.5.3]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.1-6	Is the safety policy communicated, with visible endorsement, throughout the [Organization]? [5.5.3]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.1-7	Is the safety policy periodically reviewed to ensure it remains relevant and appropriate to the [Organization]? [5.5.3]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
Element 1.2 — Safety accountabilities			
1.2-1	Has [Organization] identified an accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the [Organization], for the implementation and maintenance of the SMS? [5.3.16 to 5.3.26; 5.5.2]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.16 to 5.3.26]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.2-3	Does the Accountable Executive have final authority over all aviation activities of his organization? [5.3.16 to 5.3.26]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.2-4	Has [Organization] identified and documented the safety accountabilities of management as well as operational personnel, with respect to the SMS? [5.3.16 to 5.3.26]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.2-5	Is there a safety committee or review board for the purpose of reviewing SMS and safety performance? [5.3.27 to 5.3.33; Appendix 4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.27 to 5.3.33; Appendix 4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.2-7	Does the safety committee include relevant operational or departmental heads as applicable? [5.3.27 to 5.3.33; Appendix 4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.2-8	Are there safety action groups that work in conjunction with the safety committee (especially for large/complex organizations)? [5.3.27 to 5.3.33; Appendix 4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

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Element 1.3 — Appointment of key safety personnel			
1.3-1	Has [Organization] appointed a qualified person to manage and oversee the day-to-day operation of the SMS? [5.3.27 to 5.3.33; 5.5.2; Appendix 2]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.27 to 5.3.33; 5.5.2; Appendix 2, 6.1]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [Appendix 2, 6.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [Appendix 2, 6.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
Element 1.4 — Coordination of emergency response planning			
1.4-1	Does [Organization] have an emergency response/contingency plan appropriate to the size, nature and complexity of the organization? [Appendix 3]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.4-2	Does the emergency/contingency plan address all possible or likely emergency/crisis scenarios relating to the organization's aviation product or service deliveries? [Appendix 3, 4 f)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [Appendix 3, 4 e)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.4-4	Is there a plan and record for drills or exercises with respect to the ERP? [Appendix 3, 5 c)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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 organizations where applicable? [Appendix 3, 4 d)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.4-6	Does [Organization] have a process to distribute and communicate the ERP to all relevant personnel, including relevant external organizations? [Appendix 3, 5 d)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

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1.4-7	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness? [Appendix 3, 5 f)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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 CAA? [5.3.36 to 5.3.38]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.5-2	Does the SMS documentation address the organization's SMS and its associated components and elements? [5.3.36 to 5.3.38; 5.4.1; Appendix 4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.5-3	Is [Organization] SMS framework in alignment with the regulatory SMS framework? [5.3.36 to 5.3.38; 5.4.1; Appendix 4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.5-4	Does [Organization] maintain a record of relevant supporting documentation pertinent to the implementation and operation of the SMS? [5.3.36 to 5.3.38; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.5-5	Does [Organization] have an SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones? [5.4.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.5-6	Does the SMS implementation plan address the coordination between the service provider's SMS and the SMS of external organizations where applicable? [5.4.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
1.5-7	Is the SMS implementation plan endorsed by the accountable executive? [5.4.4; 5.5.2]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.42 to 5.3.52; 5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.42 to 5.3.52]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

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2.1-3	Does [Organization] SDCPS include procedures for incident/accident reporting by operational or production personnel? [5.3.42 to 5.3.52; 5.5.4; Chapter 4, Appendix 3]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.42 to 5.3.52; 5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
2.1-5	Does [Organization] have procedures for investigation of all reported incident/accidents? [5.3.42 to 5.3.52; 5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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 organization's hazard collection and risk mitigation procedure? [2.13.9; 5.3.50 f); 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
2.1-7	Are there procedures to review hazards/threats from relevant industry reports for follow-up actions or risk evaluation where applicable? [5.3.5.1]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [2.13; 2.14; 5.3.53 to 5.3.61]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
2.2-2	Is the risk assessment reports approved by departmental managers or at a higher level where appropriate? [2.15.5; 5.3.53 to 5.3.61]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
2.2-3	Is there a procedure for periodic review of existing risk mitigation records? [5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
2.2-4	Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified? [5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
2.2-5	Is there a procedure to prioritize identified hazards for risk mitigation actions? [5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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 organization? [5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

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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 organization's aviation activities? [5.3.66 to 5.3.73; 5.4.5; 5.5.4; 5.5.5; Appendix 6]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.1-2	Are the safety performance indicators relevant to the organization's safety policy as well as management's high-level safety objectives/goals? [5.3.66 to 5.3.73; 5.4.5; Appendix 6]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.1-3	Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals? [5.3.66 to 5.3.73; 5.4.5; 5.5.4; 5.5.5; Appendix 6]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.1-4	Is the setting of alert levels or out-of-control criteria based on objective safety metrics principles? [5.3.66 to 5.3.73; 5.4.5; Appendix 6]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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)? [5.3.66 to 5.3.73; 5.4.5; 5.5.4; 5.5.5; Appendix 6]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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? [5.3.66 to 5.3.73; 5.4.5.2; 5.5.4; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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? [5.4.5; Appendix 6, Table 5-A6-5 b)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.1-8	Are the safety performance indicators periodically reviewed? [5.4.5; Appendix 6]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.74 to 5.3.77; 5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

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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? [5.3.74 to 5.3.77; 5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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 organization such as regulatory/industry standards, best practices or technology? [5.5.4]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
Element 3.3 — Continuous improvement of the SMS			
3.3-1	Is there a procedure for periodic internal audit/assessment of the SMS? [5.3.78 to 5.3.82; 5.5.4; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.3-2	Is there a current internal SMS audit/assessment plan? [5.3.78 to 5.3.82; 5.5.4; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.3-3	Does the SMS audit plan include the sampling of completed/existing safety risk assessments? [5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.3-4	Does the SMS audit plan include the sampling of safety performance indicators for data currency and their target/alert settings performance? [5.4.5; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
3.3-5	Does the SMS audit plan cover the SMS interface with subcontractors or customers where applicable? [5.4.1; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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? [5.3.80; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> 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 to personnel involved in the implementation or operation of the SMS? [5.3.86 to 5.3.91; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
4.1-2	Has the accountable executive undergone appropriate SMS familiarization, briefing or training? [5.3.86 to 5.3.91; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
4.1-3	Are personnel involved in conducting risk mitigation provided with appropriate risk management training or familiarization? [5.3.86 to 5.3.91; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
4.1-4	Is there evidence of organization-wide SMS education or awareness efforts? [5.3.86 to 5.3.91; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
Element 4.2 — Safety communication			
4.2-1	Does [Organization] participate in sharing safety information with relevant external industry product and service providers or organizations, including the relevant aviation regulatory organizations? [5.3.92; 5.3.93; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
4.2-2	Is there evidence of a safety (SMS) publication, circular or channel for communicating safety (SMS) matters to employees? [5.3.92; 5.3.93; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
4.2-3	Are [Organization] SMS manual and related guidance material accessible or disseminated to all relevant personnel? [5.3.92; 5.3.93; 5.5.5]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	