CAA Gap Analysis Tool for complex organisations

Organisation:	Approval Reference (s):

Signature:	Position:
Print Name:	**Date of signing:**
SMS Manual Revision:	

To be completed and signed for by the Safety Manager or Accountable Manager

	In place[1]	Documented[2] Reference:	How it is achieved[3]	Open actions
0 General Issues and SMS Implementation				
SMS Scope and Implementation The Organisation should define the scope of the organisation and its activities and this should include how it addresses safety provisions in its contractors that provide safety services to the organisation. In establishing an SMS a GAP analysis should be carried out and an implementation plan that will address how the organisation will transition to a fully functioning and effective SMS				
0.1 In respect of the management system has the structure, activities and the scope of the organisation been defined?				
0.2 Does the SMS correspond to the size, nature and complexity of the organisation and the hazards and associated risks inherent with its activities?				
0.3 Has a gap analysis been carried out?				
0.4 Is there an SMS implementation plan that reflects the gap analysis? Is it on target?				
0.5 Are safety management provisions required for all new safety related contracted service providers?				
1. Safety Policy and Objectives				

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[1] Yes (Y), No (N) or Partial (P)

[2] Where is it documented in your documentation?

[3] Provide details that describes or demonstrates your response to the question.

Issue 2

	In place[1]	Documented[2] Reference:	How it is achieved[3]	Open actions
1.1 Management Commitment The organisation should define its safety policy which should be in accordance with international and national requirements, and which shall be signed by the Accountable Manager of the organisation. The safety policy should reflect organisational commitments regarding safety, including a clear statement about the provision of the necessary human and financial resources for its implementation and be communicated, with visible endorsement, throughout the organisation. The safety policy should include the safety reporting procedures and clearly indicate which types of behaviours are unacceptable and shall include the conditions under which disciplinary action would not apply. The safety policy should be periodically reviewed to ensure it remains relevant and appropriate to the organisation.				
1.1.1 Is there a written safety policy endorsed by the Accountable Manager?				
1.1.2 Has the safety policy been communicated effectively throughout the organisation?				
1.1.3 Does Senior Management continuously promote and demonstrate its commitment to the safety policy?				
1.1.4 Does the safety Policy include a commitment to; strive to achieve the highest safety standards, observe all applicable legal requirements, standards and best practice, providing appropriate resources and safety as a primary responsibility of all Managers?				
1.1.5 Does the Safety policy actively encourage safety reporting				

Issue 2

	In place[1]	Documented[2] Reference:	How it is achieved[3]	Open actions
1.2 Safety Accountability and Responsibilities The organisation shall identify the 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. The organisation shall also identify the safety accountabilities of all members of senior management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS. Safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organisation, and shall include a definition of the levels of management with authority to make decisions regarding safety risk tolerability.				
1.2.1 Does the Accountable Manager have full responsibility and accountability for the SMS and corporate authority for the organisation?				
1.2.2 Does the Accountable Manager have an awareness of their SMS roles and responsibilities in respect of the safety policy, safety standards and safety culture of the organisation?				
1.2.3 Are safety accountabilities, authorities and responsibilities defined throughout the organisation?				
1.2.4 Are there clearly defined lines of safety accountabilities throughout the organisation				
1.2.5 Are all staff aware of and understand their safety accountabilities, authorities and responsibilities?				
1.3 Appointment of key safety personnel The organisation shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS. In addition, the safety committees that support the Accountable manager and the Safety manager in delivering an effective SMS should be defined and documented.				
1.3.1 Has a Safety Manager (or equivalent) been appointed with the appropriate knowledge, skills and experience as defined in the guidance material?				

	In place[1]	Documented[2] Reference:	How it is achieved[3]	Open actions
1.3.2 Is there a direct reporting line between the Safety Manager and the Accountable Manager?				
1.3.3 Does the safety Manager carry out the functions as detailed in the CAA guidance material?				
1.3.4 Has a Safety Review Board or equivalent been established?				
1.3.5 Does the Accountable Manager chair the Safety Review Board?				
1.3.6 Does the Board monitor the safety performance and effectiveness of the SMS?				
1.3.7 Is the Board membership and frequency of meetings defined and minuted?				
1.3.8 Has a Safety Action Group or equivalent been established?				
1.4 Coordination of Emergency Response Planning The organisation shall ensure that an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations and the return to normal operations, is properly coordinated with the emergency response plans of those organisations it must interface with during the provision of its services.				
1.4.1 Has an emergency response plan been developed that include all the considerations in the guidance material as appropriate?				
1.4.2 Are the roles, responsibilities and actions of the various agencies and key personnel defined.				

	In place[1]	Documented[2] Reference:	How it is achieved[3]	Open actions
1.4.3 Do the key personnel in an emergency have easy access to the ERP at all times?				
1.4.4 Is the ERP regularly reviewed and tested?				
1.5 SMS Documentation The organisation shall develop and maintain SMS documentation describing the safety policy and objectives, the SMS requirements, the SMS processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs. The organisation shall incorporate the SMS documentation into its existing organisation documentation , or shall develop and maintain a safety management systems manual (SMSM), to communicate its approach to the management of safety throughout the organisation.				
1.5.1. Does the Safety management manual contain all the elements as detailed in the guidance material?				
1.5.2 Is it regularly reviewed?				
1.5.3 Is there a system for the recording and storage of SMS documentation and records i.e. hazard logs, risk assessments and safety cases?				

Issue 2

2 Safety Risk management

2.1 Hazard Identification
The organisation shall develop and maintain a formal process that ensures that aviation hazards are identified. This should include the investigation of incidents and accidents to identify potential hazards. Hazard identification shall be based on a combination of reactive, proactive and predictive methods of safety data collection.

	In place	Documented Reference:	How it is achieved	Open actions
2.1.2 Is there a process for establishing how hazards are identified and from what sources?				
2.1.3 Is there a confidential safety reporting scheme that meets EU 376 / 2014 and encourages errors, hazards and near misses to be reported by staff?				
2.1.4 Is there feedback to the reporter and the rest of the organisation?				
2.1.5 Does Hazard identification include reactive, proactive and predictive schemes?				
2.1.6 Have the major hazards and risks been identified and assessed for the organisation and its current activities?				
2.1.7 Is there a process and procedures for safety investigations to be carried out to identify underlying causes and potential hazards?				
2.1.8 Is there a means for the hazards identified from safety investigations to be addressed and communicated to the rest of the organisation?				

2.2 Safety Risk assessment and mitigation process The organisation shall develop and maintain a formal process that ensures analysis, assessment and control of the safety risks in operations to as low as reasonable practical.				
2.2.1 Is there a process to assess the risks associated with identified hazards?				
2.2.2 Is there a criteria (eg risk tolerability matrix) that evaluates risk and the tolerable levels of risk an organisation is willing to accept?				
2.2.3 Are hazards and risks and corrective / preventative actions, including timelines and responsibilities documented?				

Issue 2

3. Safety Assurance

3.1 Safety performance monitoring and measurement

The organisation shall develop and maintain the means to verify the safety performance of the organisation, and to validate the effectiveness of safety risks controls. The safety performance of the organisation shall be verified in reference to the safety performance indicators and safety performance targets of the SMS.

	In place	Documented Reference:	How it is achieved	Open actions
3.1.1 Are risk mitigations and controls being verified / audited to confirm the effectiveness?				
3.1.2 Are lessons learnt incorporated into your policy and procedures?				
3.1.3 Have safety objectives and safety performance indicators (SPIs) been defined and a process for monitoring and analysing safety data for trends?				
3.1.4 Are safety audits carried out that focus on the performance of the organisation and its services and assess normal operations?				
3.1.5 Is there an audit plan to assess the effectiveness of the SMS and that the regulations and standards are being complied with?				
3.1.6 Is there a plan for safety / cultural surveys to be carried out?				

3.2 The Management of Change

The organisation shall develop and maintain a formal process to identify changes within the organization which may affect established processes and services; to describe the arrangements to ensure safety performance before implementing changes; and to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

3.2.1 Is there a documented change management process to proactively identify hazards and to mitigate risks during organisational changes?				
3.2.3 Is there an assurance plan for periodical reviews of the safety performance after organisational changes to assure assumptions remain valid and the change was effective?				
3.3 Continuous improvement of the SMS The organisation shall develop and maintain a formal process to identify the causes of substandard performance of the SMS, determine the implications of substandard performance of the SMS, determine sub-standard performance in operations, and eliminate or mitigate such causes.				
3.3.1 Is there a means to monitor the overall performance of the SMS to allow for continuous improvement to be achieved?				

4 Safety Promotion

4.1 Training and Education

The organisation shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform the SMS duties. The scope of the safety training shall be appropriate to each individual's involvement in the SMS.

	In place	Documented Reference:	How it is achieved	Open actions
4.1.1 Have all staff received training on the organisation's SMS and their roles and responsibilities in respect of the SMS including the Accountable Manager, Senior Management, Managers, supervisors and operational staff?				
4.1.5 Does the organisation provide training on human and organisational factors?				
4.1.6 Is the effectiveness of the training measured?				

4.2 Safety communication

The organisation shall develop and maintain formal means for safety communication that ensures that all personnel are fully aware of the SMS, conveys safety critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

4.2.1 Is there a means to communicate safety issues to reach all levels of staff in the organisation?				
4.2.2 Is the safety information disseminated in a suitable medium and monitored for its effectiveness?				
4.2.3 Does relevant safety information reach external users / customers etc?				

Issue 2