



## Instructions

1. This tool has been designed to assist organisations with the implementation stage of their safety management system (SMS) lifecycle. The implementation stage requires organisations to identify where they are currently at regarding the required SMS elements (the gap analysis) and then to develop a plan to meet SMS requirements (the implementation plan).
2. All sections below should be completed. This tool is intended to be used in conjunction with the *Safety Management Systems for aviation: a practical guide* toolkit. This tool is not designed to align with any specific CASA regulations as it is a generic SMS tool designed to assist all areas of industry with implementing and developing an SMS that is designed from ICAO and industry best practise not for regulatory compliance.
3. In the Gap analysis section, assess and discuss each SMS element indicator to identify which Present option is correct for your organisation. If you have identified an element is already present, you should identify where this is already documented within your current organisational documents. If it is something you are already doing but it is not formally documented, record this as partially present, identify the outstanding documentation requirement, and then add the creation of the documentation to your implementation plan. Select Present options, adding document references and comments.
4. After completing the gap analysis section, you will have a list of SMS elements (those identified as partially present or not present) that require an action plan against each one to work towards full implementation of your SMS.
5. Using the Implementation planning section, you need to record the identified tasks or activities required to implement the missing SMS elements, as well as identifying the responsible individuals for actioning these by a set due date. Breaking down the planned activities into staged implementation phases.
6. The Implementation planning timelines section allows you to adopt and plan a phased approach to your required SMS implementation planning timelines. It is important to build in realistic timeframes for achieving these tasks or implementation phases, as well as dedicated times for reassessing your progress towards implementation.
7. For further information about each of the SMS components and elements you can refer to the relevant SMS toolkit booklets named for that SMS component. Refer to the *Safety Management Systems for aviation: a practical guide* located on the [Resource kit to develop your Safety Management System](#) page on the CASA.gov.au website.



## Gap analysis

### Component 1: Safety policies and objectives

[See SMS toolkit booklet 2: Safety policies and objectives for further information and guidance.](#)

Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
<b>1.1</b>	<b>Management commitment</b>					
1.1.1	There is a safety policy, signed by the accountable manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.2	The safety policy includes a statement to provide appropriate resources and the organisation is managing resources by anticipating and addressing any shortfalls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.3	There are policies in place for safety critical roles relating to all aspects of fitness for duty (for example, alcohol and drugs policy or fatigue).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.4	There is a means in place for the communication of the safety policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.5	The accountable executive and the senior management team promote a positive safety and just culture and demonstrate their commitment to the safety policy through active and visible participation in the safety management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.6	The safety policy actively encourages safety reporting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



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Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
1.1.7	A just culture policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a just culture.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.8	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.1.9	The State Safety Programme (SSP) is being considered and addressed as appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>1.2</b>	<b>Safety accountability and responsibilities</b>					
1.2.1	An accountable executive has been appointed with full responsibility and accountability to ensure the SMS is properly implemented and performing effectively.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.2.2	The accountable executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.2.3	Safety accountabilities, authorities, and responsibilities are defined and documented throughout the organisation and staff understand their own responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>1.3</b>	<b>Appointment of key personnel</b>					
1.3.1	A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line to the accountable executive.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.3.2	The organisation has allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.3.3	The organisation has established appropriate safety committee(s) that discuss and address safety risks and compliance issues and includes the accountable executive and the heads of functional areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



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Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
<b>1.4</b>	<b>Co-ordination of emergency response planning</b>					
1.4.1	An appropriate emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities, and actions of the various organisations and key personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.4.2	The ERP is periodically tested for the adequacy of the plan and the results reviewed to improve its effectiveness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>1.5</b>	<b>SMS documentation</b>					
1.5.1	The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes and is readily available to all relevant personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.5.2	SMS documentation, including SMS related records, are regularly reviewed and updated with appropriate version control in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



# SMS Gap analysis and implementation planning tool

## Component 2: Safety risk management

[See SMS Toolkit booklet 3: Safety risk management for further information and guidance](#)

Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
<b>2.1</b>	<b>Hazard identification</b>					
2.1.1	There is a confidential reporting system to capture errors, hazards, and near misses that is simple to use and accessible to all staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.1.2	There is a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.1.3	Personnel express confidence and trust in the organisation's reporting policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.1.4	There is a process that defines how hazards are identified from multiple sources through reactive and proactive methods (internal and external).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.1.5	The hazard identification process identifies human performance related hazards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.1.6	There is a process in place to analyse safety data and safety information to look for trends and gain useable management information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.1.7	Safety investigations are carried out by appropriately trained personnel to identify contributing factors (why it happened, not just what happened).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>2.2</b>	<b>Safety risk assessment and mitigation</b>					
2.2.1	There is a process for the management of risk that includes the analysis and assessment of risk associated with identified hazards expressed in terms of likelihood and severity (or alternative methodology).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



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Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
2.2.2	There are criteria for evaluating the level of risk the organisation is willing to accept and risk assessments and ratings are appropriately justified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.2.3	The organisation has a process in place to make decisions and apply appropriate and effective risk controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.2.4	Senior management have visibility of medium and high-risk hazards and their mitigation and controls.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



# SMS Gap analysis and implementation planning tool

## Component 3: Safety assurance

[See SMS Toolkit booklet 4: Safety assurance for further information and guidance.](#)

Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
<b>3.1</b>	<b>Safety performance monitoring and measurement</b>					
3.1.1	Safety performance indicators (SPIs) linked to the organisation's safety objectives have been defined, promulgated, and are being monitored and analysed for trends.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.1.2	Risk mitigations and controls are being verified, audited to confirm they are working and effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.1.3	Safety assurance takes into account activities carried out by all directly contracted organisations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.1.4	Responsibilities and accountability for ensuring compliance with safety regulations are defined and applicable requirements are clearly identified in organisation manuals and procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.1.5	There is an internal audit programme including details of the schedule of audits and procedures for audits, reporting, follow up, and records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.1.6	Responsibilities and accountabilities for the internal audit process are defined and there is a person or group of persons with responsibilities for internal audits with direct access to the accountable manager.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.1.7	After an audit, there is appropriate analysis of causal factors, and corrective or preventive actions are taken.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>3.2</b>	<b>The management of change</b>					
3.2.1	The organisation has a process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



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Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
3.2.2	Human factor (HF) issues have been considered as part of the change management process and, where appropriate, the organisation has applied the appropriate HF or human-centred design standards to the equipment and physical environment design.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>3.3</b>	<b>Continuous improvement of the SMS</b>					
3.3.1	The organisation is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		





## Component 4: Safety promotion

[See SMS Toolkit booklet 5: Safety promotion for further information and guidance](#)

Indicators of compliance and performance						
Element		Present			Document reference	Comments
		Yes	Partially	No		
<b>4.1</b>	<b>Training and education</b>					
4.1.1	There is a training programme for the SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities, and accountabilities) and how the organisation's SMS operates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.1.2	There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.1.3	Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.1.4	There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.1.5	The competence of trainers is defined and assessed, and appropriate remedial action taken when necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>4.2</b>	<b>Safety communication</b>					
4.2.1	There is a process to determine what safety critical information needs to be communicated and how it is communicated throughout the organisation to all personnel, as relevant. This includes contracted organisations and personnel where appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



# SMS Gap analysis and implementation planning tool

## Interface management

### Indicators of compliance and performance

Interface management	Present			Document reference	Comments
	Yes	Partially	No		
The organisation has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

### What to look for

- Review how interfaces have been documented. It may be included in a system description.
- Evidence that:
  - safety critical issues, areas, and associated hazards are identified
  - safety occurrences have a mechanism for being reported and addressed
  - risk control actions have a mechanism to be applied and regularly reviewed; and
  - interfaces are reviewed periodically.
- Training and safety promotion sessions are organised with relevant external organisations.
- External organisations participate in SMS activities and share safety information.
- Check the identified interfaces (e.g. interfaces with aerodromes, airlines, Air Traffic Control (ATC), training organisations, contracted organisations, and the State).







# SMS Gap analysis and implementation planning tool

## SMS Implementation plan timeline

Phased implementation timelines						
SMS element	Phase 1	Phase 2	Phase 3	Target completion date	Responsible Person	Progress tracking
	<i>MM/YYYY to MM/YYYY</i>	<i>MM/YYYY to MM/YYYY</i>	<i>MM/YYYY to MM/YYYY</i>			
Management commitment						
Safety accountability and responsibilities						
Appointment of key personnel						
Co-ordination of emergency response planning						
SMS documentation						
Hazard identification						
Safety risk assessment and mitigation						
Safety performance monitoring and measurement						
The management of change						
Continuous improvement of the SMS						
Training and education						
Safety communication						
Interface management						