SMS Gap Analysis Checklist

A quick self-check of your safety management system against the four components and twelve elements of the ICAO framework (Annex 19 and Doc 9859). Work through each element with your safety team, mark where you stand, and note the evidence. The gaps you find become the starting point for your implementation plan.

How to use it. Tick one box per element. Mark **In place** only when you can show documented evidence that it works in practice, not just that a procedure exists. Anything marked **Partly** or **Not yet** goes on your action list.

Ref	Component 1: Safety policy and objectives	In place	Partly	Not yet	Evidence and notes
1.1	**Management commitment** Is there a signed safety policy, reviewed regularly, with measurable safety objectives?				
1.2	**Safety accountability and responsibilities** Is an accountable executive named, with safety responsibilities defined at every level?				
1.3	**Appointment of key safety personnel** Is there a safety manager with the authority, time and resources to run the SMS?				
1.4	**Coordination of emergency response planning** Is the emergency response plan coordinated with other organisations you would rely on?				
1.5	**SMS documentation** Is there a current SMS manual and are safety records kept and controlled?				

Ref	Component 2: Safety risk management	In place	Partly	Not yet	Evidence and notes
2.1	**Hazard identification** Do you identify hazards reactively, proactively and predictively, with a confidential reporting system staff trust?				
2.2	**Safety risk assessment and mitigation** Are risks assessed consistently, with clear authority for accepting risk and follow-up of mitigations?				

Ref	Component 3: Safety assurance	In place	Partly	Not yet	Evidence and notes
3.1	**Safety performance monitoring and measurement** Are safety performance indicators and targets set, monitored and reported to senior management?				
3.2	**Management of change** Are changes to equipment, procedures, people or organisation assessed for safety before they happen?				
3.3	**Continuous improvement of the SMS** Do internal audits and reviews lead to recorded improvements in the SMS itself?				

Ref	Component 4: Safety promotion	In place	Partly	Not yet	Evidence and notes
4.1	**Training and education** Does everyone receive SMS training suited to their role, including senior leaders?				
4.2	**Safety communication** Are lessons learned, safety information and the reasons for safety actions shared across the organisation?				

Next steps

Rank the gaps by safety risk, not by how easy they are to close. Elements 1.2, 2.1 and 2.2 usually deserve attention first, because the rest of the system depends on them.

Sentinel Global Solutions runs facilitated gap analyses and SMS implementation courses for aviation, defence and government organisations. Contact **info@sentinelglobalsolutions.ie** to discuss yours.