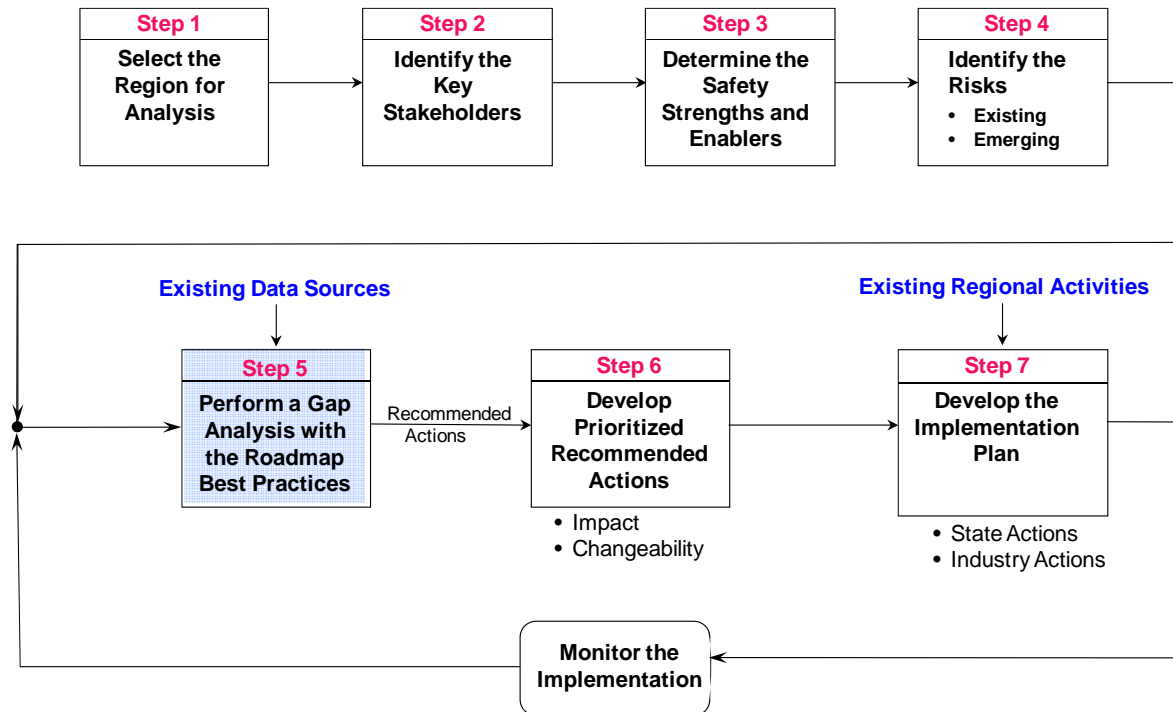


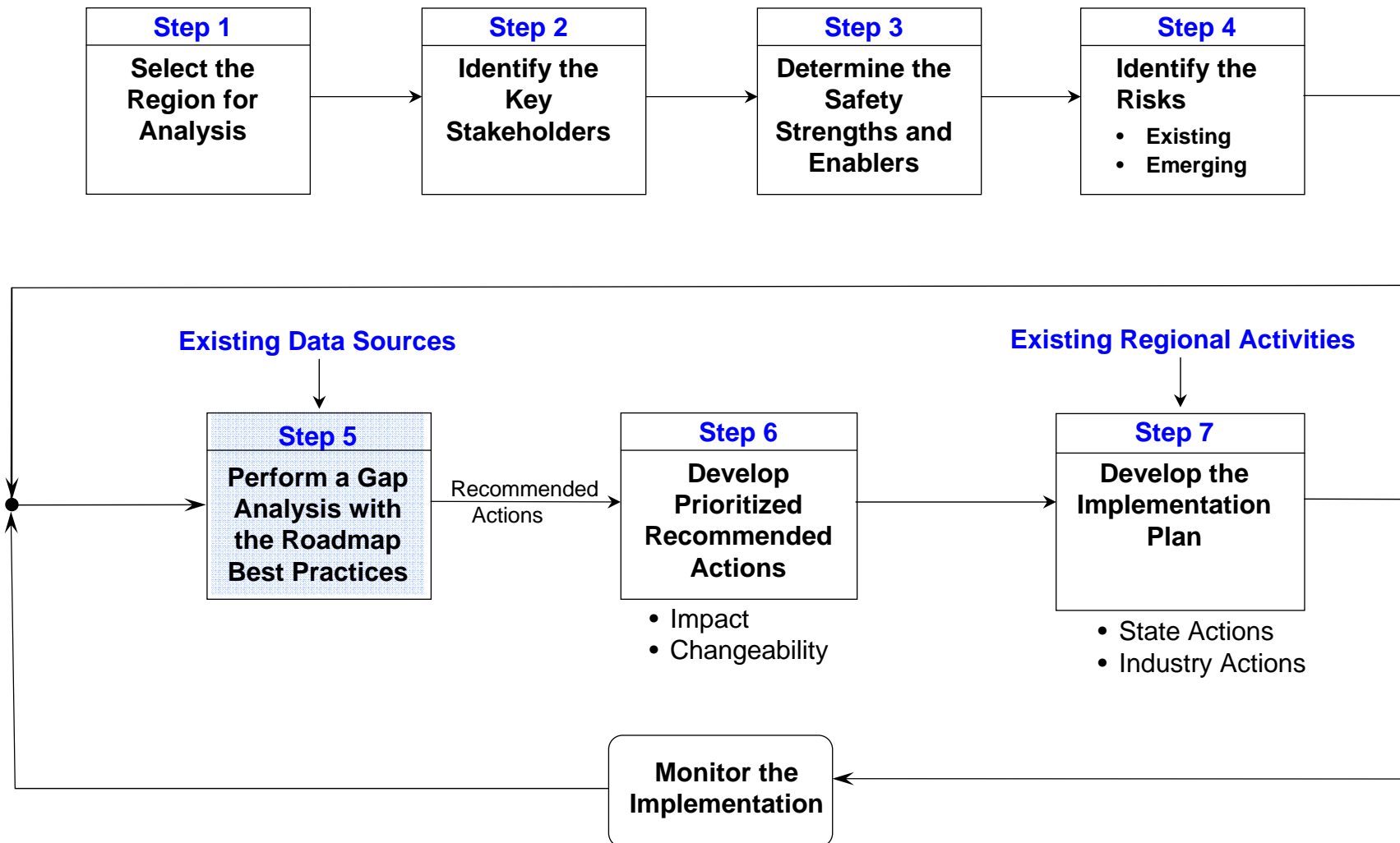
Global Aviation Safety Roadmap

Focus Area 7: Inconsistent use of Safety Management Systems (SMS)



Step 5 – Perform Gap Analysis

Step 5 – Perform a Gap Analysis



Performing a Gap Analysis

- Refer to *Global Aviation Safety Roadmap*, Section 3.1.5.
- “A Gap analysis is simply an evaluation that compares the existing situation to the desired one”
- Steps:
 1. Determine the implementation level for each Best Practice
 2. Determine the maturity level for the region
 3. Identify Recommended Actions

Determine the Best Practice Implementation Level

- For each Best Practice, Review the available data and determine the implementation level for the region. Document the difference between the current situation and the desired state.
- In addition to reviewing the Best Practices identified in the GASR, other regionally defined best practices can also be identified, if desired.

Focus Area 7 – Best Practice Implementation

| Table 7a –Best Practices | Metrics | Implementation |
|--|--|--|
| BP 7a-1 – <u>Organizations within all sectors and disciplines of the aviation industry have their own formal SMS.</u> <ul style="list-style-type: none"> The SMS of the Organization includes the suppliers of goods and services that impact upon aviation safety. | a. Existence of organizations's SMS as per ICAO requirement. | <input type="checkbox"/> Complete <input type="checkbox"/> Somewhat <input type="checkbox"/> Little/None <input type="checkbox"/> Not Applicable Discussion: |
| Table 7b –Best Practices | Metrics | |
| BP 7b-1 – <u>Audit processes drive consistency in use of SMS both within and across industry sectors and disciplines.</u> <ul style="list-style-type: none"> a. The ICAO USOAP audits implementation and application of SMS to drive consistency in application amongst states. b. The IOSA audits implementation and application of SMS to drive consistency within and across industry sectors and regions. c. Other recognized audit programs audit implementation and application of SMS and drive consistency in their use. | a. Modified USOAP. b. IOSA Standards Manual 2 nd Edition, effective March 2007. c. Tailored audit processes in place. | |
| Table 7e –Best Practices | Metrics | |
| BP 7e-1 – <u>An organization's SMS recognizes external interfaces and contains the necessary procedures to manage them effectively.</u> <ul style="list-style-type: none"> a. Processes should be established within the SMS to ensure that regular communications take place between the different sectors and disciplines to address safety issues across the interface. b. Procedures should be established with the SMS to ensure that risk assessment of change takes place in an integrated manner. | a. Communication processes in place. b. Procedures in place | |

Focus Area 7 – Other Best Practices

| Best Practices | Metrics | Implementation |
|--|---------|--|
| Other Best Practices O O O O | | <input type="checkbox"/> Complete <input type="checkbox"/> Somewhat <input type="checkbox"/> Little/None <input type="checkbox"/> Not Applicable Discussion: |

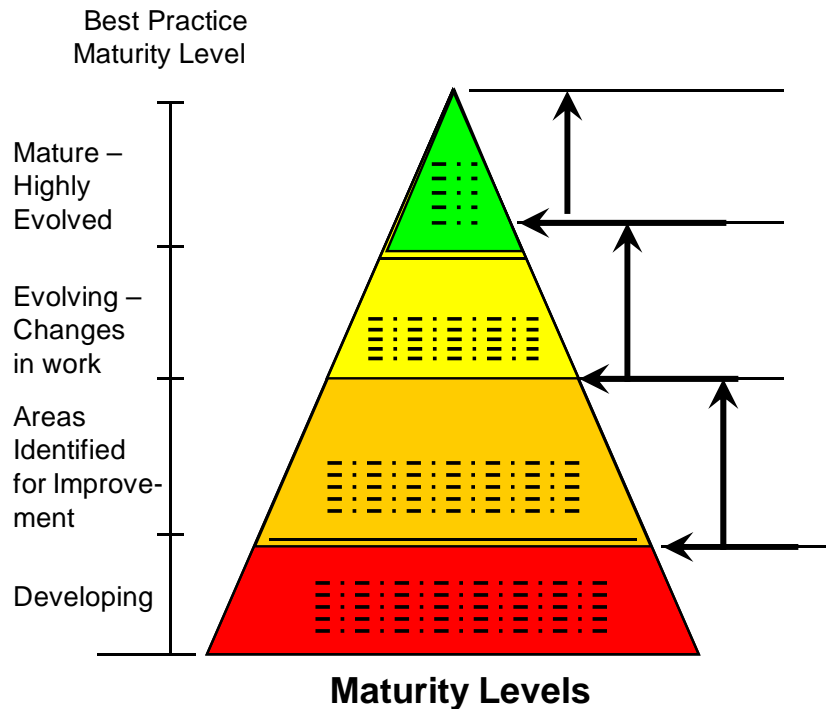
Identify the Regional Maturity Level

Using the information gathered in the evaluation of the Best Practice implementation, discuss the maturity model on the next slide and reach consensus on the regional maturity level. Draw a line on the table to indicate the consensus maturity level.

Focus Area 7 Maturity Model

| Maturity Level | Capability |
|---|--|
| Level 1 – Developing | <ul style="list-style-type: none"> • States – Current ICAO SMS requirements are not implemented and are not communicated to industry. • Industry – SMS not implemented. |
| Level 2 – Areas Identified for Improvement | <ul style="list-style-type: none"> • States – Current ICAO SMS requirements are communicated to industry sectors / disciplines. • Industry – SMS implemented in those sectors and disciplines for which it is currently mandated. |
| Level 3 – Evolving – Changes in work | <ul style="list-style-type: none"> • States – National legislation / regulations require all sectors and disciplines to implement an SMS. • Industry – SMS implementation programs are developed for sectors and disciplines not previously covered by SMS requirements. |
| Level 4 – Highly Evolved | <ul style="list-style-type: none"> • States – <ul style="list-style-type: none"> ◦ ICAO USOAP audit process covers the topic of SMS. ◦ SMS is regulated according to ICAO provisions and industry best practices. ◦ States and Regulatory authorities facilitate the sharing of SMS best practice as it evolves. • Industry – <ul style="list-style-type: none"> ◦ Organization within all sectors and disciplines of the aviation industry, including suppliers of goods and services that impact upon aviation safety, have their own formal SMS. ◦ Both internal and independent Audits of the SMS take place. ◦ All sectors and disciplines work together effectively in an integrated manner to manage risk across boundaries. ◦ SMS best practice is shared across sectors as it evolves. |

Identify Potential Recommended Actions



- Using the identified maturity level and the identified gaps, list the Recommended Actions necessary to move to the next level of maturity
- Using the group knowledge and consensus, identify other potential safety actions that should be considered.

Identify Potential Recommended Actions

| Recommended Actions |
|---|
| <ul style="list-style-type: none">••••••••••• |

Step 5 Output – Recommended Actions

