



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Component 1 — STATE SAFETY POLICIES AND OBJECTIVES

Element 1.1 — State safety legislative framework

Chapter 11	Has [State] promulgated a national safety legislative framework and specific regulations that define the management of safety in the State?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Has [State] defined the specific activities related to the management of safety in the State in which each [State] aviation organization must participate?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.1 — State safety legislative framework						
Chapter 11	Has [State] established requirements, responsibilities and accountabilities regarding the management of safety in [State] by its aviation organizations?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are the legislative framework and specific regulations periodically reviewed to ensure that they remain relevant and appropriate to the State?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are [State] legislative framework and specific regulations periodically reviewed to ensure that they are up to date with respect to international standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.1 — State safety legislative framework						
Chapter 11	Has [State] established a safety policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is [State] safety policy signed by the [State] SSP Accountable Executive or a high authority within [State]?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is [State] safety policy reviewed periodically?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.1 — State safety legislative framework						
Chapter 11	Is [State] safety policy communicated with visible endorsement to all employees in all [State] aviation organizations with the intent that they are made aware of their individual safety responsibilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Has [State] developed documentation that describes the SSP, including the interrelationship between its components and elements?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.1 — State safety legislative framework						
Chapter 11	Does [State] have a record system that ensures the generation and retention of all records necessary to document and support the SSP activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Does the record system provide the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.2 — State safety responsibilities and accountabilities						
Chapter 11	Has [State] identified and defined the State requirements, responsibilities and accountabilities regarding the establishment and maintenance of the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Do the requirements include directives and activities to plan, organize, develop, control and continuously improve the SSP in a manner that meets [State] safety objectives?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.2 — State safety responsibilities and accountabilities						
Chapter 11	Do the requirements include a clear statement about the provision of the necessary resources for the implementation and maintenance of the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Has [State] identified and appointed an Accountable Executive as the qualified person having direct responsibility for the implementation, operation and supervision of the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.2 — State safety responsibilities and accountabilities						
Chapter 11	Does the [State] SSP Accountable Executive fulfil the required job functions and responsibilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Does the [State] SSP Accountable Executive coordinate, as appropriate, the activities of the different State aviation organizations under the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Does the [State] SSP Accountable Executive have control of the necessary resources required for the proper execution of the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.2 — State safety responsibilities and accountabilities						
Chapter 11	Does the [State] SSP Accountable Executive verify that all personnel of [State] aviation organizations understand their authorities, responsibilities and accountabilities with regard to the SSP and all safety management processes, decisions and actions?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are safety responsibilities and accountabilities, at all levels, defined and documented?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.3 — Accident and incident investigation						
Chapter 11	Has [State] established, as part of the management of safety, an independent accident and incident investigation process, the sole objective of which is the prevention of accidents and incidents, and not the apportioning of blame or liability?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Does [State] maintain the independence of the accident and incident investigation organization from other State aviation organizations?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.4 — Enforcement policy						
Chapter 11	Has [State] promulgated an enforcement policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Does the enforcement policy establish the conditions and circumstances under which service providers are allowed to deal with, and resolve, events involving certain safety deviations internally, within the context of the service provider’s safety management system (SMS), and to the satisfaction of the appropriate State authority?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 1.4 — Enforcement policy						
Chapter 11	Does the enforcement policy establish the conditions and circumstances under which to deal with safety deviations through established enforcement procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No				

Component 2 — STATE SAFETY RISK MANAGEMENT

Element 2.1 — Safety requirements for the service provider’s SMS



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Element 2.1 — Safety requirements for the service provider’s SMS						
Chapter 11	Has [State] established the controls which govern how service providers will identify hazards and manage safety risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Do those controls include requirements, specific operating regulations and implementation policies for the service provider’s SMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 2.1 — Safety requirements for the service provider’s SMS						
Chapter 11	Are requirements, specific operating regulations and implementation policies based on identified hazards and analysis of the safety risks of the consequences of the hazards?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are requirements, specific operating regulations and implementation policies periodically reviewed to ensure they remain relevant and appropriate to the service providers?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 2.1 — Safety requirements for the service provider’s SMS						
Chapter 11	Is there a structured process within [State] to assess how the service providers will manage the safety risks associated with identified hazards, expressed in terms of probability and severity of occurrence?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is there a [State] policy in place that ensures effective safety reporting of safety deficiencies, hazards or occurrences?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 2.1 — Safety requirements for the service provider’s SMS

Chapter 11	Does [State] policy on reporting of safety deficiencies, hazards or occurrences include the conditions under which protection from disciplinary and/or administrative action applies?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
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Element 2.2 — Agreement on the service provider’s safety performance

Chapter 11	Has [State] individually agreed with service providers on the safety performance of their SMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
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Element 2.2 — Agreement on the service provider’s safety performance						
Chapter 11	Is the agreed safety performance commensurate with the complexity of the individual service provider’s specific operational context?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Does the agreed safety performance consider the individual service provider’s resources to address safety risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is the agreed safety performance expressed by multiple safety indicators and safety targets, as opposed to a single one, as well as by action plans?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 2.2 — Agreement on the service provider’s safety performance						
Chapter 11	Is the agreed safety performance periodically reviewed to ensure it remains relevant and appropriate to the service provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Component 3 — STATE SAFETY ASSURANCE

Element 3.1 — Safety oversight

Chapter 11	Has [State] established mechanisms to ensure that the identification of hazards and the management of safety risks by service providers follow established regulatory controls?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
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Element 3.1 — Safety oversight						
Chapter 11	Are regular and periodic reviews conducted regarding [State] ALoS?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Do reviews consider changes that could affect [State] SSP and its ALoS, recommendations for improvement and sharing of best practices across the State?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are regular and periodic reviews conducted to assess if [State] SSP and its ALoS remain appropriate to the scope and complexity of the aviation operations in the State?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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Element 3.1 — Safety oversight						
Chapter 11	Is there a process to evaluate the effectiveness of changes related to the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



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The gap analysis checklist that follows can be used as a template to conduct a gap analysis. Each question is designed for a “Yes” or “No” response. A “Yes” answer indicates that the State already has the component or element of the ICAO SSP framework in question incorporated into its safety system and that it matches or exceeds the requirement. A “No” answer indicates that a gap exists between the component/element of the ICAO SSP framework and the safety system in the State. Please note that in many cases the accurate response might be ‘partially’, in which case notes under “Status of Implementation” would reflect which aspects are in place (i.e., Yes) and identify the elements which are incomplete.

<i>ICAO reference (Doc 9859)</i>	<i>Aspect to be analysed or question to be answered</i>	<i>Answer</i>	<i>Status of implementation</i>	<i>Reference</i>	<i>To do</i>	<i>Responsibility</i>
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Element 3.2 — Safety data collection, analysis and exchange						
Chapter 11	Has [State] established mechanisms to ensure the capture and storage of data on hazards and safety risks at both the individual and aggregate State level?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Has [State] established mechanisms to develop information from the stored data and to promote the exchange of safety information with service providers and/or other States as appropriate?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Has [State] established an acceptable level of safety (ALoS) related to its SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Element 3.2 — Safety data collection, analysis and exchange						
Chapter 11	Does [State] ALoS related to the SSP combine elements of safety measurement and safety performance measurement?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is [State] ALoS commensurate with the complexity of aviation activities within [State]?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is there a formal process within [State] to develop and maintain a set of parameters to measure the realistic implementation of the SSP?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Element 3.3 — Safety-data-driven targeting of oversight of areas of greater concern or need						
Chapter 11	Has [State] developed procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is the prioritization of inspections and audits the result of the analysis of data on hazards, their consequences in operations, and the assessed safety risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Component 4 — STATE SAFETY PROMOTION

Element 4.1 — Internal training, communication and dissemination of safety information

Chapter 11	Does [State] provide internal training, awareness and two-way communication of safety-relevant information within [State] aviation organizations?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
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STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Element 4.1 — Internal training, communication and dissemination of safety information						
Chapter 11	Are there communication processes in place within [State] to ensure that information about the SSP functions and products is made available to [State] aviation organizations in a timely manner?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Is there a process for the dissemination of safety information throughout [State] aviation organizations and a means of monitoring the effectiveness of this process?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Element 4.1 — Internal training, communication and dissemination of safety information

Chapter 11	Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the [State] aviation organizations?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are safety information and information about the SSP functions and products maintained in a suitable medium?	<input type="checkbox"/> Yes <input type="checkbox"/> No				

Element 4.2 — External training, communication and dissemination of safety information



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Element 4.2 — External training, communication and dissemination of safety information						
Chapter 11	Does the [State] provide external education, awareness of safety risks and two-way communication of safety-relevant information?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are there communication processes in place within [State] that allow the SSP to be promoted nationally and internationally?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

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Element 4.2 — External training, communication and dissemination of safety information						
Chapter 11	Is there a formal process for the external dissemination of safety information to [State] service providers and a means of monitoring the effectiveness of this process?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are there communication processes in place within [State] to ensure that information about the SSP functions and products is made available to [State] service providers in a timely manner?	<input type="checkbox"/> Yes <input type="checkbox"/> No				



STATE SAFETY PROGRAMME (SSP) GAP ANALYSIS

The gap analysis checklist that follows can be used as a template to conduct a gap analysis. Each question is designed for a “Yes” or “No” response. A “Yes” answer indicates that the State already has the component or element of the ICAO SSP framework in question incorporated into its safety system and that it matches or exceeds the requirement. A “No” answer indicates that a gap exists between the component/element of the ICAO SSP framework and the safety system in the State. Please note that in many cases the accurate response might be ‘partially’, in which case notes under “Status of Implementation” would reflect which aspects are in place (i.e., Yes) and identify the elements which are incomplete.

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Element 4.2 — External training, communication and dissemination of safety information						
Chapter 11	Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of [State] service providers?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Chapter 11	Are safety information and information about the SSP functions and products established and maintained in a suitable medium?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
