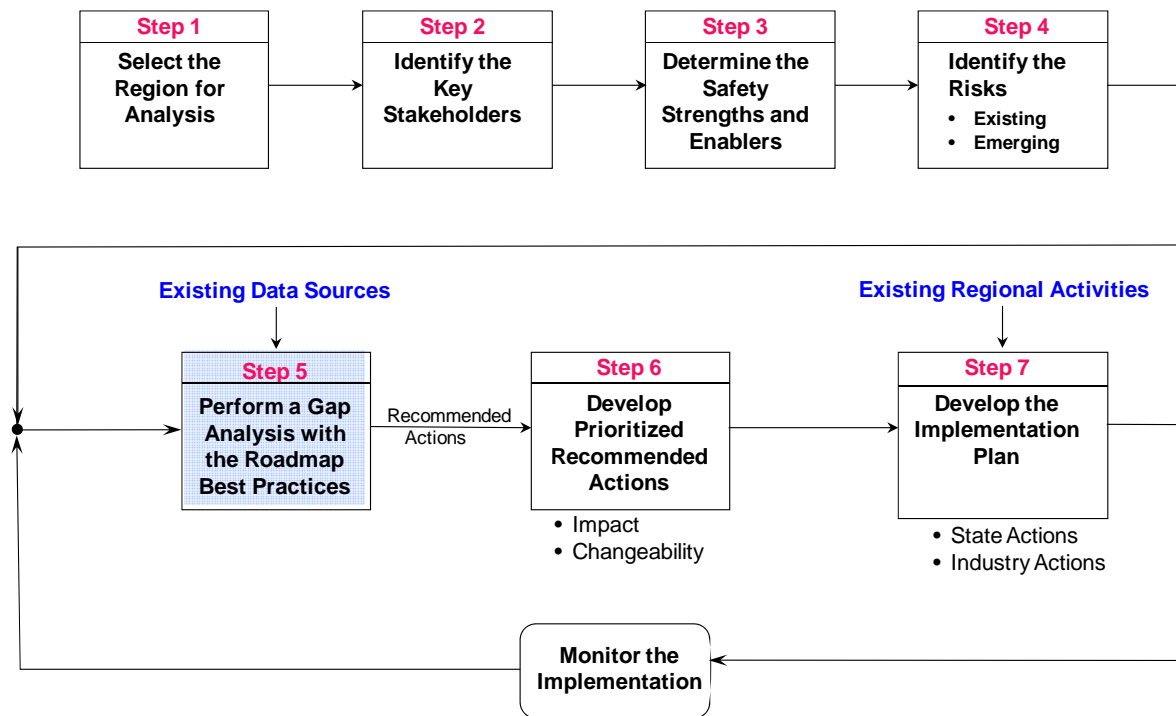


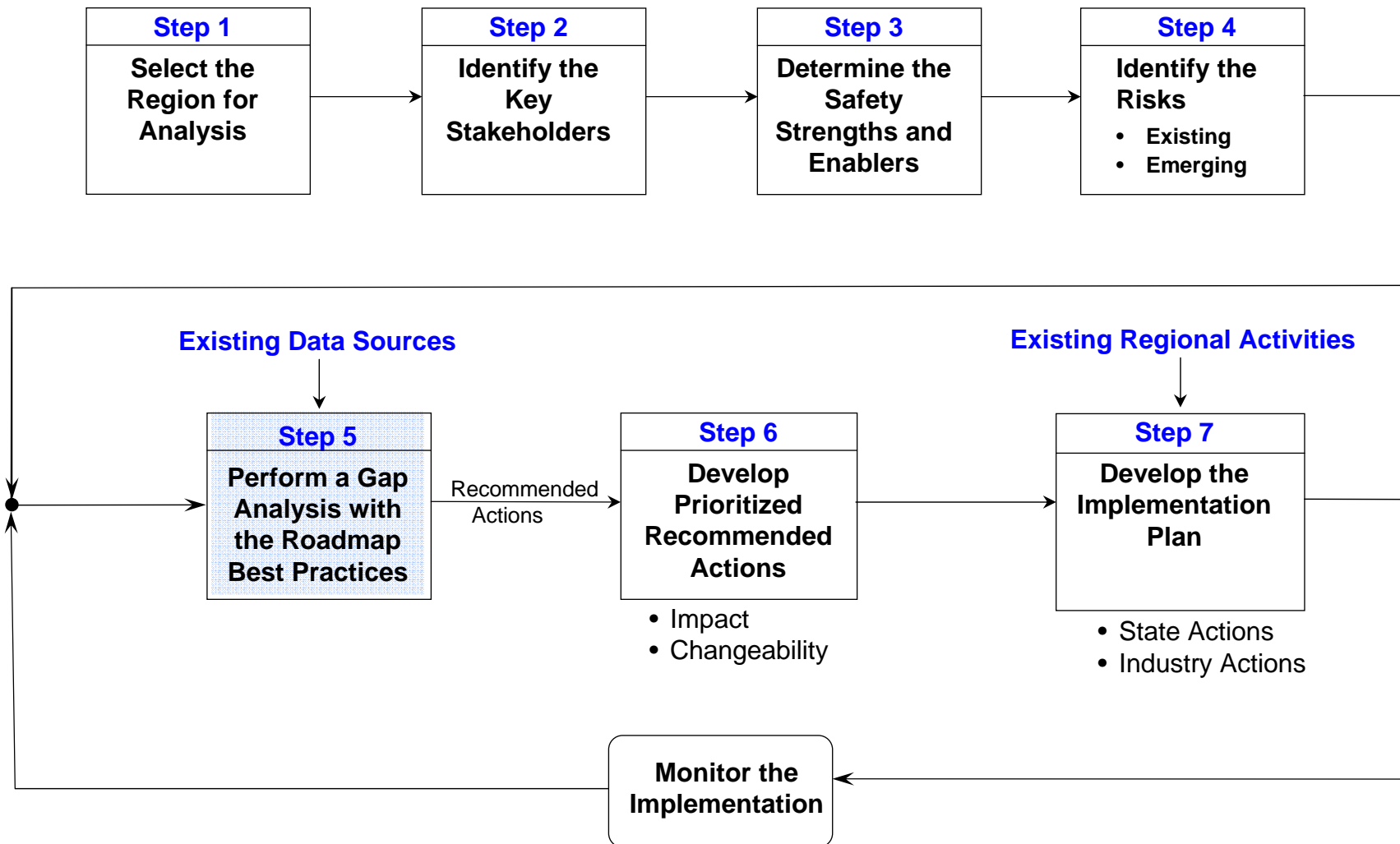
# Global Aviation Safety Roadmap

## Focus Area 3: Impediments to reporting of errors and incidents



## 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 3 – Best Practice Implementation

| Table 3a –Best Practices   | Metrics   | Implementation   |
|--|---|--|
| <p>BP 3a-1 – <b><u>The State has a legislative framework that protects safety data.</u></b></p> <p>The State legislation must include provisions which protect privacy, prevent self incrimination and properly apportion criminal liability for actions. Without these basic features, full disclosure of safety related information will be extremely difficult.</p> | <p>a. ICAO Annex 13 Attachment E<br/>b. USOAP AIG 6.505</p>   | <p><input type="checkbox"/> Complete<br/><input type="checkbox"/> Somewhat<br/><input type="checkbox"/> Little/None<br/><input type="checkbox"/> Not Applicable</p> <p>Discussion:</p> |
| <p>BP 3a-2 – <b><u>The State implements mandatory reporting of accidents and incidents.</u></b></p>  | <p>a. ICAO Annex 13 chapter 8<br/>b. USOAP AIG 6.501</p>  |  |
| <p>BP 3a-3 – <b><u>The State encourages voluntary reporting.</u></b></p> <ul style="list-style-type: none"> <li>•a. Regulatory framework exists.</li> <li>•b. “Just culture” exists.</li> <li>•c. Data from reports are used in a timely and efficient manner to improve safety.</li> </ul>  | <p>a. USOAP AIG 6.503; AIG 6.505<br/>b. USOAP AIG 6.507; AIG 511</p>  |  |
| <p>BP 3a-4 – <b><u>Each aviation professional who has an impact on safety has a clear understanding of what constitutes acceptable and unacceptable behavior.</u></b></p>  | <p>a. The State regulatory system provides clear guidance on the subject<br/>b. The operator /ANSP has clear explicit policy on the subject</p> |  |

# Focus Area 3 – Best Practice Implementation

| Table 3b –Best Practices  | Metrics  | Implementation   |
|---|--|--|
| <p>BP 3b-1 – <b><u>ICAO assesses the level of implementation of open reporting.</u></b></p> <ul style="list-style-type: none"> <li>a. USOAP Audit.</li> <li>•b. Assessment during visit to State by ICAO Officials.</li> <li>•c. Regular questionnaires sent by ICAO.</li> <li>•d. Other sources of information (IATA, IFALPA, FSF, CANSO, ACI).</li> </ul>         | <ul style="list-style-type: none"> <li>a. USOAP AIG 6.503</li> <li>b. ICAO has reliable data on the level of implementation of open reporting</li> </ul> | <ul style="list-style-type: none"> <li><input type="checkbox"/> Complete</li> <li><input type="checkbox"/> Somewhat</li> <li><input type="checkbox"/> Little/None</li> <li><input type="checkbox"/> Not Applicable</li> </ul> <p>Discussion:</p> |
| <p>BP 3b-2 – <b><u>The State understands the need for open reporting systems and takes appropriate measures to implement them.</u></b></p> <ul style="list-style-type: none"> <li>•a. ICAO and industry actively promotes open reporting systems.</li> <li>•b. Regulatory Authority and industry understanding.</li> <li>•c. Public awareness/education.</li> </ul> | <ul style="list-style-type: none"> <li>a. USOAP AIG 6.505; AIG 6.507</li> </ul>  |  |

# Focus Area 3 – Best Practice Implementation

| Table 3c –Best Practices   | Metrics  | Implementation  |
|--|--|---|
| <p>BP 3c-1 – <b><u>An entity is designated in each region as the focal point for collating safety data.</u></b></p> <ul style="list-style-type: none"> <li>•a. Use existing safety groups to collect, integrate and analyze safety data on a regional basis.</li> <li>•b. Use of regional groups, such as the Planning and Implementation Regional Groups (PIRGs), to identify safety issues.</li> <li>•c. Common methodologies for collection of safety data are utilized.</li> </ul> | <p>a. The designated entity is identified in each region</p>   | <p><input type="checkbox"/> Complete</p> <p><input type="checkbox"/> Somewhat</p> <p><input type="checkbox"/> Little/None</p> <p><input type="checkbox"/> Not Applicable</p> <p>Discussion:</p> |
| <p>BP 3c-2 – <b><u>States and the industry stakeholders in the region contribute safety data.</u></b></p>  | <p>a. Percentage of States in the region that contributes safety data</p> <p>b. Percentage of Operators/Service providers that contributes safety data</p> |   |
| <p>BP 3c-3 – <b><u>Safety data is analyzed and action is taken at the regional and State level to correct deficiencies.</u></b></p>  | <p>a. Analysis of data, together with information on corrective actions and their results, is available</p>  |   |
| <p>BP 3c-4 – <b><u>Safety data are categorized on the ICAO based common taxonomy.</u></b></p>  | <p>a. CAST/ICAO Common Taxonomy is used</p>  |   |

# Focus Area 3 – Best Practice Implementation

| Table 3d –Best Practices  | Metrics   | Implementation   |
|---|---|--|
| BP 3d-1 – <b><u>The principle of “just culture” underpins the international sharing of data/global data reporting system.</u></b>   | a. ICAO Annex 13 Attachment E.<br>b. USOAP AIG 6.509        | <input type="checkbox"/> Complete<br><input type="checkbox"/> Somewhat<br><input type="checkbox"/> Little/None<br><input type="checkbox"/> Not Applicable<br><br>Discussion: |
| BP 3d-2 – <b><u>A common taxonomy is in place.</u></b>  | a. USOAP AIG 6.509  |  |
| BP 3d-3 – <b><u>Each Data collection system is designed in such way that sharing of de-identified data is easy.</u></b><br><i>Note: De-identified data is data that has had differentiating parameters such as names removed.</i> | a. Sharing of de-identified data is taking place            |  |
| BP 3d-4 – <b><u>Safety data are analyzed in an objective and scientifically sound manner, independent of any non-safety considerations, and the result is shared with all stakeholders.</u></b>                                   | a. Peer review<br>b. Sharing system is in place and working |  |

# Focus Area 3 – Other Best Practices

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

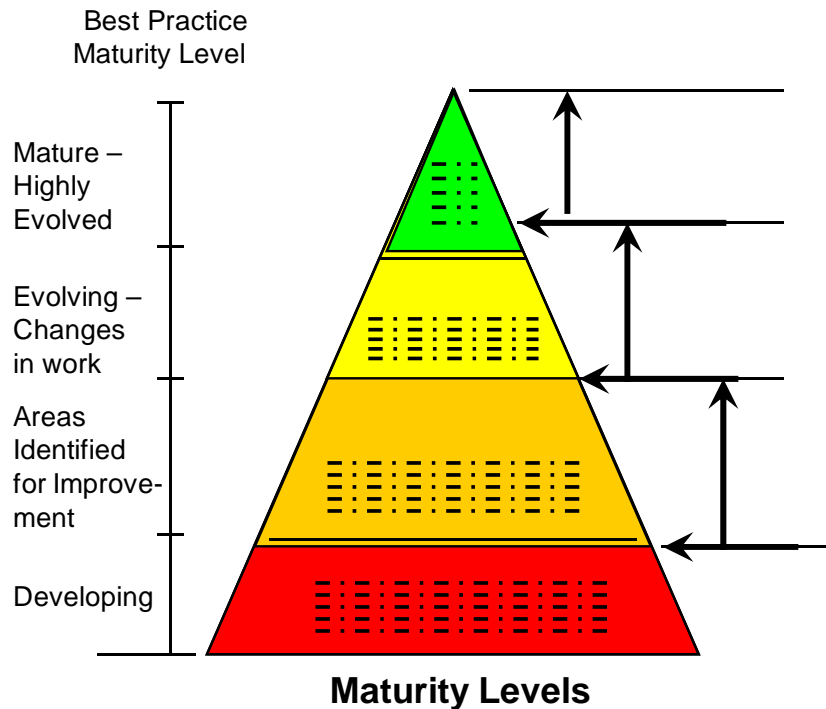
# Identify the Regional Maturity Level

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 3 Maturity Model

| Maturity Level                                    | Capability   |
|---|--|
| <b>Level 1 – Developing</b>                       | <ul style="list-style-type: none"> <li>•The information from safety data collecting and processing system is not protected.</li> <li>•No voluntary reporting system is in place.</li> <li>•Inappropriate* use or no use is made of the report.</li> </ul> <p>*as defined in ICAO Annex 13, Attachment E, paragraph 1.5.c</p>   |
| <b>Level 2 – Areas Identified for Improvement</b> | <ul style="list-style-type: none"> <li>•The information from safety data collecting and processing system is not protected but use of safety data is appropriate in most cases.</li> <li>•No voluntary reports are submitted.</li> <li>•Safety data are not always analyzed.</li> <li>•Action is not taken in a systematic way to correct identified deficiencies.</li> </ul>  |
| <b>Level 3 – Evolving – Changes in work</b>       | <ul style="list-style-type: none"> <li>•The principles of a “just culture” are widely accepted, but not fully implemented at the national and/or corporate level.</li> <li>•The information from safety data collecting and processing system is protected.</li> <li>•Mandatory reporting is efficient but voluntary reporting is limited to specific group of professionals.</li> <li>•Safety data are analyzed, but action is not always taken.</li> </ul> |
| <b>Level 4 – Highly Evolved</b>                   | <ul style="list-style-type: none"> <li>•A “just culture” is implemented at the national and corporate level.</li> <li>•The information from safety data collecting and processing system is properly protected.</li> <li>•Safety data are actively collected at all levels of the industry.</li> <li>•The safety data are used to the fullest extent to feed safety management systems, and for other safety purposes.</li> </ul>                            |

# 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"><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li><li>•</li></ul> |

# Step 5 Output – Recommended Actions

