ICAO SSP Protocol Questions

Audit Preparation Guidance for States

PQ-by-PQ practical guidance

Based on ICAO SSP 2024 Protocol Questions Audit Preparation Guidance

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What We Will Cover during today's meeting

- What changed under USOAP-CMA
- The SSP–SMS relationship
- The Four SSP Components
- SSP Component- Protocol Questions

What changed under USOAP-CMA

Safety Management PQs became applicable to activities started after 1st August 2026

9th Audit Area: SSP

SSP joins LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA as a dedicated audit area.

Dedicated SSP EI

ICAO provides a dedicated SSP Effective Implementation score and EI by SSP component.

SMS-Related PQs

SMS-related PQs are incorporated in PEL, OPS, AIR, ANS and AGA to assess State oversight of applicable service providers.

SSP and SMS are no longer parallel conversations, they are connected parts of the USOAP-CMA safety-management picture

Two linked audit lenses

ICAO will look at State-level safety management and State oversight of service-provider SMS

SSP PQs

- SSP governance and coordination, State safety policy and objectives,
- Safety Reporting and data protection, SDCPS and analysis
- Hazard identification and SRM process
- State level Safety SPIs and effective implementation
- State level Safety promotion

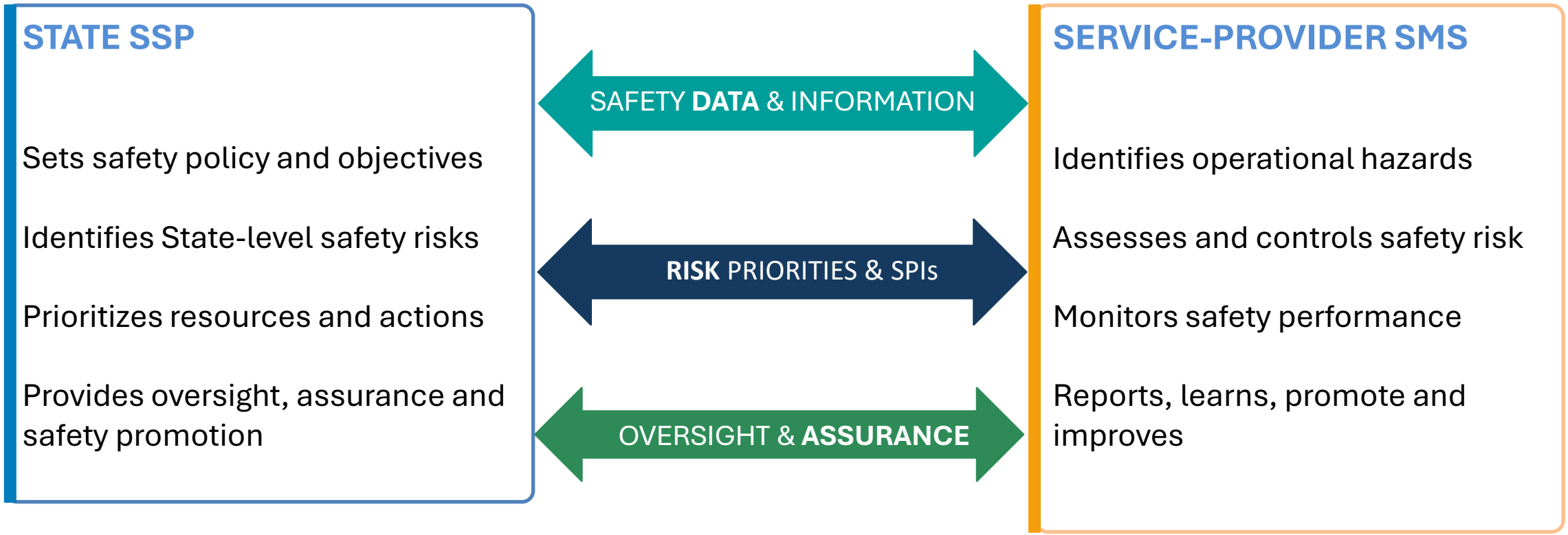


SMS-related PQs

- State requirements for SMS
- Inspector competence and guidance
- Initial acceptance / assessment of SMS
- Hazard identification, assessment and mitigations
- Continued surveillance and monitoring of effectiveness
- Safety promotion

The SSP–SMS relationship

One safety system at two levels, connected by data, risk and assurance



The relationship is a feedback loop
Not a one-way compliance requirement

FRAMEWORK

The Four SSP Components

P

6 PQs

State Safety Policy, Objectives & Resources

Coordinating authority, SSP Governance & coordination, Documented functions, defined roles, training Programme & trained personnel, published policy and safety objectives.

9.001 · 9.005 · 9.009 · 9.013 · 9.017 · 9.021

R

7 PQs

State Safety Risk Management

Mandatory and voluntary reporting, data protection, SDCPS, hazard identification, risk assessment and risk-mitigation action.

9.029 · 9.033 · 9.037 · 9.041 · 9.045 · 9.049 · 9.053

A

2 PQs

State Safety Assurance

SPIs/SPTs and evaluation of the effectiveness of risk-mitigation actions.

9.025 · 9.057

Pr

1 PQ

State Safety Promotion

Safety-awareness promotion and information sharing across State authorities and the aviation community.

9.061

Audit readiness is evidence of a **functioning system**

The strongest State response is not "***We have a document***." It is:

"This is the requirement and responsible authority"

"This is the controlled process we use"

"These are recent cases showing implementation"

"These results show whether it worked"

"These are the improvements made when it did not"

Five questions States should ask before the audit

1. Can we demonstrate who owns SSP decisions and how they are made?
2. Do we have reliable safety data & information, and do we actually use it?
3. Can we identify our highest State-level safety risks and priorities?
4. Can we show effective SMS oversight across applicable service providers?
5. Can we demonstrate that safety actions improve performance over time?

If the answer exists **only** in a **manual**, **the system is not yet ready.**

P

SSP COMPONENT • 6 PROTOCOL QUESTIONS

State Safety Policy, Objectives & Resources

9.001 9.005 9.009 9.013 9.017 9.021



PROTOCOL QUESTION

9.001- State audit-readiness guidance

State safety policy, objectives and resources

Has the State documented the functions and activities for the establishment and maintenance of the SSP?

Verification focus from the PQ

1. The State has published SSP related documentation that outlines the functions and activities to support the implementation of its SSP, including all SSP components and associated programmes.

What the State should have in place

1. Issue controlled SSP documentation covering all SSP components and associated programmes.
2. Map every SSP function/activity to a responsible authority, process and controlled procedure (Implementation Plan).
3. Establish document ownership, approval, revision, distribution and periodic review controls.
4. Cross-reference supporting systems: Governance, reporting systems, SRM, assurance, promotion.

Audit mindset

Demonstrate that the SSP is a functioning State system, not only a stand-alone manual.

9.001 — State audit-readiness guidance

Recommended evidence pack

- Approved/published SSP document or manual
- SSP implementation plan/maintenance
- Document control / revision history and publication evidence

Audit challenge

Can the State show where each SSP function is documented, who performs it, and evidence that the process is maintained?

PROTOCOL QUESTION

9.005- State audit-readiness guidance

State safety policy, objectives and resources

Has the State designated the authority in charge of coordinating the establishment and maintenance of the SSP?

Verification focus from the PQ

1. State has formally designated the authority in charge of coordinating the implementation and maintenance of the SSP;

2. and has defined and documented responsibilities and roles of the State authority in charge of coordinating the implementation and maintenance of the SSP.

What the State should have in place

1. Use a law, decree, ministerial decision or other formal instrument to designate the coordinating authority.
2. Define its mandate, authority, responsibilities, interfaces and reporting arrangements.
3. Nominate accountable leadership and an SSP coordination focal point.
4. Ensure the designation is reflected consistently in the SSP documentation and governance arrangements.

Audit mindset

Prove that one authority has formal State-level coordination responsibility and clear accountability.

9.005 — State audit-readiness guidance

Recommended evidence pack

- Formal designation instrument
- Approved SSP governance
- Organization chart and reporting lines
- Documented roles of coordinating authority and focal point

Audit challenge

Is the designation formal and unambiguous, and can the authority actually coordinate the SSP across government?

PROTOCOL QUESTION

9.009 — State audit-readiness guidance

State safety policy, objectives and resources

Does the State ensure that the responsibilities of the relevant State authorities regarding the SSP functions and activities are identified and defined, and that these authorities are involved in the implementation and maintenance of the SSP?

Verification focus from the PQ

1. the State has identified and defined the roles and responsibilities related to the management of safety of each relevant State authorities (e.g. Civil Aviation Authority, Accident Investigation Authority and Military Aviation Authority and other authorities as applicable) involved in the SSP establishment and maintenance with no gaps or overlaps;
2. the State has established a mechanism that facilitates the coordination of SSP related aspects at the State level, chaired by the designated authority in charge of coordinating the SSP implementation and maintenance;
3. and all relevant State authorities are represented and participate in the SSP implementation and maintenance efforts.

What the State should have in place

1. Identify every relevant State authority and its SSP-related functions.
2. Roles/responsibilities of each relevant authority defined with no gaps or overlaps
3. Establish a State Safety Committee/Board or equivalent coordination mechanism chaired by the designated authority.
4. All relevant authorities represented and actively participating
5. Maintain records showing active representation, decisions, assigned actions and follow-up.

Audit mindset

Eliminate gaps, overlaps and disconnected safety-management responsibilities among State authorities.

9.009 — State audit-readiness guidance

Recommended evidence pack

- State SSP governance framework
- Map the safety-related roles of every relevant State authority (CAA, accident investigation authority, military aviation authority, meteorological authority, etc.) to identify and close gaps or overlaps
- Committee terms of reference and Meeting minutes, decisions and action tracker
- Inter-agency agreements/MOUs where needed

Audit challenge

Do records demonstrate real participation and coordination, rather than authorities merely being named in the SSP?

PROTOCOL QUESTION

9.013 — State audit-readiness guidance

State safety policy, objectives and resources

Does the State ensure that personnel of the State authorities involved in SSP establishment and maintenance are qualified to perform their functions and responsibilities?

Verification focus from the PQ

1. the State authorities have determined the training needs for personnel involved in the SSP establishment and maintenance;
2. a training programme has been developed for personnel involved in the SSP establishment and maintenance;
3. a training plan has been developed and implemented for personnel involved in the SSP establishment and maintenance; and
4. recurrent training is included to ensure that competency is retained.

What the State should have in place

1. Define competencies and training needs by SSP role.
2. Approve an SSP training programme covering initial, role-specific, OJT where relevant and recurrent training.
3. Maintain individual training plans linked to identified gaps.
4. Assess completion/effectiveness and periodically refresh competency requirements.

Audit mindset

Show that SSP personnel are competent and remain competent for their assigned functions.

9.013 — State audit-readiness guidance

Recommended evidence pack

- Training needs analysis
- Approved SSP training programme
- Annual/individual training plans
- Training and recurrent-training records
- Competency/qualification records

Audit challenge

Can sampled personnel demonstrate training appropriate to their actual SSP responsibilities, including recurrent training?

PROTOCOL QUESTION

9.017 — State audit-readiness guidance

State safety policy,objectives and resources

Has the State established and published its safety policy which is periodically reviewed, and amended as needed?

Verification focus from the PQ

1. the State has established its safety policy
2. the safety policy includes:
   a. a clear high-level management commitment to safety, including the allocation of resources, on behalf of the relevant State authorities;
   b. endorsement by all relevant State authorities who participate in the implementation and maintenance of the SSP; and
   c. the need to promote positive safety culture, including an emphasis on measures to be taken to encourage safety reporting (e.g. the protection of safety data, safety information and related sources); and
3. the safety policy is published and communicated, reviewed periodically, and amended as needed.

What the State should have in place

1. Approve a State safety policy at appropriate senior level.
2. Include commitment to safety, resources, positive safety culture and encouragement/protection of reporting.
3. Obtain endorsement by all relevant participating State authorities.
4. Publish and communicate the policy internally and externally.
5. Define review frequency and retain evidence of review/amendment.

Audit mindset Demonstrate visible State leadership commitment, reporting culture and protection principles.

9.017 — State audit-readiness guidance

Recommended evidence pack

- Signed State safety policy
- Endorsements by relevant authorities
- Publication/website/intranet evidence
- Communication records
- Periodic review/reapproval records

Audit challenge

Is the policy current, endorsed, communicated and reflected in actual State practices and resource decisions?

PROTOCOL QUESTION

9.021 — State audit-readiness guidance

Has the State established its safety objectives that address the State's highest safety risk and are published, periodically reviewed and amended as needed?

Verification focus from the PQ

1. the State has established its State safety objectives
2. the State safety objectives represent the State's highest safety risks; and
3. the State safety objectives are published, reviewed periodically, and amended as needed.

What the State should have in place

1. Derive State safety objectives directly from the State's highest-priority safety risks (State Safety Risk Register or equivalent)
2. Formulate safety Objectives that represent the State's highest safety risks
3. Trace each objective to relevant SPIs, targets/actions and responsible owners.
4. Publish objectives and establish a periodic risk-based review cycle.

Audit mindset

Connect State safety objectives directly to the State's highest safety risks.

9.021 — State audit-readiness guidance

Recommended evidence pack

- State risk register / safety analysis (State risk picture)
- Approved safety objectives
- Published objectives and link them explicitly to the SPIs that will measure progress
- Periodic review records

Audit challenge

Can the State demonstrate with safety data why each objective is a priority and how achievement will be measured?

A

SSP COMPONENT • 1 PROTOCOL QUESTIONS

State Safety Assurance

9.025



PROTOCOL QUESTION

9.025 — State audit-readiness guidance

State safety assurance

Does the State ensure that its safety performance indicators (SPIs) are established and monitored, to support achieving its safety objectives?

Verification focus from the PQ

1. the State has a mechanism to select SPIs to monitor that its SSP functions and activities are achieving the intended safety objectives
2. the SPIs encompass both operational safety risks and process implementation risks
3. the SPIs and respective targets (as applicable), are developed in a manner that supports the effort to meet its safety objectives, and together, they are formulated in a manner that is specific, measurable, achievable, relevant and timebound; and
4. the SPIs, targets and alert levels, when used, are periodically reviewed and amended as needed.

What the State should have in place

1. Establish SPI selection and approval methodology.
2. Include both operational risk and process implementation indicators.
3. Define each SPI: purpose, formula, data source, owner, frequency, baseline, target and alert level where used.
4. Ensure SPIs/targets are SMART and linked to safety objectives.
5. Monitor through a dashboard and periodically review suitability and thresholds.

Audit mindset

Use SPIs to determine whether SSP functions and processes are achieving intended safety objectives.

9.025 — State audit-readiness guidance

Recommended evidence pack

- SPI framework/procedure
- SPI register
- Safety Objective–SPI mapping
- Dashboard/trend reports
- Target/alert approval and periodic review records

Audit challenge

Do SPIs drive management decisions, or are they only statistics? Auditors should be able to trace indicator → objective → action.

R

SSP COMPONENT • 7 PROTOCOL QUESTIONS

State Safety Risk Management

9.029 9.033 9.037 9.041 9.045 9.049 9.053

PROTOCOL QUESTION

9.029 — State audit-readiness guidance

State safety risk management

Has the State established and implemented a State-level mandatory reporting system?

Verification focus from the PQ

1. the State has legislation, regulations, procedures, and a mechanism to establish and implement mandatory reporting system(s).

Note to the auditor: The mandatory reporting system in this PQ is not limited to accident/incident reporting system that is assessed in AIG PQ 6.501

What the State should have in place

1. Establish legal/regulatory mandatory reporting obligations and reportable occurrence criteria.
2. Develop Mandatory reporting procedure
3. Ensure system captures all occurrences
4. Number of activity commensurate with the activity
5. Provide accessible reporting mechanisms and acknowledgement/processing workflows.
6. Train industry and State personnel and monitor reporting performance.

Audit mindset

Demonstrate an implemented State-level mandatory reporting system beyond accident/incident notification alone.

9.029 — State audit-readiness guidance

Recommended evidence pack

- Legislation/regulations
- Mandatory reporting procedure and occurrence list
- Reporting portal/forms and workflow
- Sample reports and processing records
- Guidance/training/communication to industry

Audit challenge

Can the State show actual mandatory reports flowing through a defined process from submission to validation and safety use?

PROTOCOL QUESTION

9.033 — State audit-readiness guidance

State safety risk management

Does the State ensure that safety data captured by, and safety information derived from the mandatory reporting system(s) and its related sources are protected?

Verification focus from the PQ

1. the State has a mechanism in place to protect safety data, safety information and related sources including exceptions and agreements between State authorities as applicable; and

1. the State does not make available or use safety data or safety information collected, stored, or analysed for purposes other than maintaining or improving safety, unless the competent authority determines that a principle of exception applies.

What the State should have in place

1. Establish a mechanism to protect safety data, info & related data
2. Transpose Annex 19 protection principles and exceptions into the national framework.
3. Define competent authority/process for applying exceptions.
4. Control access, disclosure, de-identification
5. Establish inter-authority agreements where information may be requested (If relevant)
6. Train users with access to protected safety information.

Audit mindset

Ensure mandatory-reporting data and sources are protected and used primarily for safety improvement.

9.033 — State audit-readiness guidance

Recommended evidence pack

- Applicable legislation/regulation
- Safety data protection procedure
- Access-control/confidentiality arrangements
- Inter-agency agreements if relecvant
- Sample disclosure/exception decisions, if any
- Training/awareness records

Audit challenge

Can the State demonstrate how it prevents inappropriate disclosure or punitive/non-safety use, including who decides exceptions?

PROTOCOL QUESTION

9.037 — State audit-readiness guidance

State safety risk management

Has the State established and implemented a State-level voluntary reporting system?

Verification focus from the PQ

1. the State has legislation, regulations, procedures, and mechanism to establish and implement voluntary reporting system(s).

What the State should have in place

1. Establish legal/regulatory basis and voluntary reporting policy.
2. Provide confidential/non-punitive reporting arrangements consistent with applicable protections.
3. Define intake, acknowledgement, triage, analysis, feedback and closure processes.
4. Ensure number of VRS commensurate with the activity
5. Promote the system and monitor participation and quality of reports.

Audit mindset

Provide an implemented channel for voluntary reporting of hazards and safety concerns.

9.037 — State audit-readiness guidance

Recommended evidence pack

- Legislation/regulations/policy
- Voluntary reporting procedure
- Reporting portal/forms
- Sample de-identified reports and follow-up
- Promotion and feedback material

Audit challenge

Is the system trusted and actually used, with evidence of reports being processed and safety feedback being generated?

PROTOCOL QUESTION

9.041 — State audit-readiness guidance

State safety risk management

Does the State ensure that safety data captured by, and safety information derived from the voluntary reporting system(s) and its related sources are protected?

Verification focus from the PQ

1. the State has a mechanism to protect safety data, safety information and related sources including exceptions and agreements between State authorities as applicable; and
2. the State does not make available or use safety data or safety information collected, stored, or analysed for purposes other than maintaining or improving safety, unless the competent authority determines that a principle of exception applies.

What the State should have in place

1. Establish a mechanism to protect safety data, safety information and related sources
2. Restrict access to identifiable reporter/source information.
3. Define de-identification, disclosure and information-sharing controls.
4. Establish agreements between authorities as applicable.
5. Demonstrate that safety information is not used for unrelated purposes unless an exception is formally determined.

Audit mindset

Apply effective protection to voluntary safety data, information and related sources.

9.041 — State audit-readiness guidance

Recommended evidence pack

- Protection provisions and procedures
- Confidentiality/access-control records
- Data-sharing agreements
- De-identification rules
- Sample controlled cases / exception decisions where applicable

Audit challenge

Can a voluntary reporter understand what is protected, what exceptions apply, and how the State enforces those protections?

PROTOCOL QUESTION

9.045 — State audit-readiness guidance

State safety risk management

Has the State established Safety Data Collection and Processing Systems (SDCPS) to enable safety data and information analysis?

Verification focus from the PQ

1. there is a mechanism established and implemented to ensure the collection, processing and analysis of safety data and safety information at the State level;
2. the sources for safety data and safety information include data and information derived from accident and incident investigations, mandatory safety reporting systems and voluntary safety reporting systems. Other sources may include sector-specific reporting, self-disclosure reporting, results of surveillance activities;
3. the safety database(s) at the State level are categorized using an agreed upon taxonomy and supporting definitions, in a way that enables analysis of safety data and facilitates sharing and exchange of the safety information; and
4. the SDCPS is accessible (or on request, considering the protection of safety data and safety information) by different relevant State authorities to support their functions and activities related to SSP establishment and maintenance.

Note to the auditor: This PQ is to “enable analysis” not to perform analysis.

What the State should have in place

1. Establish and define the State SDCPS architecture, governance and data ownership.
2. Integrate accident/incident, mandatory, voluntary and other relevant safety-data sources.
3. Adopt common taxonomy, definitions, coding and data-quality controls.
4. Define validation, storage, access, exchange, security and retention processes.
5. Provide controlled access to relevant State authorities while respecting data protection.

Audit mindset

Show that the State has an integrated capability to collect, process and make safety data usable to enable analysis.

9.045 — State audit-readiness guidance

Recommended evidence pack

- SDCPS policy/procedure and architecture
- Data-source inventory/data-flow map
- Adopt an agreed taxonomy (e.g. CICTT-aligned) so data can be categorized and analysed consistently
- Database/system demonstration
- Data quality and validation rules
- Access-rights / inter-authority access arrangements

Audit challenge

For this PQ, focus on whether the system enables analysis not whether the State has already performed every analysis.

PROTOCOL QUESTION

9.049 — State audit-readiness guidance

State safety risk management

Does the State identify hazards and perform safety risk assessment from the collected safety data and safety information?

Verification focus from the PQ

1. there is a mechanism established and implemented to: identify hazards from collected safety data and safety information; and

2. perform safety risk assessments including assessment of probability, severity, and tolerability of the safety risks.

What the State should have in place

1. Establish a documented State hazard-identification and risk-assessment methodology.
2. Define inputs, screening, hazard statements, consequences and existing controls.
3. Assess probability, severity and tolerability using approved criteria.
4. Maintain domain and/or State risk registers with ownership and review dates.
5. Use multidisciplinary review/validation for significant risks.

Audit mindset

Convert collected safety information into identified hazards and assessed State safety risks.

9.049 — State audit-readiness guidance

Recommended evidence pack

- State SRM procedure
- Risk matrix and acceptance criteria
- Hazard/risk registers
- Completed safety risk assessments
- Meeting/validation records
- Traceability to source safety data

Audit challenge

Select sample hazards and trace them from source data through hazard identification, probability/severity assessment and tolerability decision.

PROTOCOL QUESTION

9.053 — State audit-readiness guidance

State safety risk management

Does the State take action on identified safety risks as required?

Verification focus from the PQ

1. there is a mechanism established and implemented to develop, document, and take appropriate safety risk mitigation/control actions as required, at the State level.

1. Sample evidence of safety risk mitigation and control actions at the State level.

What the State should have in place

1. Define mitigation planning, approval, ownership, due dates and escalation rules.
2. Select controls based on the assessed risk and effectiveness of available measures.
3. Record residual risk and risk acceptance authority.
4. Track implementation through action plans and management governance.
5. Retain evidence that mitigations were actually implemented.

Audit mindset

Demonstrate that unacceptable or priority State safety risks lead to documented and implemented controls.

9.053 — State audit-readiness guidance

Recommended evidence pack

- SRM/mitigation procedure
- Risk treatment/action plans
- Assigned owners and due dates
- Implementation evidence
- Residual risk/acceptance records
- Management/committee follow-up records

Audit challenge

Auditors should be able to sample a risk and see a complete chain: assessment → decision → mitigation → implementation evidence.

A

SSP COMPONENT • 1 PROTOCOL QUESTIONS

State Safety Assurance

9.057



PROTOCOL QUESTION

9.057 — State audit-readiness guidance

State safety assurance

Does the State evaluate the effectiveness of actions taken to manage safety risks?

Verification focus from the PQ

1. the State has a mechanism to assess the effectiveness of actions taken.
2. Verify that the State assesses the effectiveness of actions taken to manage safety risks and to mitigate these risks to an acceptable level.
3. Sample cases of actions taken.

Note to the auditor: Sampling to include initial actions taken that were sufficient in lowering the risk to an acceptable level and no additional actions were required, and cases in which initial actions taken were not sufficient and additional actions were taken to ensure that the risk became acceptable.

What the State should have in place

1. Define effectiveness criteria/mechanism when approving each mitigation.
2. Establish post-implementation monitoring periods, indicators and review responsibilities.
3. Compare post-action performance/risk with baseline and expected outcome.
4. Document effectiveness decisions and residual risk.
5. Where insufficient, initiate additional controls and repeat the assessment cycle.

Audit mindset

Prove that the State checks whether risk controls work and takes further action when they do not.

9.057 — State audit-readiness guidance

Recommended evidence pack

- Effectiveness-monitoring procedure
- Before/after risk assessments
- SPI/trend or occurrence data
- Completed effectiveness review forms
- Cases where initial action was sufficient
- Cases where additional action was required

Audit challenge

Prepare both types of samples explicitly requested by the PQ: successful initial mitigation and a case requiring additional action.

Pr

SSP COMPONENT • 1 PROTOCOL QUESTION

State Safety Promotion

9.061



PROTOCOL QUESTION

9.061 — State audit-readiness guidance

State safety promotion

Does the State promote safety awareness and share safety information?

Verification focus from the PQ

the State promotes safety awareness (e.g. training, seminars, workshops), including promotion of safety reporting:

1. amongst the relevant State authorities; and
2. with the aviation community (e.g. service providers, aviation industry, aviation personnel).

What the State should have in place

1. Develop a State safety promotion/communication plan.
2. Conduct SSP/SRM/reporting awareness for relevant State authorities.
3. Conduct seminars, workshops, guidance and outreach for service providers and aviation personnel.
4. Share safety information, lessons, trends and reporting guidance while respecting protection rules.
5. Evaluate reach/effectiveness and update the programme.

Audit mindset

Demonstrate continuous safety communication and awareness across government and the aviation community.

9.061 — State audit-readiness guidance

Recommended evidence pack

- Safety promotion strategy/annual plan
- Training/workshop records
- Safety bulletins, circulars, web publications
- Reporting promotion campaigns
- Attendance/feedback/effectiveness records

Audit challenge

Show sustained, targeted promotion with evidence of delivery and impact not one-off events only.

PREPARATION

Consolidated Evidence Package Checklist

Compile these documents/records into a single, indexed evidence package before the audit; cross-reference each item to its PQ number(s).

P

State Safety Policy, Objectives & Resources

- SSP Manual / Framework document
- Published State Safety Policy (signed/endorsed)
- SSP implementation plan
- Coordinating authority ToR & designation instrument
- Roles/responsibilities map across all relevant authorities
- Safety Board / Safety Committee meeting minutes
- Staffing , SSP TNA, training Programme & Plan, training records

R

State Safety Risk Management

- Mandatory & voluntary reporting regulations and procedures
- Safety-data protection policy
- SDCPS Framework/Procedure, taxonomy and access arrangements
- SRM Framework/Procedure, Populated State Safety Risk Register
- Risk-mitigation action plans linked to register entries

A

State Safety Assurance

- SPI/SPT catalogue with SMART formulation
- SPI monitoring dashboard/reports
- Effectiveness-evaluation records (balanced sample)

Pr

State Safety Promotion

- Workshop/seminar attendance records & bulletins

LESSONS LEARNED

Common Audit Pitfalls to Avoid

Policy without full endorsement

Safety policy exists but is not co-signed by every relevant State authority, auditors check for joint ownership, not just CAA sign-off.

Protection policy silent on voluntary reporting

Data-protection provisions written only around mandatory reporting, leaving voluntary/confidential reporting unaddressed.

Registers that are stale or empty

A risk register or SPI dashboard that exists on paper but shows no current entries reads as “not implemented,” not “in progress.”

SPIs that aren’t SMART

Indicators without a defined baseline, target, or review cycle cannot demonstrate progress toward safety objectives.

Closure without effectiveness evidence

Marking a mitigation “complete” without evaluating whether it actually reduced the risk is a frequent finding.

Promotion activity undocumented

Workshops and bulletins happened but were never logged — auditors sample records, not recollection.

Thank you

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