



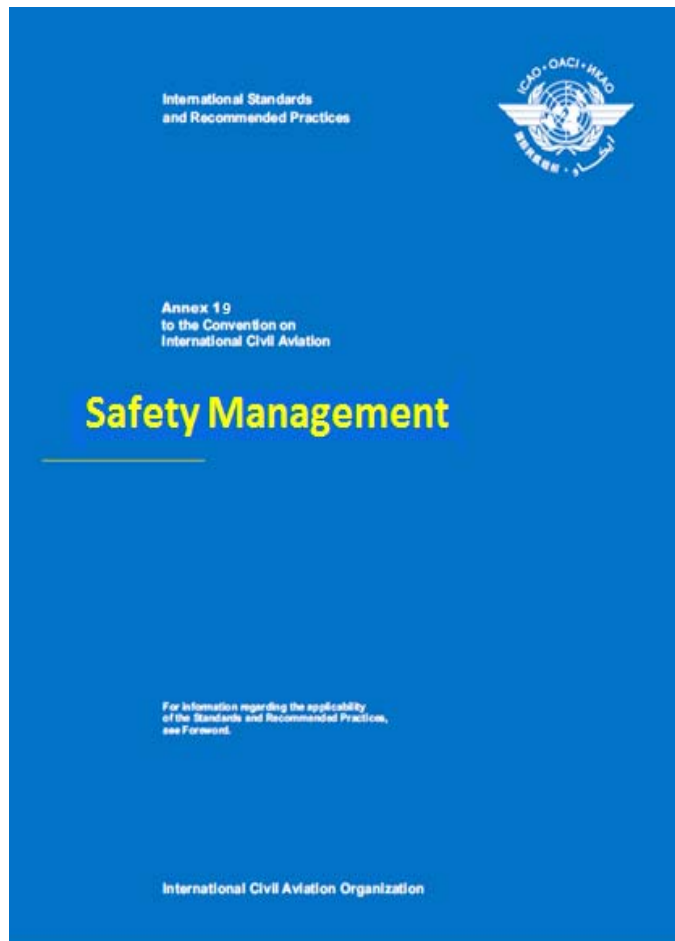
INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

SAM National continuous monitoring coordinators (NCCMC) regional meeting

Annex 19 SSP Rollout

Annex 19



- Adopted by the Council on 25 February 2013;
- Became effective on 15 July 2013; and
- Became applicable on 14 November 2013.

Annex 19, Ch.3

– State Safety Management Responsibilities



3.1 State safety programme (SSP)

3.1.1 Each State shall establish an SSP for the management of safety in the State, in order to **achieve an acceptable level of safety performance (ALoSP)** in civil aviation.

Annex 19, Ch.3

– State Safety Management Responsibilities



3.1.1..... The SSP shall include the following components (standard):

- a) State safety **policy and objectives**;
- b) State safety **risk management**;
- c) State safety **assurance**; and
- d) State safety **promotion**.



Annex 19, Ch.3

– State Safety Management Responsibilities



The acceptable level of safety performance (ALoSP)

3.1.2 The acceptable level of safety performance to be achieved shall be established by the State.

Annex 19, Ch.3

State Safety Management Responsibilities



SMS implementation

3.1.3 As part of its SSP, each State will demand that the following service suppliers implement their SMS:

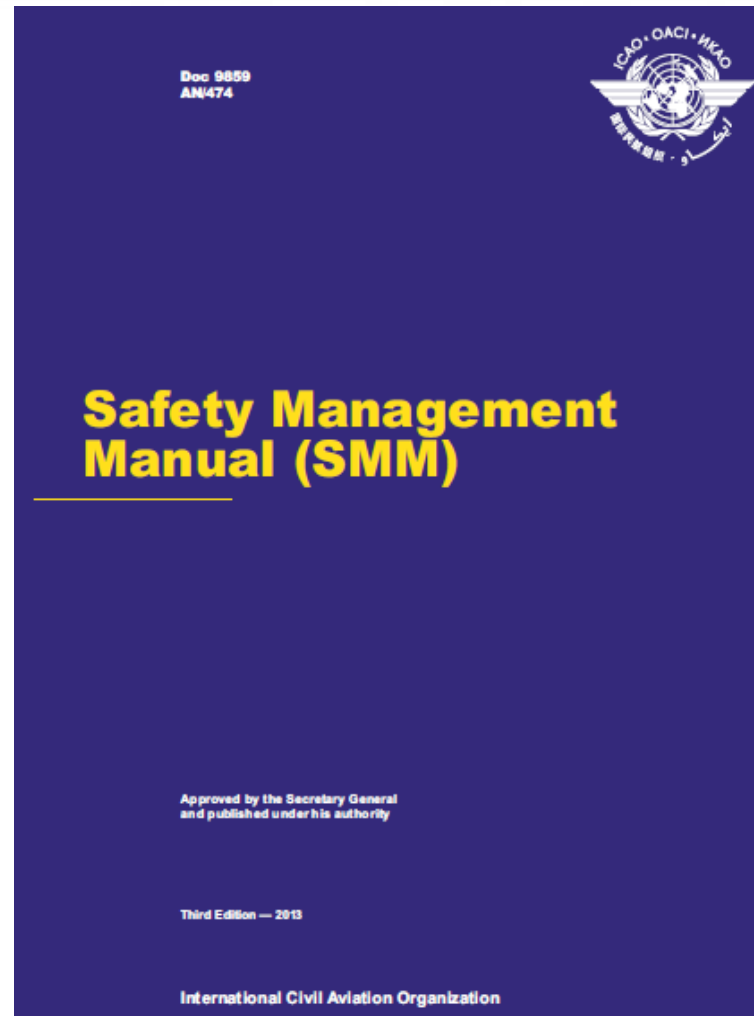


Annex 19, Foreword



- ✓ Effective SSP implementation is a gradual process, requiring time to mature fully.
- ✓ Factors that affect the time required to establish an SSP include:
 - the complexity of the air transportation system, and
 - the maturity of the aviation safety oversight capabilities of the State.

SMM (Doc 9859) 3rd Edition



SMM (Doc 9859) 3rd Edition



- ✓ Substantial enhancements have been introduced, including:
 - Organization risk profile assessment
 - SMS-QMS integration
 - Hazard identification and risk mitigation
 - Hazard prioritization procedure
 - Development of safety performance indicator (SPI)

SMM (Doc 9859) 3rd Edition



- ✓ Substantial enhancements have been introduced, including: (Cont.)
 - Level of Safety Performance (ALoSP) development
 - SMS audit checklist
 - Risk-based surveillance/inspection
 - Phased SSP and SMS implementation
 - Mandatory and voluntary reporting systems

2014-2016

Global Aviation Safety Plan (GASP)



- The GASP recognizes the importance of the establishment and maintenance of fundamental safety oversight systems as a prerequisite to the full implementation of an SSP.
- States with mature safety oversight systems have the foundations in place to implement provisions associated with SSP.



2014-2016

Global Aviation Safety Plan (GASP)



- ✓ The GASP calls for those States with mature safety oversight systems to progress toward full implementation of SSP.
- ✓ States that have achieved effective implementation (EI) levels of over 60 per cent are to fully implement SSP by 2017,
- ✓ with SSP fully implemented in all Member States by the year 2022.

USOAP CMA on SSP



- ✓ Audits and SSP monitoring will be carried out only in States having EI above 60 %.

Update the SAAQ and PQs



- ✓ The SAAQ and PQs have been updated to address the safety management provisions.
- ✓ Safety management-oriented PQs will be added to the existing audit areas, as appropriate.

SAAQ: State Aviation Activity Questionnaire

PQ: Protocol questions

Timelines



- ✓ PQs on safety of States having over 60% EI will be audited starting **1 January 2016**.
- ✓ Electronic Bulletin on this issue was published.



International Civil Aviation Organization

ELECTRONIC BULLETIN

For information only

EB 2014/61

22 October 2014

REVISION OF THE UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) PROTOCOL QUESTIONS (PQs) AND INTRODUCTION OF NEW SAFETY MANAGEMENT PQs

1. The USOAP CMA Protocol Questions (PQs) have been revised to reflect the latest amendments to the Annexes to the Convention on International Civil Aviation and associated guidance material. Included in this revision is a comprehensive set of safety management PQs, based on the provisions of Annex 19 – *Safety Management*.
2. The 2014 amendment of the PQs will become applicable as of 1 January 2015. The new safety management PQs, included in the amendment, will become applicable as of 1 January 2016.
3. Further information on the roll-out of the safety management PQs will be provided shortly.
4. The revised PQs may be viewed, in advanced format, on the CMA online framework (<http://www.icao.int/usoap>) under the heading “CMA Library”. The new safety management PQs are identified in the Summary of Amendments to the PQs for each audit area.

Issued under the authority of the Secretary General

Additional training to USOAP auditors



- Detailed guidance will be provided to USOAP auditors for review of the PQs.
- Workshop training materials will be updated accordingly.

PQs for safety management



Audit Areas	# PQ
LEG	04
ORG	13
PEL	11
OPS	10
AIR	31
AIG	03
ANS	09
AGA	10
Total	91

PQs for safety management - LEG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
1 .016	Does the accountable executive of the State SSP have the necessary authorities and accountabilities/responsibilities required for the administration and coordination of the implementation and operation of the SSP?	<p>Verify that the accountable executive has been delegated, as a minimum:</p> <ol style="list-style-type: none"> 1) authority and accountability, on behalf of the State, for the implementation and maintenance of the SSP across its aviation system, with the exception of the State's accident investigation organization; 2) authority on human resources issues related to the SSP place holder organization; 3) authority on major financial issues related to the SSP place holder organization; 4) authority on service provider certification and safety oversight by the SSP place holder organization; and 5) responsibility for the coordination of all SSP-related issues of the State. 	GM A19 Att A, 1.2 Doc 9859 4.4.3 a)	CE-1

PQs for safety management - LEG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
1.020	Has the State SSP document that describes the SSP framework components and elements been completed and approved by the SSP accountable executive?	Verify that the SSP document: 1) describes the SSP framework components and elements. 2) has been completed. 3) has been approved by the SSP accountable executive.	GM A19 Att A, 1.2 Doc 9859 4.4.3 f), App 8 to Ch. 4	CE-1

PQs for safety management - LEG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
1.022	Has the SSP document been communicated or made accessible to all stakeholders?	Verify the accessibility of the SSP document to all stakeholders.	GM A19 Att A, 1.2 Doc 9859, 4.4.3 f)	CE-2

PQs for safety management - LEG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
1 .056	Has the State addressed safety management requirements in its established enforcement policy and associated procedures?	<p>Verify that the State's enforcement policy and procedures address:</p> <p>a) 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 SMS and to the satisfaction of the appropriate State authority;</p> <p>b) the conditions and circumstances under which safety deviations are dealt with through established enforcement procedures;</p> <p>c) procedures to ensure that no information obtained from voluntary/confidential reporting systems or equivalent restricted operational data monitoring systems operating under an SMS will be used for enforcement action; and</p> <p>d) a process to protect the sources of information obtained from voluntary and confidential reporting systems.</p>	<p>GM A19 Att A, 1.4, Att B Doc 9859 4.4.10, App. 2, 10 & 11 to C 4</p>	CE-5

PQs for safety management - **ORG**



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.052	Do the current funding mechanisms ensure the provision of the necessary resources for the implementation and maintenance of the SSP?	Review financial resources, e.g. allocated budget.	GM A19 Att A, 1.2 Doc 9859 C 4, App 1, Part 1, 1.1 d)	CE-3

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.107	Does the State ensure that personnel involved in SSP implementation and its operation have undergone appropriate SSP training or familiarization?	<p>1) Verify that the training policy includes management commitment to provide personnel involved in SSP implementation and its operation with appropriate SSP training or familiarization, as applicable.</p> <p>2) Verify in all audit areas as applicable: PEL 3.116, OPS 4.052, AIR 5.048, AIR 5.486, AIG 6.124, ANS 7.066, and AGA 8.052.</p>	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE-4

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.301	Has the State identified the placeholder organization as well as the accountable executive for the administration and coordination of the implementation and operation of the SSP?	<p>1) Verify clear identification of the placeholder organization and the accountable executive.</p> <p>2) Review current approved organizational structure, including the specification of the SSP placeholder organization and the accountable executive.</p>	GM A19 Att A, 1.2 Doc 9859 4.2.7, 4.2.8, 4.4.3 a)	CE-3

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.303	Does the SSP accountable executive coordinate, as appropriate, the SSP activities of the different State regulatory and administrative organizations?	<ol style="list-style-type: none">1) Verify that coordination is performed and documented between the accountable executive and the management of the relevant organizations that monitor the performance of service providers.2) Review coordination process/procedures and sample activities, e.g. regular meetings.3) Method of communication between the accountable executive and the management of the relevant organizations.	GM A19 Att A, 1.2 Doc 9859 4.4.3 a)	CE-3

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.305	Does the State have a mechanism or platform for the coordination of SSP implementation and continuous monitoring activities involving relevant State regulatory and administrative organizations?	<p>1) Verify the participation of all relevant State aviation regulatory and administrative organizations in the coordination mechanism or platform, such as a board or committee.</p> <p>2) Verify the involvement of senior management of the various organizations, with the SSP accountable executive as the coordinator.</p>	GM A19 Att A, 1.2 Doc 9859 4.4.3 e)	CE-3

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.307	Has the State established an SSP documentation system which includes a top-level SSP document that defines and describes the SSP, together with other records, forms and SOPs associated with the implementation and operation of the SSP?	<ol style="list-style-type: none">1) Review the SSP document.2) Review the SSP documentation system.3) Verify that the documentation system ensures records keeping and the appropriate storage, archiving, protection and retrieval of all documents relating to SSP activities.	GM A19 Att A, 1.2 Doc 9859 4.2.10, 4.4.3 f)	CE-5

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.309	Has the State defined the specific activities and responsibilities related to the management of safety that each aviation regulatory organization under the SSP is accountable for?	<p>1) Ensure that the applicable organizations in the organizational chart are also reflected in the SSP document.</p> <p>2) Verify that these organizations responsible for monitoring safety performance of its service providers have specific activities and responsibilities identified in the SSP document.</p>	GM A19 Att A, 1.2 Doc 9859 4.4.5 a)	CE-3

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.311	Has the State established a State safety policy and objectives within its SSP framework?	<ol style="list-style-type: none">1) Review the State safety policy statement.2) Review the State safety objectives, which should be congruent with the State safety policy.3) Verify that the State safety policy is signed by the SSP accountable executive or an appropriate authority within the State.	GM A19 3.1.1 a) Att A Doc 9859 4.2.3; 4.2.4; 4.4.5 b), c); C 4 App 1	CE-2

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.313	Does the State have a periodic internal review mechanism for assurance of continuous conformance and improvement of its SSP?	<p>1) Review the mechanism developed by the State for the internal review or assessment of the SSP and its safety policy in order to assure continuous conformance and improvement.</p> <p>2) Verify the independence of the review process and accountability for follow-up action.</p>	GM A19 Att A, 3.1 Doc 9859 4.4.15	CE-3

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.315	Has the State established an acceptable level of safety performance (ALoSP) as defined by selected safety indicators with corresponding target and alert levels?	<p>1) Verify that the State has established a safety performance monitoring process that involves both high consequence safety indicators and lower consequence safety/quality indicators with corresponding target and alert levels as appropriate.</p> <p>2) Verify that the ALoSP safety indicators are appropriate and relevant to the scope and complexity of the aviation activities of the State.</p>	GM A19 Att A, 3.2 Doc 9859 4.4.12 b), 4.4.16 b)	CE-2

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.317	Does the State have a mechanism for periodic monitoring of the SSP safety indicators to ensure that corrective or follow-up actions are taken for any undesirable trends, alert level breaches or non-achievement of improvement targets?	Review the mechanism established.	GM A19 Att A, 3.2 Doc 9859 4.4.12 b), 4.4.16 b)	CE-8

PQs for safety management - **ORG**



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.319	Has the State developed a means to communicate safety-related information, including the State SSP documentation and safety/enforcement policies and procedures, to State regulatory and administrative organizations involved in the SSP?	Review the means developed, such as: newsletters, bulletins and/or websites, etc.	GM A19 Att A, 4.1 Doc 9859 4.4.18 d)	CE-5

PQs for safety management - ORG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
2.321	Does the State communicate and disseminate safety information with and among its service providers?	<p>1) Review the platform or medium established by the State to facilitate SMS implementation.</p> <p>2) Verify that such external SMS and safety-related communication includes:</p> <ul style="list-style-type: none"> a) SMS requirements and guidance material, and b) the State's SSP document and its associated safety policy, enforcement policy and procedures and aggregate safety indicators. <p>3) Verify that a two-way communication is in place to allow feedback from the industry.</p>	<p>GM A19 Att A, 4.2 Doc 9859 4.2.41, 4.4.19</p>	CE-5

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.116	Have the personnel licensing staff who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	<ul style="list-style-type: none">- Sample and review relevant training records.- Verify that the completed training is in accordance with the approved training programme.	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE-4

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.768	Does the State, as part of its surveillance programme, periodically assess approved training organizations' SMS, including its hazard identification and safety risk management processes as well as its safety performance indicators (SPIs) and their relevant alert and target levels?	<p>Verify that the surveillance programme includes periodic assessment of approved training organizations' SMS, as applicable, including:</p> <ul style="list-style-type: none"> a) setting up with approved training organizations periodic review of the SMS requirements and related guidance material to ensure that they remain relevant and appropriate to them; b) measuring the safety performance of the SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the approved training organization; and c) ensuring that hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the approved training organization's SMS. 	<p>GM A19, Att A, 3.1 Doc 9859, 4.4.14</p>	CE-7

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3 .901	Has the State promulgated regulations to require approved training organizations that are exposed to safety risks related to aircraft operations during the provision of their services to implement an SMS and the SMS be made acceptable to the State(s) responsible for the organization's approval?	<ul style="list-style-type: none"> - Review the regulations. - Verify that the regulations are in compliance with Annex 19, Ch. 4, 4.1.1. 	STD A19 3.1.3 a), 4.1.1, 4.1.2 G M A1 9 Att A, 2.1	CE-2

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.903	Has the State established and implemented a mechanism to periodically review SMS requirements to ensure that they remain relevant and appropriate to the approved training organizations?	1) Review the mechanism established and the records of the periodic review, such as periodic review of SMS requirements and related guidance with approved training organizations. 2) Ensure that the mechanism includes a review of: a) SMS requirements; b) Specific operating regulations; and c) Implementation policies.	GM A19 Att A, 2.1 Doc 9859 4.4.14 a)	CE-2

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.905	Has the State developed guidance material on the implementation of SMS for its approved training organizations?	<ul style="list-style-type: none">- Review the guidance material.- Verify awareness of the guidance material during industry visit.	GM A19 Att A, 4.2 Doc 9859 4.4.19 b)	CE-5

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.907	Has the State established a process for the initial review and acceptance of the approved training organizations' SMS?	<ul style="list-style-type: none">- Review the established process.- Confirm that the process includes verification that the approved training organization's SMS framework is in compliance with the State's SMS regulatory framework.	GM A19 Att A, 2.2 Doc 9859 4.4.11 b)	CE-5

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.931	Has the State established procedures for acceptance and monitoring of its approved training organizations' safety performance indicators and their respective alert and target levels?	- Review the procedures.	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE-5

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.933	Has the State agreed with individual approved training organizations' on their respective safety performance indicators (SPIs), alert levels and target levels?	<p>1) Verify the safety indicators, targets and alerts are:</p> <ul style="list-style-type: none"> a) a combination of high and lower-consequence SPIs, as appropriate; b) pertinent to the training organization's aviation activities; c) consistent with other approved training organizations of the same category; and d) congruent with the State's SSP aggregate safety indicators for the category. <p>2) Verify that the agreed SPIs are commensurate with the scope and complexity of the training organization's specific operational context.</p> <p>3) Verify effective implementation.</p>	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.4.13	CE-6

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.935	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure that they remain relevant and appropriate to the approved training organization?	<p>Verify that:</p> <p>a) the regulator's process for subsequent periodic review of safety performance is made transparent to approved training organizations.</p> <p>b) adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and duly documented.</p> <p>c) the approved training organization's action plans in relation to achievement of the targets and corrective action plans in case an alert level is reached are documented.</p>	<p>GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)</p>	CE-7

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.937	Has the State developed procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need?	- Review the procedures.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-5

PQs for safety management - PEL



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
3.939	Is the prioritization of inspections and audits based on the analysis of safety risks or quality data?	Review the records of the prioritization.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-7

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.052	Have the personnel of the aircraft operations organization who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	<ol style="list-style-type: none">1) Review the training programme to verify its appropriateness.2) Sample training records to verify that training completed is in accordance with the training programme.	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE-4

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.501	Has the State promulgated regulations to require operators of aeroplanes or helicopters authorized to conduct international commercial air transport to implement an SMS and that the SMS be made acceptable to the State of the Operator?	<p>1) Review the regulations.</p> <p>2) Verify that the regulations require the SMS of a service provider to:</p> <p>a) be established in accordance with the framework elements contained in Annex 19 Appendix 2;</p> <p>1. Safety policy and objectives</p> <p>1.1 Management commitment and responsibility</p> <p>1.2 Safety accountabilities</p> <p>1.3 Appointment of key safety personnel</p> <p>1.4 Coordination of emergency response planning</p> <p>1.5 SMS documentation</p> <p>2. Safety risk management</p> <p>2.1 Hazard identification</p> <p>2.2 Safety risk assessment and mitigation</p> <p>3. Safety assurance</p> <p>3.1 Safety performance monitoring and measurement</p> <p>3.2 The management of change</p> <p>3.3 Continuous improvement of the SMS</p> <p>4. Safety promotion</p> <p>4.1 Training and education</p> <p>4.2 Safety communication; and</p> <p>b) be commensurate with the size of the service provider and the complexity of its aviation products or services.</p>	<p>STD A19 3.1.3 b), 4.1.1, 4.1.3 APP 2-1 GM A1 9 Att A, 2.1</p>	CE-2

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.503	Has the State established and implemented a mechanism to periodically review SMS requirements to ensure they remain relevant and appropriate to the applicable air operators?	1) Verify effective implementation of the review mechanism. 2) Sample records of periodic reviews.	GM A19, Att A, 2.1 Doc 9859, 4.4.14 a)	CE-2

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4 .505	Has the State developed guidance material on the implementation of SMS for its air operators?	1) Review the guidance material. 2) Verify awareness of the guidance material during industry visit.	GM A19, Att A, 4.2 Doc 9859, 4.4.19 b)	CE- 5

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.507	Has the State established a process for the initial review and acceptance of air operators' SMS?	1) Review the established process. 2) Verify that the established process includes verification that the air operator's SMS framework is in compliance with the State's SMS regulatory framework.	GM A19, Att A, 2.2 Doc 9859, 4.4.11 b)	CE-5

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.509	Has the State established procedures for acceptance and monitoring of the applicable air operators' safety performance indicators (SPIs) and their respective alert and target levels?	Review the procedures.	GM A19, Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE-5

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.511	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure they remain relevant and appropriate to the air operator?	<p>Verify that:</p> <ul style="list-style-type: none"> a) the regulator's process for subsequent periodic review of safety performance is made transparent to applicable air operators; b) adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and duly documented; and c) the air operator's action plans in relation to achievement of the targets and corrective action plans in case an alert level is reached are documented. 	<p>GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)</p>	CE-7

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.513	Does the State, as part of its surveillance programme, periodically assess air operators' SMS, including their hazard identification and safety risk management processes and safety performance indicators (SPIs) as well as their relevant alert and target levels?	<p>Verify that the surveillance programme includes periodic assessment of air operators' SMS, as applicable, including:</p> <ul style="list-style-type: none"> a) conducting with applicable air operators a periodic review of the SMS requirements and related guidance material to ensure that they remain relevant and appropriate to the air operators; b) measuring the safety performance of the SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the air operators; and c) ensuring that hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the air operators' SMS. 	GM A19 Att A, 3.1 Doc 9859 4.4.14	CE-7

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.445	Does the established surveillance programme monitor the AOC holders' financial condition and any negative trends?	<ol style="list-style-type: none"> 1) Verify surveillance programme. 2) Verify monitoring procedures. 3) Sample inspections records. 	STD A6 Part I 4.2.1.8, 4.2.2.2, App. 5, 4.1, 7.1 & 7.2 Part III 2.2.1.8, 2.2.2.2, App. 1 4.1, 7.1, 7.2 GM Doc 8335, Part IV, C2 Doc 9734, Part A, 3.8	CE-7

PQs for safety management - OPS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
4.457	Is the prioritization of inspections and audits based on the analysis of safety risks or quality data?	Review records to verify the basis for prioritization.	GM A19, Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.048	Have the personnel of the AID who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	- Sample review relevant training records.	GM A19, Att A, 4.1 Doc 9859, 4.4.18	CE-4

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.381	Has the State established and implemented a mechanism for the periodic review of the SMS requirements to ensure they remain relevant and appropriate to the AMOs?	- Review the mechanism established and the records of the periodic review.	GM A19 Att A, 2.1 Doc 9859, 4.4.14 a)	CE-2

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.382	Has the State developed guidance material on the implementation of SMS for its AMOs?	<ul style="list-style-type: none">- Review the guidance material.- Verify awareness of the guidance material during industry visit.	GM A19 Att A, 4.2	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.383	Has the State established a process for the initial review and acceptance of AMOs' SMS?	<ul style="list-style-type: none">- Review the established process.- Verify that the established process includes verification that the AMO's SMS framework is in compliance with the State's SMS regulatory framework.	GM A19 Att A, 2.2 Doc 9859 4.4.11 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.384	Has the State established procedures for acceptance and monitoring of the AMOs' safety performance indicators and their respective alert and target levels?	- Review the procedures.	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.385	Has the State agreed with individual AMOs on their respective safety performance indicators (SPIs), alert levels and target levels?	<p>1) Verify that the SPIs, targets and alerts are:</p> <ul style="list-style-type: none"> a) a combination of high and lower-consequence SPIs as appropriate; b) pertinent to the AMO's aviation activities; c) consistent with other AMOs of the same category; and d) congruent with the State's SSP aggregate safety indicators for the category. <p>2) Verify that the agreed SPIs are commensurate with the scope and complexity of the AMO's specific operational context.</p> <p>3) Verify effective implementation.</p>	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.4.13	CE-6

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.386	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure they remain relevant and appropriate to the AMO?	<p>- Verify that:</p> <ol style="list-style-type: none"> 1. the regulator's process for subsequent periodic review of safety performance is made transparent to AMOs; 2. adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and documented; and 3. the AMO's action plans in relation to achievement of the targets and corrective action plans in case an alert level is reached are documented. 	<p>GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)</p>	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.387	Does the State, as part of its surveillance programme, periodically assess AMOs' SMS, including its hazard identification and safety risk management processes and its safety performance indicators (SPIs) and their relevant alert and target levels?	<p>- Verify that the surveillance programme includes periodic assessment of AMOs' SMS, including:</p> <p>a) setting up with AMOs periodic review of the SMS requirements and related guidance material to ensure they remain relevant and appropriate to them;</p> <p>b) measuring the safety performance of the SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the AMO; and</p> <p>c) ensuring that hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the AMO's SMS.</p>	GM A19 Att A, 3.1 Doc 9859 4.4.14	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.455	Has the State developed procedures to prioritize inspections, audits and surveys of AOC holders and AMOs towards those areas of greater safety concern or need?	- Review the procedures.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.457	Is the prioritization of inspections and audits of AOC holders and AMOs based on the analysis of safety risks or quality data?	- Review the records of the prioritization.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.486	Have the personnel of the AED who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	- Sample review relevant training records.	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE-4

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.701	Has the State promulgated regulations to require organizations responsible for the type design of aircraft to implement an SMS and the SMS be made acceptable to the State of Design?	<ul style="list-style-type: none">- Review the regulations.- Verify that the regulations are in compliance with Annex 19, Ch. 4, 4.1.1.	STD A19 3.1.3 d), 4.1.1, 4.1.5, GM A19, Att A, 2.1	CE-2

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.702	Has the State established and implemented a mechanism for the periodic review of the SMS requirements to ensure they remain relevant and appropriate to the organizations responsible for the type design of aircraft?	- Review the mechanism established and the records of the periodic review.	GM A19 Att A, 2.1 Doc 9859 4.4.14 a)	CE-2

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.703	Has the State developed guidance material on the implementation of SMS for its organizations responsible for the type design of aircraft?	<ul style="list-style-type: none">- Review the guidance material.- Verify awareness of the guidance material during industry visit.	GM A19 Att A, 4.2 Doc 9859, 4.4.19 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.704	Has the State established a process for the initial review and acceptance of the SMS of organizations responsible for the type design of aircraft?	<ul style="list-style-type: none">- Review the established process.- Verify that the established process includes verification that the SMS framework of the organization is in compliance with the State's SMS regulatory framework.	GM A19, Att A, 2.2 Doc 9859, 4.4.11 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.705	Has the State established procedures for acceptance and monitoring of the safety performance indicators (SPIs) and their respective alert and target levels of the organizations responsible for the type design of aircraft?	- Review the procedures.	GM A19, Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.706	Has the State agreed with individual organizations responsible for the type design of aircraft on their respective safety performance indicators (SPIs), alert levels and target levels?	<p>- Verify that the SPIs, targets and alerts are:</p> <ul style="list-style-type: none"> a) a combination of high and lower-consequence SPIs as appropriate; b) pertinent to the aviation activities of the organization; c) consistent with other design organizations of the same category; and d) congruent with the State's SSP aggregate safety indicators for the category. <p>- Verify that the agreed SPIs are commensurate with the scope and complexity of the specific operational context of the organization.</p> <p>- Verify effective implementation.</p>	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.4.13	CE-6

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.707	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure they remain relevant and appropriate to the organization responsible for the type design of aircraft?	<p>- Verify that:</p> <ol style="list-style-type: none"> 1. the regulator's process for subsequent periodic review of safety performance is made transparent to aircraft design organizations; 2. adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and documented; and 3. the organization's action plan in relation to achievement of the targets and corrective action plan in case an alert level is reached are documented. 	<p>GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)</p>	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.708	Does the State, as part of its surveillance programme, periodically assess the SMS of organizations responsible for the type design of aircraft, including its hazard identification and safety risk management processes and its safety performance indicators (SPIs) and their relevant alert and target levels?	<p>- Verify that the surveillance programme includes periodic assessment of the SMS of organizations responsible for the type design of aircraft, including:</p> <p>a) setting up with aircraft design organizations periodic review of the SMS requirements and related guidance material to ensure they remain relevant and appropriate to them;</p> <p>b) measuring the safety performance of the SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the aircraft design organization; and</p> <p>c) ensuring that hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the SMS of the aircraft design organization.</p>	GM A19 Att A, 3.1 Doc 9859 4.4.14	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.709	Has the State developed procedures to prioritize inspections, audits and surveys of organizations responsible for the type design of aircraft towards those areas of greater safety concern or need?	- Review the procedures.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.710	Is the prioritization of inspections and audits of organizations responsible for the type design of aircraft based on the analysis of safety risks or quality data?	- Review the records of the prioritization.	GM A19, Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.801	Has the State promulgated regulations to require organizations responsible for the manufacture of aircraft to implement an SMS and the SMS be made acceptable to the State of Manufacture?	<ul style="list-style-type: none">- Review the regulations.- Verify that the regulations are in compliance with Annex 19, Ch. 4, 4.1.1.	STD A19 3.1.3 d), 4.1.1, 4.1.6 G M A1 9 Att A, 2.1	CE-2

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.802	Has the State established and implemented a mechanism for the periodic review of SMS requirements to ensure they remain relevant and appropriate to the organizations responsible for the manufacture of aircraft?	- Review the mechanism established and the records of the periodic review.	GM A19 Att A, 2.1 Doc 9859 4.4.14 a)	CE-2

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.803	Has the State developed guidance material on the implementation of SMS for its organizations responsible for the manufacture of aircraft?	<ul style="list-style-type: none">- Review the guidance material.- Verify awareness of the guidance material during industry visit.	GM A19 Att A, 4.2 Doc 9859 4.4.19 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.804	Has the State established a process for the initial review and acceptance of the SMS of organizations responsible for the manufacture of aircraft?	<ul style="list-style-type: none">- Review the established process.- Verify that the established process includes verification that the SMS framework of the organization is in compliance with the State's SMS regulatory framework.	GM A19 Att A, 2.2 Doc 9859 4.4.11 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.805	Has the State established procedures for acceptance and monitoring of the safety performance indicators (SPIs) and their respective alert and target levels of the organizations responsible for the manufacture of aircraft?	- Review the procedures.	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.806	Has the State agreed with individual organizations responsible for the manufacture of aircraft on their respective safety performance indicators (SPIs), alert levels and target levels ?	<p>- Verify that the SPIs , targets and alerts are:</p> <p>a) a combination of high and lower-consequence SPIs as appropriate;</p> <p>b) pertinent to the aviation activities of the organization;</p> <p>c) consistent with other manufacture organizations of the same category; and</p> <p>d) congruent with the State’s SSP aggregate safety indicators for the category.</p> <p>- Verify that the agreed SPIs are commensurate with the scope and complexity of the specific operational context of the organization.</p> <p>- Verify effective implementation.</p>	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.4.13	CE-6

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.807	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure they remain relevant and appropriate to the organization responsible for the manufacture of aircraft?	<p>- Verify that:</p> <ol style="list-style-type: none"> 1. the regulator's process for subsequent periodic review of safety performance is made transparent to aircraft manufacture organizations; 2. adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and documented; and 3. the organization's action plan in relation to achievement of the targets and corrective action plan in case an alert level is reached are documented. 	<p>GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)</p>	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.808	Does the State, as part of its surveillance programme, periodically assess the SMS of organizations responsible for the manufacture of aircraft, including its hazard identification and safety risk management processes and its safety performance indicators (SPIs) and their relevant alert and target levels?	<p>- Verify that the surveillance programme includes periodic assessment of the SMS of organizations responsible for the manufacture of aircraft, including:</p> <p>a) setting up with aircraft manufacture organizations periodic review of the SMS requirements and related guidance material to ensure they remain relevant and appropriate to them;</p> <p>b) measuring the safety performance of the SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the aircraft manufacture organization; and</p> <p>c) ensuring that hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the SMS of the aircraft manufacture organization.</p>	GM A19 Att A, 3.1 Doc 9859 4.4.14	CE-7

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.809	Has the State developed procedures to prioritize inspections, audits and surveys of organizations responsible for the manufacture of aircraft towards those areas of greater safety concern or need?	- Review the procedures.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-5

PQs for safety management - AIR



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
5.810	Is the prioritization of inspections and audits of organizations responsible for the manufacture of aircraft based on the analysis of safety risks or quality data?	- Review the records of the prioritization.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-7

PQs for safety management - AIG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
6.124	Have the personnel of the investigation authority who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	- Sample review relevant training records.	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE-4

PQs for safety management - AIG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
6.506	Has the State established and maintained a safety database to store data on hazards and safety risks and to facilitate the effective analysis of information on actual or potential safety deficiencies obtained, including that from its incident reporting systems, to determine any actions required for the enhancement of safety?	<ul style="list-style-type: none"> - Review the database established. - Review the stored data. -Verify the mechanism for the analysis of data and if the data is being analysed. 	STD A19 5.2 G M A1 9 Att A, 3.2 Doc 9859 4.4.12, 4.4.16	CE-8

PQs for safety management - AIG



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
6.513	Has the State established mechanisms to exchange and share safety information amongst the State's regulatory and administrative organizations and service providers, as well as with other States and industry organizations as appropriate?	- Review the mechanisms established.	STD A19 5.4 G M A1 9 Att A, 3.2 Doc 9859 4.4.16 c)	CE-8

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.066	Have the ATS inspectorate staff who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	- Sample review relevant training records.	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE-4

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.075	Has the State developed procedures to prioritize inspections, audits and surveys towards areas of greater safety concern or need?	- Review the procedures.	GM A19, Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-5

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.077	Is the prioritization of inspections and audits based on the analysis of safety risks or quality data?	- Review the records of the prioritization.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE-7

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.191	Has the State established and implemented a mechanism for the periodic review of the SMS requirements to ensure they remain relevant and appropriate to the ATS providers?	Review the established mechanism and records of the periodic review.	GM A19 Att A, 2.1 Doc 9859 4.4.14 a)	CE-2

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.192	Has the State developed guidance material on the implementation of SMS for its ATS providers?	<ul style="list-style-type: none">- Review the guidance material.- Verify awareness of the guidance material during industry visit.	GM A19 Att A, 4.2 Doc 9859 4.4.19 b)	CE-5

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.193	Has the State established a process for the initial review and acceptance of ATS providers' SMS?	<ul style="list-style-type: none">- Review the established process.- Verify that the established process includes verification that the ATS provider's SMS framework is in compliance with the State's SMS regulatory framework.	GM A19 Att A, 2.2 Doc 9859 4.4.11 b)	CE-5

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.194	Has the State established procedures for acceptance and monitoring of ATS providers' safety performance indicators (SPI) and their respective alert and target levels?	- Review the procedures.	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE-5

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.195	Has the State agreed with individual ATS providers on their respective safety performance indicators (SPIs), alert levels and target levels?	<p>- Verify the SPIs, targets and alerts are:</p> <p>a) a combination of high and lower-consequence SPIs as appropriate;</p> <p>b) pertinent to the ATS provider's aviation activities;</p> <p>c) consistent with other ATS providers of the same category; and</p> <p>d) congruent with the State's SSP aggregate safety indicators for the category.</p> <p>- Verify that the agreed SPIs are commensurate with the scope and complexity of the ATS provider's specific operational context.</p> <p>- Verify effective implementation.</p>	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.4.13	CE-6

PQs for safety management - ANS



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
7.196	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure they remain relevant and appropriate to the ATS provider?	Verify that: <ol style="list-style-type: none"> 1) the regulator's process for subsequent periodic review of safety performance is made transparent to ATS providers; 2) adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and documented; and 3) the ATS provider's action plans in relation to achievement of the targets and corrective action plans in case of reaching an alert level are documented. 	GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)	CE-7

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.052	Have the personnel of the aerodrome regulatory authority who are involved in SSP implementation and its operation completed appropriate SSP and SMS training, as applicable?	Sample review relevant training records.	GM A19 Att A, 4.1 Doc 9859 4.4.18	CE- 4

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.417	Has the State developed procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need?	Review the procedures.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE- 5

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.419	Is the prioritization of inspections and audits based on the analysis of safety risks or quality data?	Review the records of the prioritization.	GM A19 Att A, 3.3 Doc 9859 4.2.36, 4.2.37, 4.4.17	CE- 7

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.501	Has the State established and implemented a mechanism for the periodic review of the SMS requirements to ensure they remain relevant and appropriate to the operators of certified aerodromes?	Review the mechanism established and the records of the periodic review.	GM A19 Att A, 2.1 Doc 9859 4.4.14 a)	CE- 2

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.503	Has the State developed guidance material on the implementation of SMS for its operators of certified aerodromes?	1) Review the guidance material. 2) Verify awareness of the guidance material during industry visit.	GM A19 Att A, 4.2 Doc 9859 4.4.19 b)	CE- 5

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.505	Has the State established a process for the initial review and acceptance of the SMS of operators of certified aerodromes?	1) Review the established process. 2) Verify that the established process includes verification that the aerodrome operator's SMS framework is in compliance with the State's SMS regulatory framework.	GM A19 Att A, 2.2 Doc 9859 4.4.11 b)	CE- 5

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.507	Has the State established procedures for acceptance and monitoring of the safety performance indicators and the respective alert and target levels of the operators of certified aerodromes?	Review the procedures.	GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.2.23, 4.4.13, 4.4.14 b)	CE- 5

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.509	Has the State agreed with individual operators of certified aerodromes on their respective safety performance indicators (SPIs), alert levels and target levels?	<p>1) Verify that the SPIs, targets and alerts are:</p> <ul style="list-style-type: none"> a) a combination of high and lower-consequence SPIs as appropriate; b) pertinent to the aviation activities of the aerodrome operator; c) consistent with other aerodrome operators of the same category; and d) congruent with the State's SSP aggregate safety indicators for the category. <p>2) Verify that the agreed SPIs are commensurate with the scope and complexity of the specific operational context of the aerodrome operator.</p> <p>3) Verify effective implementation.</p>	<p>GM A19 Att A, 2.2 Doc 9859 4.2.21, 4.4.13</p>	CE-6

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.511	Does the State periodically review the agreed safety performance indicators (SPIs) to ensure that they remain relevant and appropriate to the operator of a certified aerodrome?	<p>- Verify that:</p> <ol style="list-style-type: none"> 1) the regulator's process for subsequent periodic review of safety performance is made transparent to operators of certified aerodromes; 2) adjustments to previously agreed SPIs, target or alert settings are substantiated by appropriate safety data and documented; and 3) the aerodrome operator's action plans in relation to achievement of the targets and corrective action plans in case an alert level is reached are documented. 	<p>GM A19 Att A, 2.2 Doc 9859 4.2.23, 4.4.13, 4.4.14 b)</p>	<p>CE- 7</p>

PQs for safety management - AGA



PQ No.	Protocol question	Guidance for review of evidence	ICAO Reference	CE
8.513	Does the State, as part of its surveillance programme, periodically assess the SMS of operators of certified aerodromes, including its hazard identification and safety risk management processes and its safety performance indicators (SPIs) and their relevant alert and target levels?	Verify that the surveillance programme includes periodic assessment of the SMS of operators of certified aerodromes, including: a) setting up with operators of certified aerodromes periodic review of the SMS requirements and related guidance material to ensure they remain relevant and appropriate to them; b) measuring the safety performance of the SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the aerodrome operator; c) ensuring that hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the aerodrome operator's SMS.	GM A19 Att A, 3.1 Doc 9859 4.4.14	CE- 7



Questions?



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THANK YOU