

A high-angle photograph of five business professionals in a meeting. They are seated around a white table, looking at documents and laptops. A large blue semi-transparent shape is overlaid on the left side of the image, containing white text. The background is a light-colored tiled floor.

SSP Implementation

Phase 3

Phase 3

1. Ele. 1.4 (ii) – Promulgate the enforcement policy and legislation that include:

Ele. 1.4 (ii) a) – Provisions to allow providers to deal with, and resolve, safety and quality deviations internally

Ele. 1.4 (ii) b) – Conditions and circumstances under which the State may deal with safety deviations

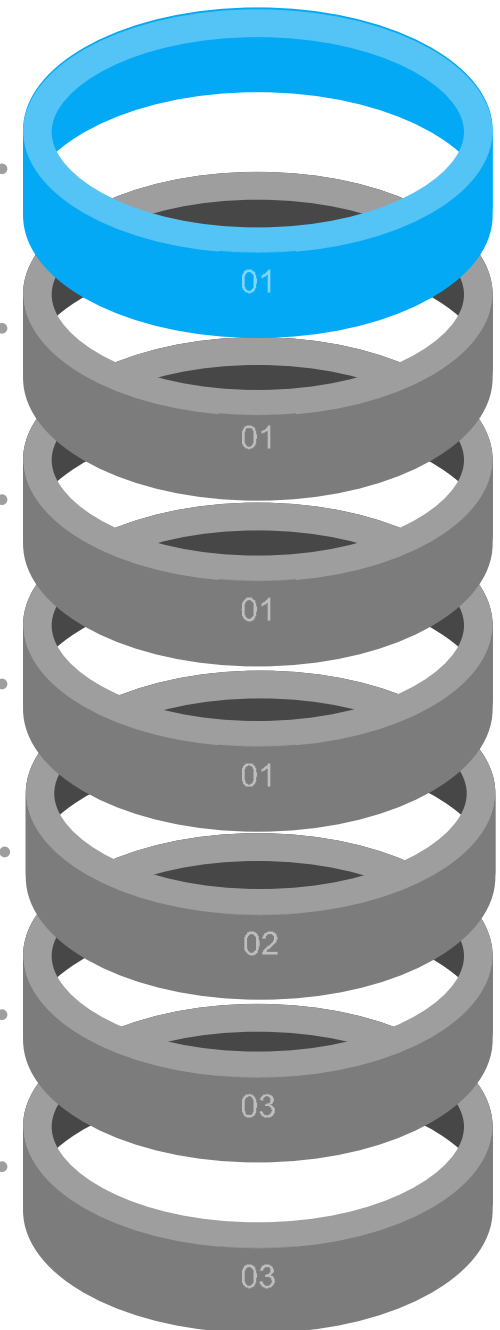
Ele. 1.4 (ii) c) – Provisions to prevent the use of data for purposes other than safety improvement

Ele. 1.4 (ii) d) - Provisions to protect the sources of information obtained from voluntary/confidential reporting systems

Ele. 2.1 (ii) – Develop harmonised regulations to require the implementation of SMS

Ele. 3.2 (i) a) – Establish data collection and exchange systems

Ele. 3.2 8(i) b) – Establish high-consequence SPIs and target/alert levels



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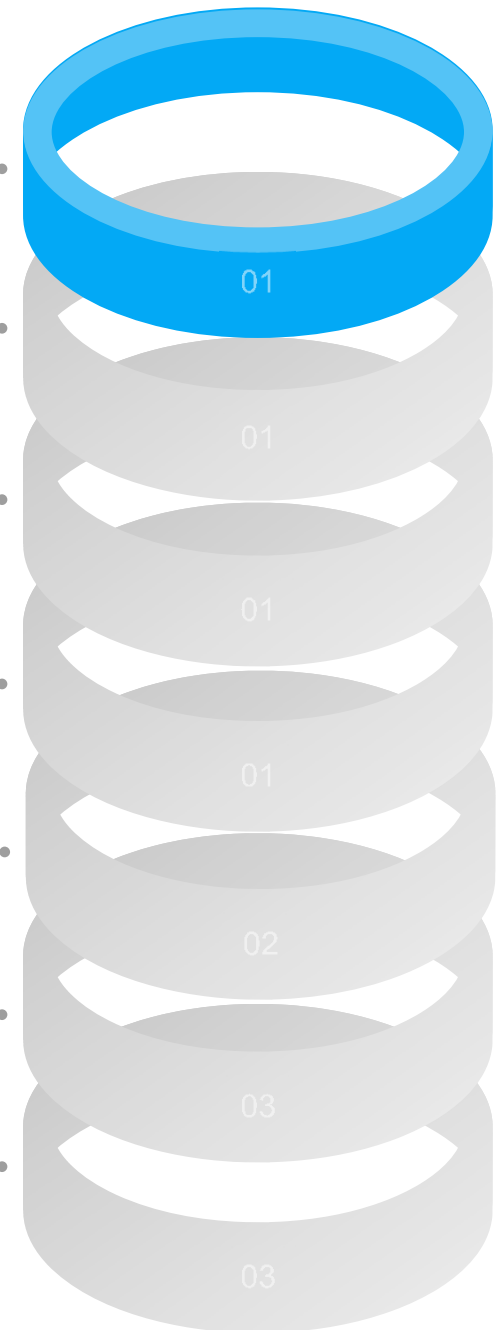
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Ele. 1.4 (ii)

Promulgate the enforcement policy/legislation

Component 1 – STATE SAFETY POLICIES AND OBJECTIVES			
Element 1.4 (ii) a) – Enforcement policy			
1.4-3	Does the enforcement policy take into account that service providers are normally allowed to deal with, and resolve, routine safety or quality deviations internally within the scope of their approved SMS/QMS procedures? [4.4.10 a)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

**PQ LEG
1.056**

Enforcement policy and associated procedures

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
1.056	Has (State) addressed the safety management requirements in the established <u>enforcement policy</u> and <u>associated procedures</u> ?	<p>Verify that the State enforcement <u>policy and procedures address:</u></p> <p>a) The establishment of 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>	GM A19 Att. A, 1.4, Att. B Doc 9859 4.4.10, App. 2, 10 and 11 to Ch 4	CE-5

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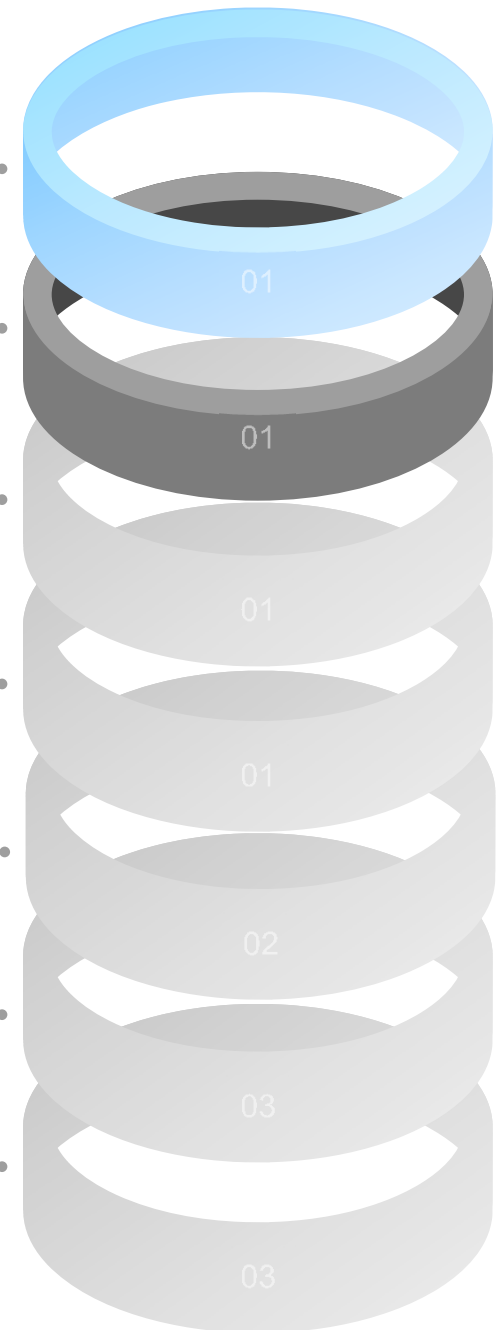
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Ele. 1.4 (ii)

Promulgate the enforcement policy/legislation

Component 1 – STATE SAFETY POLICIES AND OBJECTIVES			
Element 1.4 (ii) b) – Enforcement policy			
1.4-4	Does the enforcement policy establish the conditions and circumstances under which the State may deal with safety deviations directly through its established investigation and enforcement procedures? [4.2.1, Element 1.4; 4.4.10 b)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

**PQ LEG
1.056**

Enforcement policy and associated procedures

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
1.056	Has the State addressed the safety management requirements in the established <u>enforcement policy</u> and <u>associated procedures</u> ?	Verify that the State enforcement <u>policy and procedures address</u> : b) the conditions and circumstances under which safety deviations are to be dealt with through established enforcement procedures;	GM A19 Att. A, 1.4, Att. B Doc 9859 4.4.10, App. 2, 10 and 11 to Ch 4	CE-5

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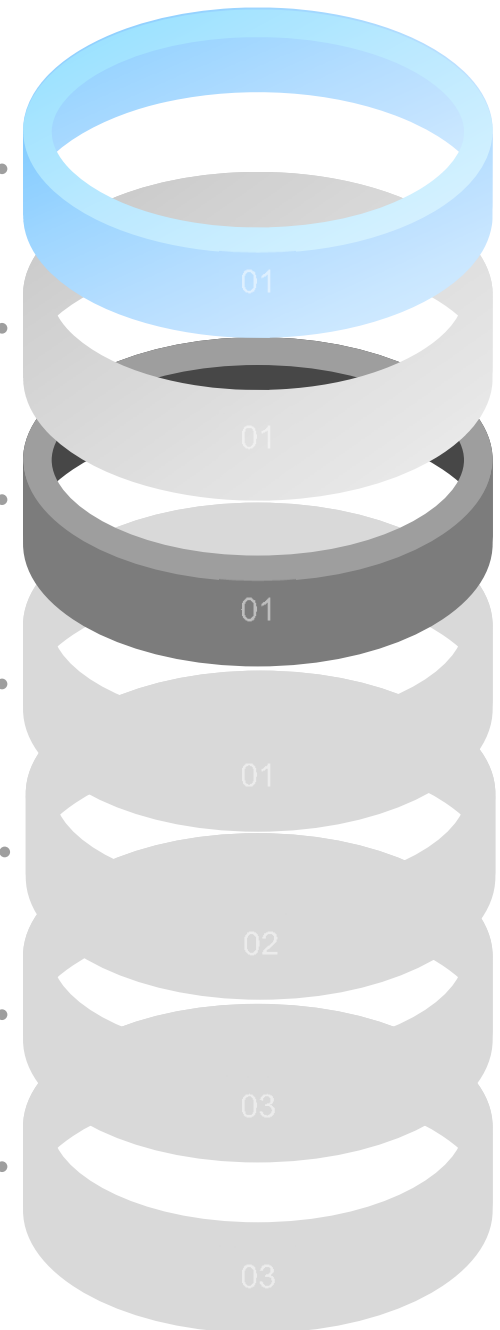
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Ele. 1.4 (ii)

Promulgate the enforcement policy/legislation

Component 1 – STATE SAFETY POLICIES AND OBJECTIVES			
Element 1.4 (ii) c) – Enforcement policy			
1.4-5	Does the SSP enforcement policy include provisions to prevent use or disclosure of safety data for purposes other than safety improvement? [4.2.1, Element 1.4; 4.4.10 c)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

**PQ LEG
1.056**

Enforcement policy and associated procedures

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
1.056	Has the State addressed the safety management requirements in the established <u>enforcement policy and associated procedures</u> ?	Verify that the State enforcement policy and procedures address : 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.	GM A19 Att. A, 1.4, Att. B Doc 9859 4.4.10, App. 2, 10 and 11 to Ch 4	CE-5

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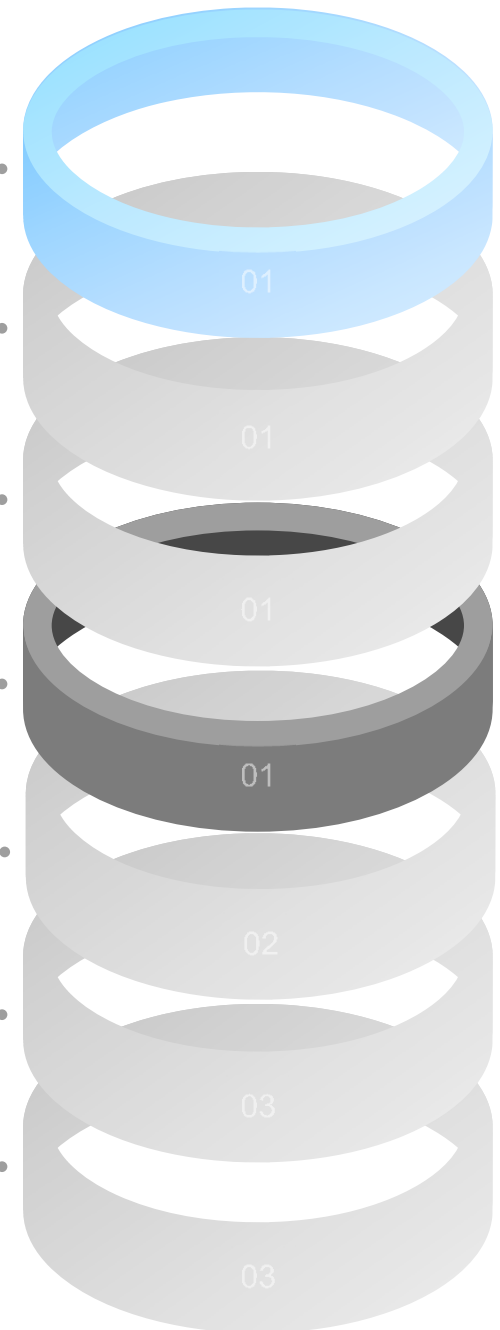
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Ele. 1.4 (ii)

Promulgate the enforcement policy/legislation

Component 1 – STATE SAFETY POLICIES AND OBJECTIVES			
Element 1.4 (ii) d) – Enforcement policy			
1.4-6	Does the SSP enforcement policy include provisions to protect the sources of information obtained from voluntary incident reporting systems? [4.4.10 d); Appendices 2 and 10]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	

**PQ LEG
1.056**

Enforcement policy and associated procedures

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
1.056	Has the State addressed the safety management requirements in the established <u>enforcement policy and associated procedures</u> ?	Verify that the State enforcement <u>policy and procedures address</u> : d) a process to protect the sources of information obtained from voluntary and confidential reporting systems.	GM A19 Att. A, 1.4, Att. B Doc 9859 4.4.10, App. 2, 10 and 11 to Ch 4	CE-5

Phase 3

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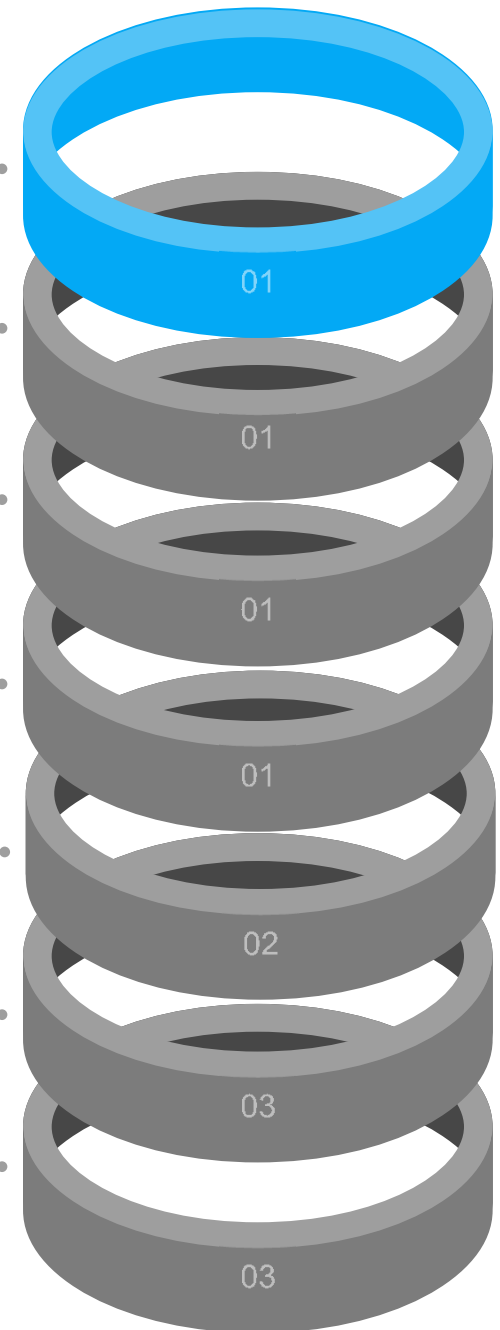
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Ele. 2.1 (ii)

Harmonized regulations to require the implementation of SMS

Component 2 – STATE SAFETY RISK MANAGEMENT

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

2.1-1	Has [State] promulgated harmonized regulations to require service providers to implement an SMS? [4.2.1, Element 2.1; 4.4.9; 4.4.11; Appendix 9]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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**PQ PEL
3.901**

Promulgation of regulations

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
3.901	<p>Has the State promulgated <u>regulations</u> that require approved training organizations that are exposed to safety risks related to aircraft operations during the provision of their services <u>to implement an SMS</u> and that it be <u>acceptable to the State(s)</u> responsible for the organization's approval?</p>	<ul style="list-style-type: none"> – Review the regulations. – Verify that the regulations are in accordance with Annex 19, Chapter 4, 4.1.1. 	<p>STD A19 3.1.3 a); 4.1.1; and 4.1.2 GM A19 Att. A 2.1</p>	<p>CE-5</p>

Phase 3

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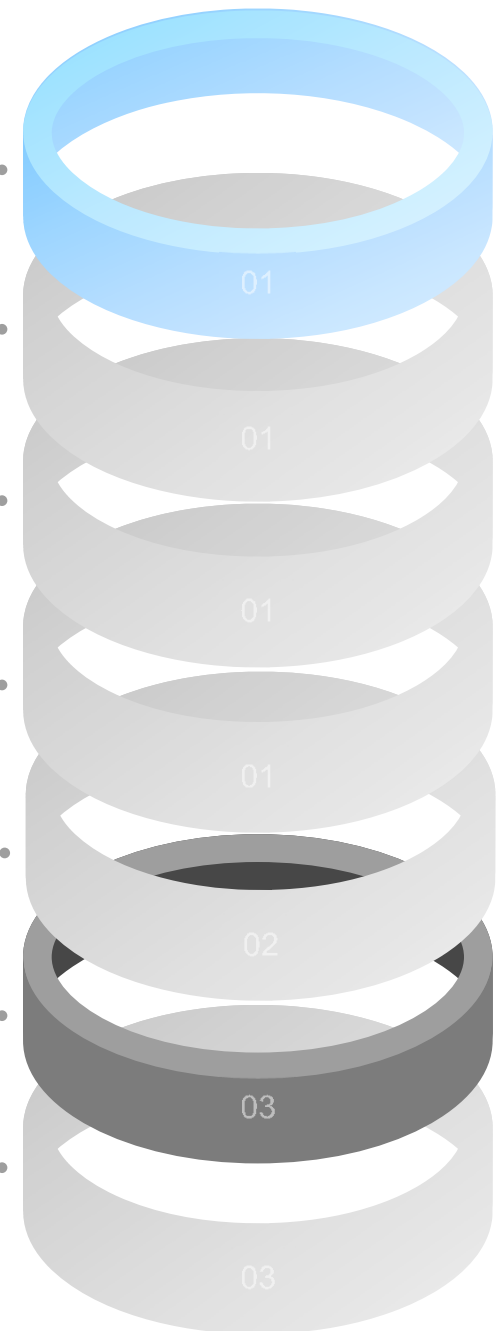
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Ele. 3.2 (i)

Data collection, analysis and exchange systems

Component 3 — STATE SAFETY ASSURANCE

Element 3.2 — Safety data collection, analysis and exchange

3.2-1	Has [State] established mechanisms to ensure the mandatory reporting, evaluation and processing of accident and serious incident data at the aggregate State level? [4.2.1, Element 3.2; 4.4.12]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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**PQ AIG
6.506**

Database

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
6.506	Has the State established and does it maintain a safety <u>database</u> to store safety <u>hazard and risk</u> data and to facilitate an effective analysis of information obtained on actual or potential safety deficiencies, including information from its <u>incident reporting systems</u> , in order to determine the necessary safety improvement measures?	<ul style="list-style-type: none">- Review the established <u>database</u>.- Review the <u>stored data</u>.- Verify the existing data analysis mechanism and whether analyses are being performed.	STD A19 5.2 GM A19 Att. A, 3.2 Doc 9859 4.4.12 and 4.4.16	CE-8

Phase 3

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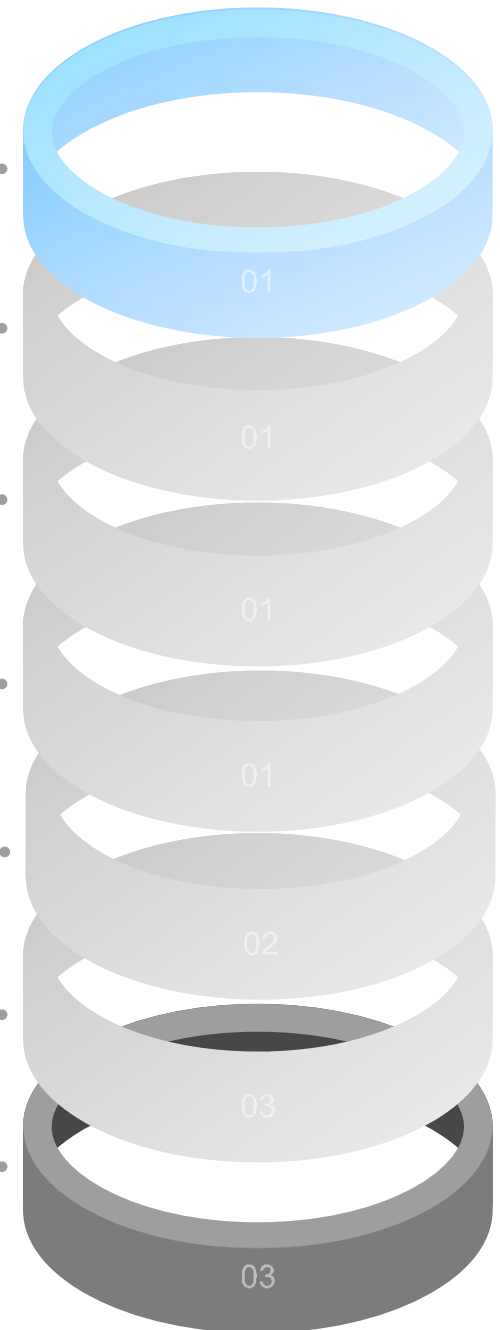
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Ele. 3.2 (i)

Data collection, analysis and exchange systems

Component 3 — STATE SAFETY ASSURANCE

Element 3.2 — Safety data collection, analysis and exchange

3.2-4	Has [State] established an acceptable level of safety performance (ALoSP) as defined by selected safety indicators with corresponding target and alert levels as appropriate? [4.4.12 b); 4.4.16 b)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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Ele. 3.2 (i)

Data collection, analysis and exchange systems

Component 3 — STATE SAFETY ASSURANCE

Element 3.2 — Safety data collection, analysis and exchange

3.2-5

Are the ALoSP safety indicators appropriate and relevant to the scope and complexity of the aviation activities?
[4.4.12 b); 4.4.16 b)]

Yes

No

Partial

Ele. 3.2 (i)

Data collection, analysis and exchange systems

Component 3 — STATE SAFETY ASSURANCE

Element 3.2 — Safety data collection, analysis and exchange

3.2-6	Does [State] have a <u>mechanism for periodic monitoring</u> of the SSP safety indicators to assure that corrective or follow-up actions are taken for any undesirable trends, alert level breaches or non-achievement of improvement targets? [4.4.12 b); 4.4.16 b)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	
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**PQ ORG
2.315**

High-consequence indicators (initial ALoSP) / Lower- consequence indicators

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
2.315	Has (State) established an <u>acceptable level of safety performance (ALoSP)</u> as defined by selected safety indicators with corresponding target and alert levels as appropriate?	<ol style="list-style-type: none"> 1) Verify that the State has <u>established a safety performance monitoring process</u> that includes high-consequence safety indicators as well as lower-consequence safety/quality indicators with corresponding target/alert levels as appropriate. 2) Verify that ALoSP safety indicators are <u>appropriate and relevant to the scope and complexity</u> of State aviation activities. 	GM A19 Att. A, 3.2 Doc 9859 4.4.12 b); and 4.4.16 b)	CE-2

**PQ ORG
2.317**

Periodic monitoring of indicators

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
2.317	Does (State) have a mechanism for <u>periodic monitoring of SSP safety indicators</u> to assure that corrective or follow-up actions are taken for any <u>undesirable trends, alert level breaches or non-achievement of improvement targets</u> ?	Review the established mechanism.	GM A19 Att. A, 3.2 Doc 9859 4.4.12 b); and 4.4.16 b)	CE-2

A high-angle photograph of a business meeting. Five people are gathered around a table, looking at documents and devices. The image is overlaid with a semi-transparent blue filter. The text "Phase 3" is centered in white.

Phase 3





Thank you

for your time and attention