

SSP Implementation

Phase 4



Phase 4

Ele. 2.2 – Review and agree upon the service provider’s SPIs

Ele. 3.1 (ii) – Incorporate the service provider’s SMS and SPIs into the routine surveillance programme

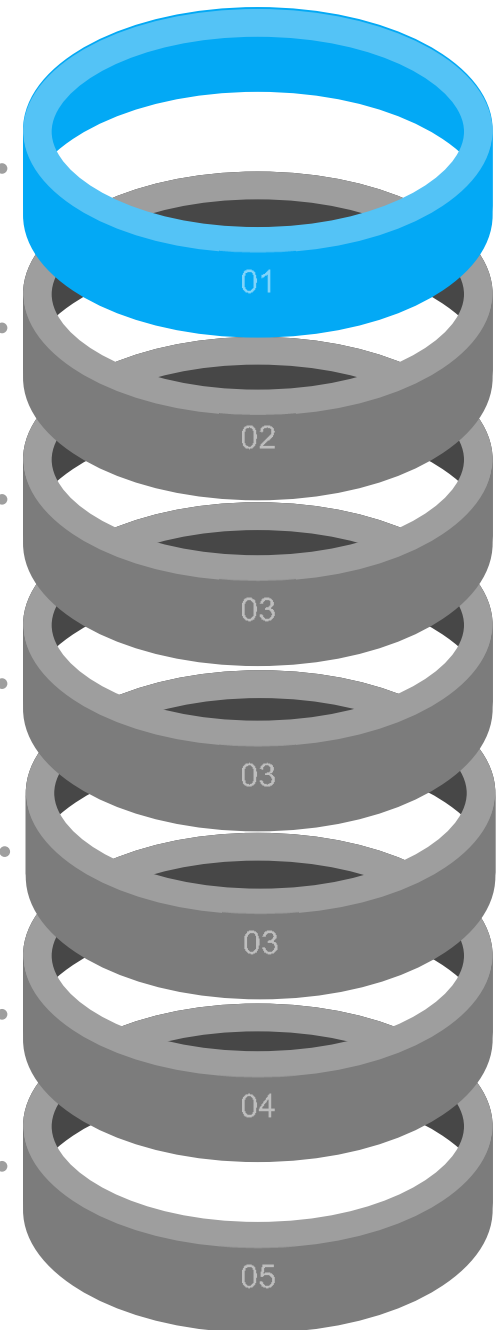
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Ele. 3.2 (ii) b) – Establish lower-consequence safety/quality indicators and target/alert level monitoring as appropriate

Ele. 3.2 (ii) c) – Promote safety information exchange with and amongst service providers and other States

Ele. 3.3 – Prioritize inspections and audits based on the analysis of safety risk or quality data where applicable

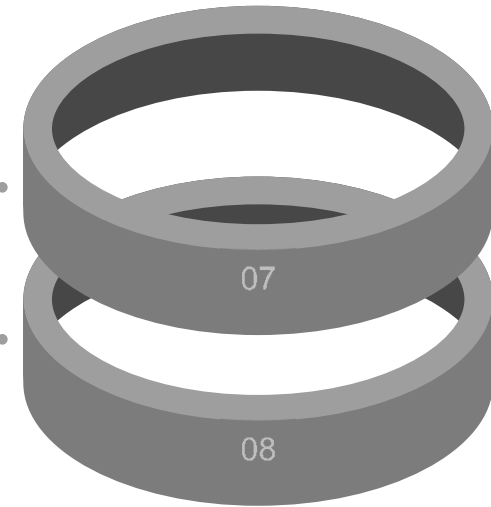
Ele. 3.1 (iii) – Establish an internal review mechanism covering the SSP to assure continuing effectiveness and improvement



Phase 4

Ele. 4.1 – Internal training, communication and dissemination of safety information

Ele. 3.1 (iii) – External training, communication and dissemination of safety information



Phase 4

Ele. 2.2 – Review and agree upon the service provider’s SPIs

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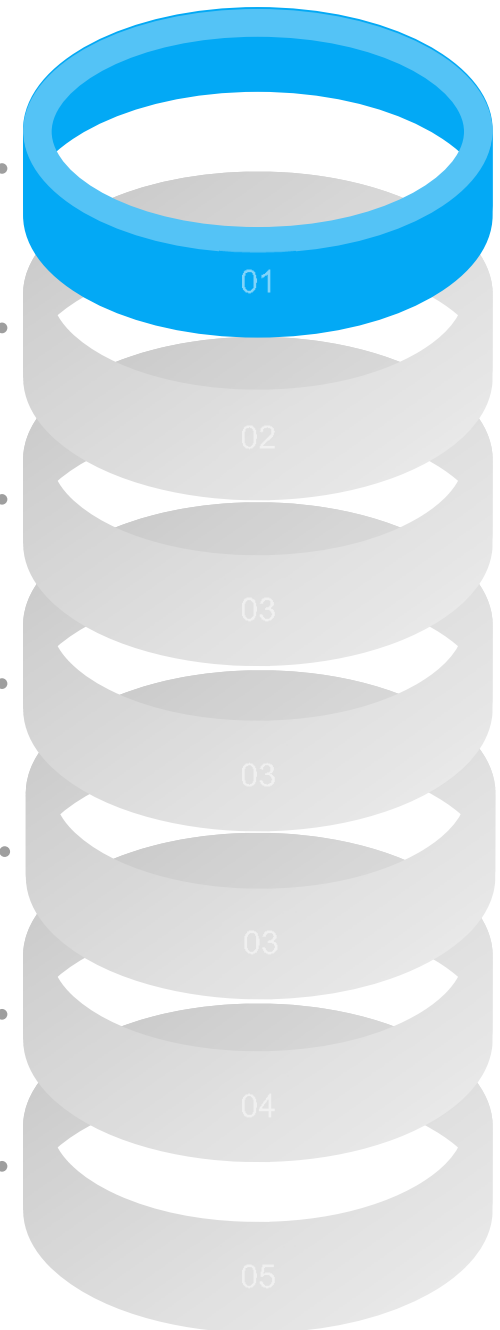
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PQ 5.385

Agree upon performance indicators

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
5.385	Has the State agreed with each AMO their respective safety performance indicators (SPIs), target/alert levels?	<ol style="list-style-type: none"> 1) Verify if the SPIs, targets and alerts are: <ol 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. 2) Verify that the agreed SPIs are commensurate with the scope and complexity of the specific operational context of the AMO. 3) Verify effective implementation. 	GM A19 Att. A 2.2 Doc 9859 4.2.21; and 4.4.13	CE-6

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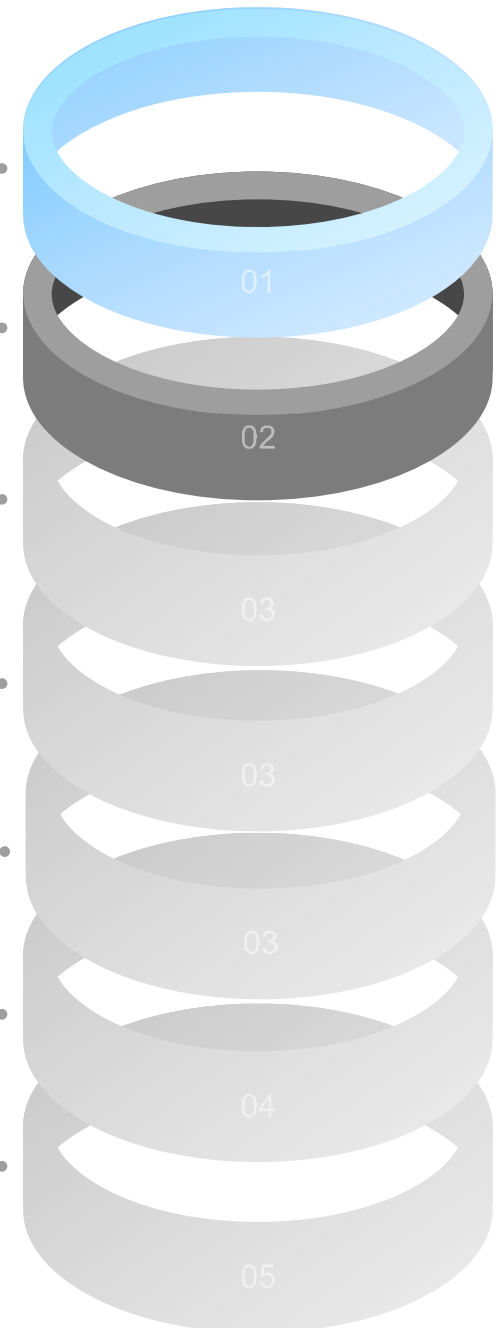
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PQ 5.808

SMS surveillance and SPIs

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
5.808 Requires on-site action	Does the State periodically review, as part of its oversight programme, the SMS of aircraft manufacturing organizations, including their hazard identification and safety risk management processes, as well as their safety performance indicators (SPIs) and relevant target and alert levels?	<p>–Verify that the oversight programme includes a periodic assessment of the SMS of the aircraft manufacturing organization, including the following:</p> <p>b) periodically review that the agreed safety performance and the target and alert settings remain pertinent to the aircraft manufacturing organization</p>	GM A19 Att A, 3.1 Doc 9859 4.4.14	CE-7

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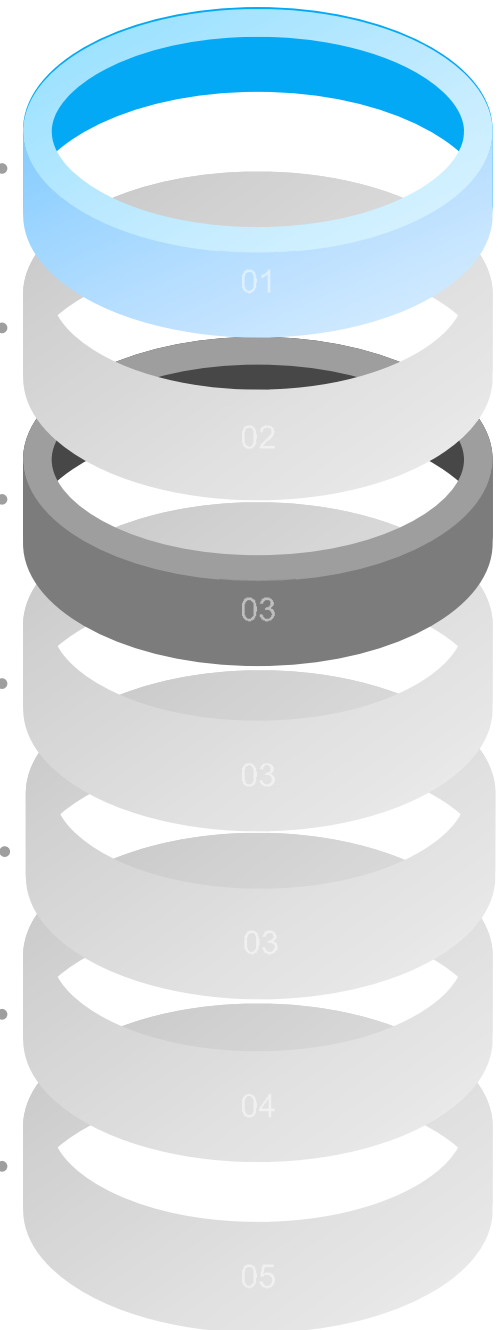
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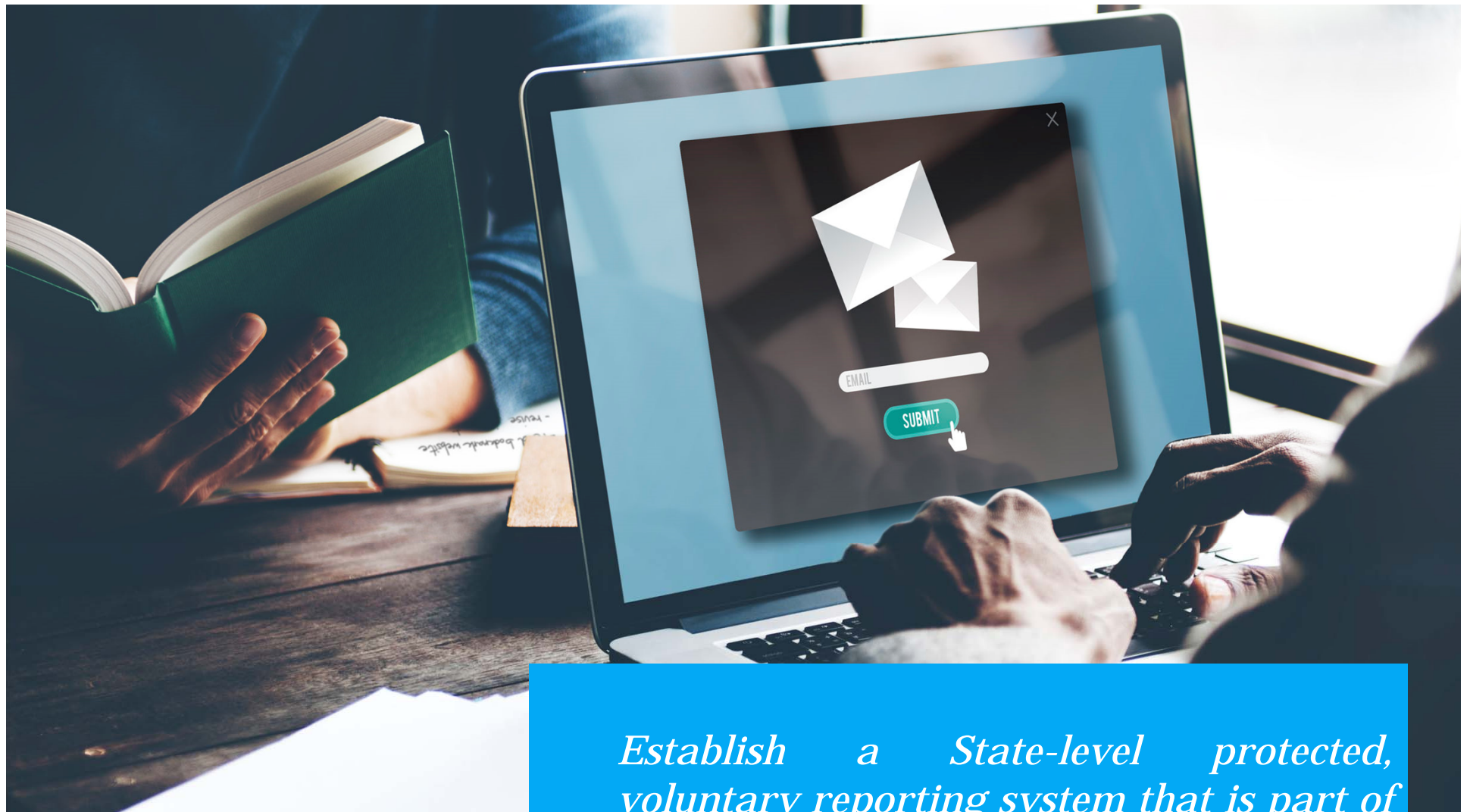
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Establish a State-level protected, voluntary reporting system that is part of the data collection and processing system. It should be part of the SDCPS.

**PQ LEG
1.056**

Voluntary/confidential reporting system

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> ?	<p>Verify that the State’s enforcement <u>policy and procedures address</u>:</p> <p>c) the 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.</p> <p>d) a process to protect the sources of information obtained from voluntary and confidential reporting systems.</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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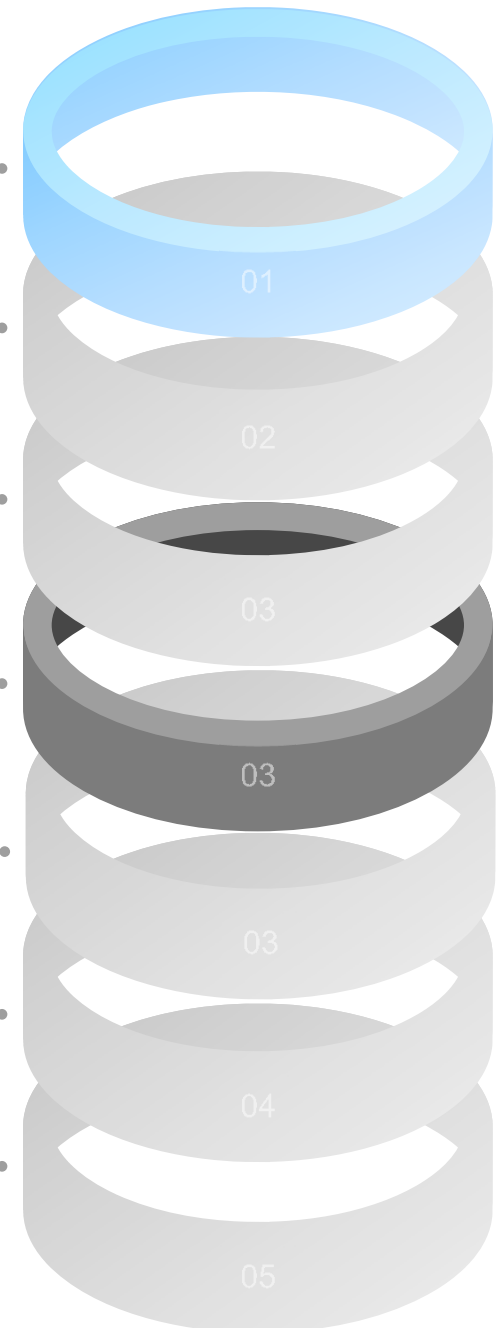
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**PQ LEG
1.056**

Enforcement policy and associated procedures

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
5 .806 Requires on-site activity	Has the State agreed with each aircraft manufacturing organization their respective safety performance indicators (SPIs), target and alert levels?	<ul style="list-style-type: none"> – Verify if the safety indicators, targets and alerts are: <ul style="list-style-type: none"> a) a combination of high- and lower-impact SPIs as appropriate; b) pertinent to the service provider’s aviation activities; c) consistent with other service providers of the same category; and d) congruent with the State’s SSP aggregate safety indicators for the service provider category. 	GM A19 Att. A, 2.2 Doc 9859 4.2.21, 4.4.13	CE-6

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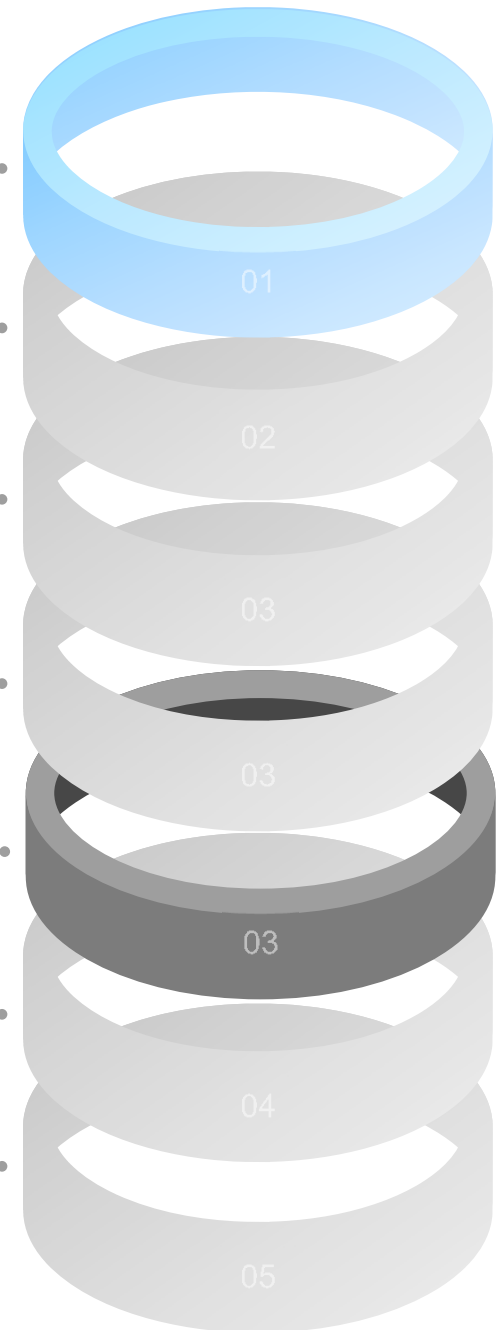
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Promote safety information exchange and sharing amongst the State's regulatory and administrative organizations and service providers.

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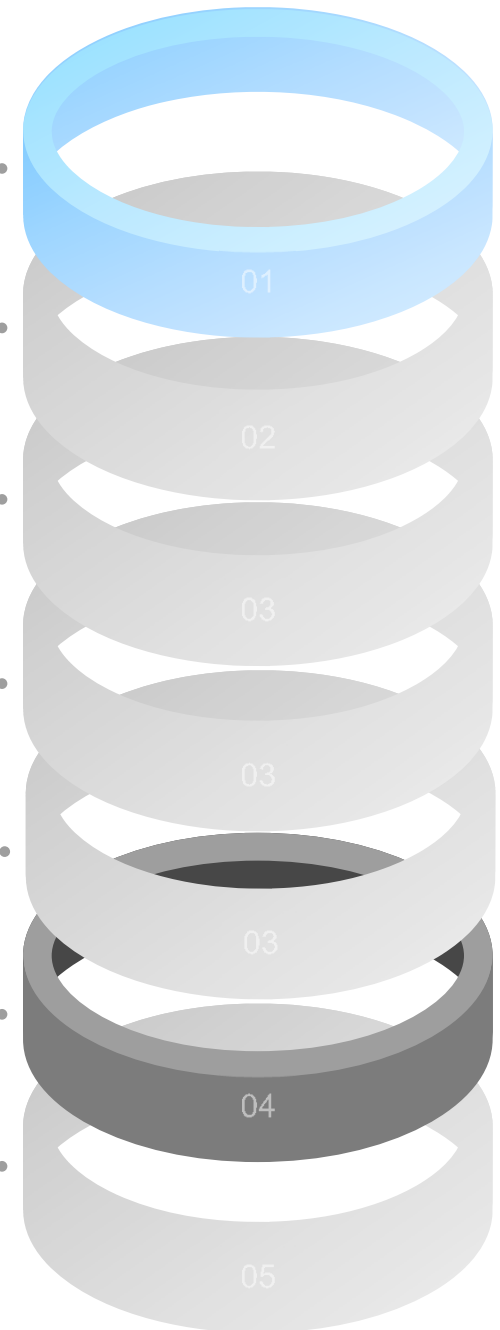
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The DGCA should review existing surveillance and audit programmes to incorporate provisions for calibration of individual service provider's surveillance and/or audit frequency and scope.

PQ 5.443

Prioritize inspections and audits based on the analysis of safety risk

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
5.443 Requires on-site activity	Is an official oversight programme applied to verify continuing compliance by all AOC holders with national regulations concerning airworthiness, international standards, AOCs and the corresponding operating specifications?	<ul style="list-style-type: none"> – Review the surveillance programme of the preceding year and of the current year (executed and planned). – Verify if random checks of all maintenance aspects are considered. – Confirm that the frequency of surveillance activities is appropriate (may be based on proven safety indicators or on the results of previous activities, such as inspections and audits). – Review a sample of inspection and audit records of AOC holders. 	STD A6 Part I, 4.2.1.8; App. 5, 7 Part III, Section II, 2.2.1.8; App. 1, 7 A19 App. 1, 7 GM Doc 8335 Part I, 2.2.3 & 5.2 Part IV Doc 9734 Part A, 3.8 Doc 9760 Part II, 2.2.1, 4.4 & 4.7.4 Part III, 1.2 r) & s) Part IV, 1.2 i), j) & k)	CE-7

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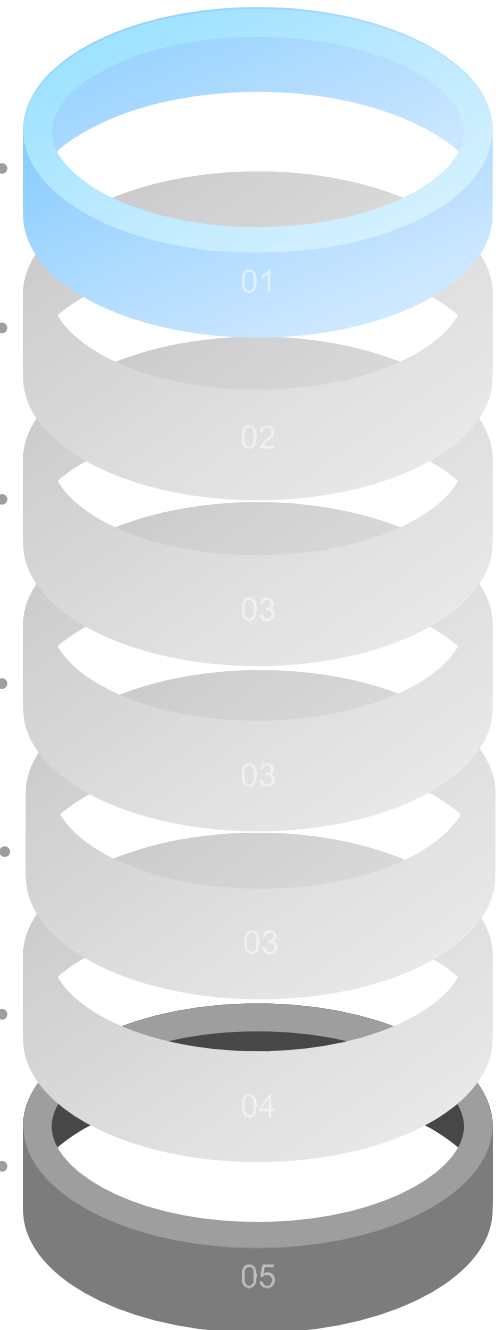
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PQ ORG
2.313

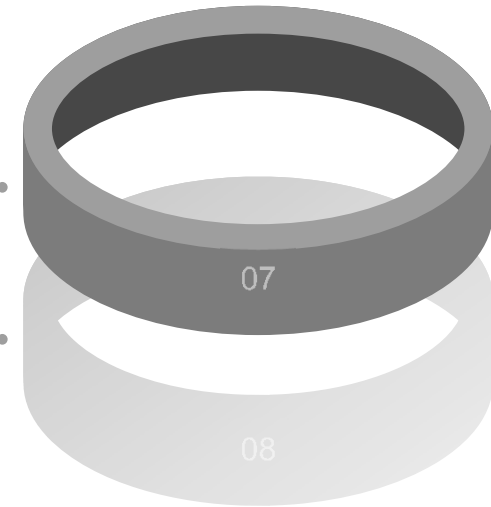
Safety oversight

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
2 .313 Requires on-site activity	Has (State) developed an internal review mechanism to assure continuing conformance and improvement of the SSP?	<p>1) Review the mechanism developed by the State for internal review or assessment covering the SSP and its safety policy to assure continuing 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

Phase 4

Ele. 4.1 – Internal communication and dissemination of safety information

Ele. 3.1 (iii) – External, communication and dissemination of safety information



**PQ ORG
2.107**

Internal training

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
2.107 Requires on-site activity	Does the State assure that staff involved in SSP implementation and operation have received appropriate SSP training or familiarization ?	<ol style="list-style-type: none"> 1) Verify if the training policy includes the commitment of the administration to provide appropriate SSP-related training or familiarization, as appropriate, to staff involved in SSP implementation and operation. 2) Verify in all audit areas as appropriate: PEL 3.116; OPS 4.052; AIR 5.048; AIR 5.486; AIG 6.124; ANS 7.066; and AGA 8.052. 	GM A19 Att. A 4.1 Doc 9859 4.4.18	CE-4

PQ ORG
5.048

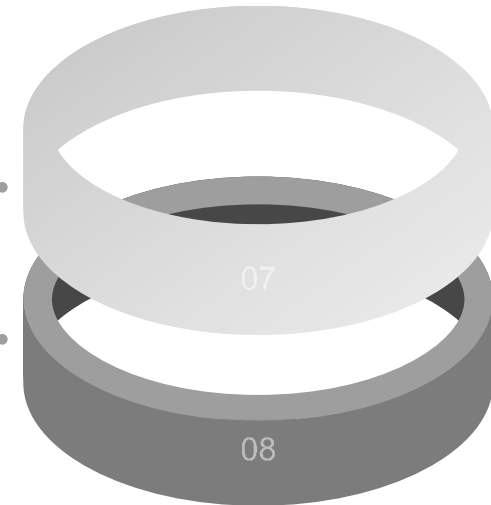
Internal training

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
5.048 Requires on-site activity	Has the AID staff that participates in SSP implementation and operation duly completed the corresponding SSP and SMS training , as appropriate?	Sample and review the relevant training records.	GM A19 Att. A, 4.1 Doc 9859 4.4.18	CE-4

Phase 4

Ele. 4.1 – Internal communication and dissemination of safety information

Ele. 3.1 (iii) – External communication and dissemination of safety information



PQ 5.382

Guidance for SMS implementation

PQ Num.	Protocol question	Guidance for reviewing evidence	ICAO reference	CE
5.382	Has the State developed SMS implementation guidelines for its AMOs?	Review guidelines. Verify during the visit to the industry if guidelines are known.	GM A19 Att. A, 4.2	CE-5

A high-angle photograph of a business meeting. Five people are gathered around a table, looking at documents and a tablet. The image is overlaid with a semi-transparent blue filter. The text "Phase 4" is centered in white.

Phase 4



Questions?



Thank you

for your time and attention