STATE SAFETY PROGRAMME
OF (name of State)

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FOREWORD

Aviation plays an essential part in the economic and social development of (enter name of State). This sector has been growing in a constant and diversified manner in recent years, a trend that is expected to continue in the future. This opens significant opportunities for innovation in the industry, such as new technologies, new operations and new types of aircraft that will contribute to the growth of our economy. However, these new opportunities entail major challenges for (enter name of State) in its efforts to ensure that aviation safety is maintained and continuously improved.

(Enter name of State) is signatory to the Convention on International Civil Aviation (Chicago Convention) and has been a member of the International Civil Aviation Organization (ICAO) since its inception or since (enter the date of accession of the State to ICAO).

There are no perfect safety systems. Even the most complex and efficient safety systems must pursue continuous improvement to ensure that they reflect the increasing diversity within the aviation industry due to the introduction of new aircraft types and the resulting new operations.

The (enter name of State) State safety programme (SSP) has the difficult task of identifying, controlling, and maintaining the effectiveness of the various safety performance elements at national level, and continuously reviewing them in order to tailor them to the new threats and challenges arising in the ever-evolving world of aviation.

The (enter name of State) SSP sets forth key principles in support of national aviation safety management and its objectives for 2020, 2025, 2028, and 2030. This approach is consistent with the ICAO SAM safety plan (SAMSP) and the Global aviation safety plan (GASP).

Aviation service providers of (enter name of State) play an important role in the delivery of safety and quality management information, which is required for the establishment of safety objectives, safety performance indicators (SPIs), and safety goals.

The (enter name of State) SSP recognises the importance for all aviation stakeholders to work in a close, collaborative, and mature fashion to identify safety hazards and ensure the adoption of best practices and the most suitable technologies to address and reduce their inherent risks.

It is essential for (enter name of State) to be flexible and adjust to quickly respond to the new threats and challenges resulting from the constant evolution of global aviation. Accordingly, our SSP will play an essential role in the identification and resolution of these threats and challenges.

(Enter city and name of State) for example: Quito, Ecuador, February 2018

(Signature and title of official responsible for the SSP)
Minister of Transport or Director General of Civil Aviation or equivalent position

INTRODUCTION

(Enter name of State) participated actively in the SAM SSP implementation pilot project and consequently, was one of the first States to implement SSP in the South American Region (SAM).

The SSP of (enter name of State) is a management system used for regulating and managing safety in our State. SSP implementation in (name of State) has been conducted in accordance with the size and complexity of our civil aviation system and has required intensive coordination among the authorities responsible for aviation functions.

SSP was implemented in (enter name of State) based on the provisions contained in Annex 19 to the Convention on International Civil Aviation and the procedures established in ICAO Doc 9859. The SSP of (enter name of State) defines the specific safety activities that we will continue to conduct in order to fulfil the State's responsibilities concerning the safe and efficient performance of aviation activities.

(Enter name of State) has an SSP that provides the (enter name of the civil aviation authority) with a regulatory safety management system, while its service providers have established and maintain their own safety management systems (SMS).

The SSP describes the challenges facing the aviation safety system of (enter name of State) and the objectives for 2020, 2025, 2028, and 2030, with a view to responding to these challenges and maintaining a safety system that is recognised worldwide. The SSP also includes a State safety policy statement (see **Appendix A**) that describes safety commitments and guidelines.

The implementation and subsequent operation of the SSP will be monitored by the (enter name of the SSP coordination mechanism), which is made up by the accountable executives of the (enter name of the civil aviation authority), (name of the AIG authority), (name of entities designated as SSP members by the State). This Committee is chaired by the SSP accountable executive, who is responsible for SSP coordination within the State.

The SSP will be reviewed and updated every three years, under the direction and supervision of the SSP Coordination Committee, and in consultation with (enter the name of the civil aviation authority), (name of the AIG authority), (name of the entities designated as SSP members by the State), other relevant government agencies, the industry, and the stakeholders of the aeronautical community.

The SSP is supported by the implementation of the national safety and air navigation plans, which establish the main safety management and air navigation objectives, indicators and targets of (enter name of State). It is also supported by the main policies, requirements, services, and investment initiatives for achieving the 2020, 2025, 2028, 2030 objectives, recognising that emerging issues, technological change, and competition priorities may impact these objectives over time.

In addition to addressing the ICAO SSP framework, the SSP provides an overview of the commitments of (enter name of State) to the safety management and air navigation system at national level.

Finally, the SSP is consistent with the priorities, principles, policies, objectives, indicators, goals and alert levels of the safety plan of (enter name of State), the SAM safety plan (SAMSP), and the SAM performance-based air navigation implementation plan (ANIPPB), which represent the safety axis of the strategic plan for the sustainability of air transport in the SAM Region and emanate from the ICAO global aviation safety plan (GASP) and global air navigation plan (GANP).

The publication of amendments and corrigenda of this document will be announced on a regular basis by mail to the SSP regulatory and administrative organisations, service providers, other relevant government agencies, the industry, and the stakeholders of the aeronautical community, and on the website of (enter name of State), which users of this publication should consult. Blank spaces are provided to keep a record of such amendments.

RECORD OF AMENDMENTS AND CORRIGENDA

AMENDMENTS			
No.	Effective date	Date of entry	Entered by

CORRIGENDA			
No.	Effective date	Date of entry	Entered by

1. Chapter 1: State safety policy, objectives, and resources

1.1 Primary aviation legislation

Legislative system of (enter name of State)

(Indicate which State entity is entitled to pass primary aviation legislation, whether a law or an act or an aeronautical code). For example:

1.1.1 (Enter the name of the legislative branch of your State, *e.g. Congress, etc.*) of (enter name of State) is entitled to enact aviation safety laws or acts or aeronautical codes (select the legislative instrument that is enacted by the State).

(Indicate in which website are State legislative instruments and aviation regulations available). For example:

1.1.2 All of the aviation legislative instruments and regulations of (name of State) are available to the public, at no cost, at: https://www.

Aviation legislation of (enter name of State)

(Briefly explain how are the State regulatory and administrative bodies organised in case the civil aviation authority (CAA) is separate from the AIG authority or in the event there is more than one authority responsible for regulatory functions, and a service provider has been contemplated within the SSP). For example:

1.1.3 (Name of State) has legislative instruments that define the independent roles of (name of the CAA, AIG authority, and service providers, as applicable).

Indicate the year in which the State ratified the Chicago Convention and which law or act or code provides for the approval for ratifying said Convention. For example:

1.1.4 (Name of State) ratified the Convention on International Civil Aviation (Chicago Convention) in (indicate the year). The primary aviation legislation of (name of State) that gives effect to the Convention is (name of law or act or code, and year). This law or act or code provides for the approval for ratifying the Convention, its text, protocols, and amendments.

1.1.5 (Name of the CAA) is responsible for implementing the (name or law or act or code).

1.1.6 The (name of law or act or code) also contains provisions for the enactment of regulations that contain and give effect to the Chicago Convention and the standards and recommended practices (SARPs) set forth in the Annexes to the aforementioned Convention.

A summary follows of the main civil aviation laws of the State, in the following order: laws for the CAA, laws for another regulatory authority, law(s) for the AIG entity, and laws for service providers, if applicable. For example:

1.1.7 The main legislative instruments of (name of State) are:

- ✓ Civil Aviation Law of (enter the year in which it was promulgated) or Act or Code that designates the (enter the name of the CAA, for example, the Directorate General of Civil Aviation (DGCA) or the National Civil Aviation Administration (ANAC)) as the regulatory entity and defines its organisation and functions.
- ✓ Law (or act or code) …….
- ✓ Law (or act or code) …….
- ✓ Xxxxxxxxxxxx
- ✓ Xxxxxxxxxxxx
- ✓ Xxxxxxxxxxxx

1.2 Specific operating regulations

1.2.1 The aviation safety legislative system of (name of State) is also made up by a subordinate regulatory body consisting of regulations, orders, and guidance and advisory material. In order to ensure the effectiveness of the safety oversight system, proposals for change are developed in consultation with the industry and other stakeholders, involving safety and cost/benefit analyses.

1.2.2 (Name of the CAA) leads the regulatory development in (name of State). (Name of the CAA) has adopted a three-tier structure consisting of the law or act or code, civil aviation regulations, and guidance and advisory material.

1.2.3 (Name of State) will normally develop its requirements based on the standards set forth in the Annexes to the Convention on International Civil Aviation. If applicable, it will consider incorporating into its regulations requirements developed by other States or regional safety oversight organisations, such as the Latin American Regional Safety Oversight Cooperation System (SRVSOP). If (name of State) chooses not to follow a standard of any of the Annexes, it will file a difference with ICAO, and in case of a significant difference, it will coordinate with the aeronautical information service (AIS) provider for its inclusion in the aeronautical information publication (AIP) of the State. Differences filed with ICAO must be substantiated.

1.2.4 (Name of State) will continue reviewing its regulatory framework to ensure consistency with the SARPs and international regulations, with special emphasis on the development of performance-based regulations and requirements. (Name of the CAA) will work closely with the SRVSOP and the international community to support the future regional and global development of regulatory priorities. **Appendix B** provides more information on the aviation regulations of (name of State).

1.3 State system and functions

(Indicate what State ministry defines the aviation policy in general and to which State entity is it accountable). For example:

1.3.1 The government of (name of State), through the (name of the ministry responsible for aviation), defines the general direction of the aviation policy. The Ministry is accountable to Congress for civil aviation matters, including aviation safety and security.

1.3.2 The main entities responsible for civil aviation safety management in (name of State) are:

✓ (enter the name of the CAA), etc.

✓ (enter the name of the AIG authority), etc.

1.3.3 **Appendix C** defines the general roles and responsibilities of the various entities responsible for aviation functions in (name of State) within the SSP framework.

1.3.4 (Name of State), through the (enter the name of the ministry in charge of aviation), will provide the resources necessary for the establishment and operation of the SSP.

State safety programme (SSP) – Aviation safety organisations

(Enter the organisational chart of the SSP, including the ministries to which each regulatory and administrative body belongs. At the very least, the CAA and the AIG authority should be considered. For large States, the organisational chart should include all regulatory and administrative bodies, as well as any provider considered to be part of the SSP, with its dependency relationship with each ministry).

Coordination within the aviation safety system of (name of State)

1.3.5 Overall safety performance in (name of State) requires an integrated and collaborative approach, which is essential for SSP implementation and operation.

1.3.6 (Name of State) has established the following groups to coordinate among the organisations that are part of the SSP. These coordination groups will improve cooperation and coordination among the regulatory and administrative bodies of the State in terms of safety, efficiency, and capacity.

(Indicate the groups established by the State among regulatory and administrative bodies that are part of the SSP for safety management purposes). For example:

SSP coordination committee (enter the name of the SSP coordination committee, if the State has given another name to this committee)

1.3.7 The (name of the SSP coordination committee), which is made up by the (enter the title of the officials of the CAA, the AIG authority, and the other bodies that make up the SSP), will coordinate the implementation and subsequent management of the SSP among the (name of the regulatory and administrative bodies of the State that are part of the SSP; for example: DGCA, ANAC, JIA, JIAAC, etc.). This coordination mechanism will ensure that the development, periodic review, policy-making and decision-making related to SSP activities, such as the safety policy, safety indicators, enforcement policy, safety data protection and distribution policy, SMS regulatory requirements, and SSP review and internal findings, are carried out in an integrated and coordinated

manner. The SSP accountable executive will act as coordinator of the mechanism.

Safety data and information analysis coordination group (SDIACG)

1.3.8 This group will consist of the representatives of the regulatory and administrative bodies of (name of State) involved in the collection and analysis of safety data and information. It includes data analysts of the (name of the CAA, AIG authority and other bodies that have incorporated a hazard identification and risk management database into their safety systems). Its main function is to:

- ✓ facilitate the exchange of safety data and information and the analysis among regulatory and administrative bodies of the State, with the only purpose of maintaining and improving aviation safety; and
- ✓ identify joint safety analysis projects that use the combined capacities of the (enter the name of the regulatory and administrative bodies) to produce results for the benefit of aviation safety.

Civil-military air traffic management committee of (name of State)

1.3.9 (Enter the text according to the status of each State)

Memorandum of understanding (MOU)

(In the event the State uses memoranda of understanding (MOUs), enter the following text or configure this section based on the agreements signed between the regulatory and administrative bodies of the State).

1.3.10 (Name of State) coordinates safety matters among its regulatory and administrative bodies through formal arrangements called memoranda of understanding (MOUs). MOUs are aimed at ensuring that the responsibilities and communication protocols are clearly coordinated among the relevant organisations. **Appendix D** provides more information on other cooperative arrangements.

1.3.11 The content of the MOUs between regulatory and administrative bodies of (name of State) is briefly described below: For example

ICAO/DGCA/JIA	Arrangements for the participation of (name of State) in the Universal safety oversight audit programme (USOAP) continuous monitoring approach (CMA)

1.4 Qualified technical personnel

1.4.1 (Name of the CAA) has implemented a training programme and plan for all its personnel, with special emphasis on the technical training of safety personnel, including SMS oversight. The training programme of (name of the CAA) for its safety personnel comprises initial, on-the-job, recurrent, and specialised training. This includes a comprehensive induction programme for newly hired inspection personnel, covering generic training in human resource management, audits, systems and tools, regulatory environment, SSP and SMS.

1.4.2 All the investigators of (name of the AIG authority) complete their aviation accident and incident investigation training programme. In addition to the technical skills and industry experience required to fulfil their functions, all investigation personnel complete the required safety management training (SSP/SMS).

1.4.3 (Name of the AIG authority) supports additional opportunities for professional development, which allows the staff to maintain their technical qualifications, acquire knowledge and experience in emerging technologies and practices, and follow tertiary studies in areas relevant to AIG functions.

1.5 Technical guidance, tools and provision of safety-critical information

1.5.1 The top priority of the (name of the regulatory authorities) is to maintain and improve aviation safety performance. This will be achieved through a series of strategies and initiatives to provide technical guidance, resources and information for strengthening the capacity of personnel.

1.5.2 The safety principles of the (name of the regulatory authorities) underline the importance of the commitment of government and industry organisations to the provision of resources for safety management and oversight, and of personnel training to acquire the skills and experience required for them to fulfil their duties proficiently.

1.5.3 (Name of the CAA and of the AIG authority) will develop and keep the safety-related guidance material and work aids for inspectors, investigators, and technical personnel up to date. Likewise, they will develop and keep the guidance material for the industry updated.

2. Chapter 2: State safety risk management

State safety risk management (SRM) is a key component of the safety management system that includes hazard identification, risk assessment, risk mitigation, and safety risk acceptance. It is important to recognise that this function is a continuing activity, because hazards, risk assessment, and the effectiveness of safety risk mitigation change over time.

The modern safety management approach requires a systemic approach to safety management, covering organisational structures, policies and procedures - the SMS approach.

Risk management in the aviation industry of (name of State) is a responsibility shared by the industry and the aeronautical organisations of the State (enter the name of the regulatory and AIG entities). It is important for the aviation industry and the State aviation organisations (enter the name of the regulatory and AIG entities) to work in a collaborative manner to obtain the best safety outcomes.

SSP recognises the need to make the transition to a systems-based approach to safety oversight, together with risk-based surveillance (RBS). This change puts more responsibility on service providers and changes the way in which the (name of the regulatory body) performs safety oversight and monitoring functions.

Aviation safety hazard identification and risk management involve a tiered process in which systems and risk information can be added to high-category levels, ending in an assessment of the overall risk level throughout the aviation industry.

(Name of State) has developed the safety plan based on this process. This plan will identify the risks existing in the system and the treatment applied by the State to risk management.

The risk management system of (name of State) consists of the following risk management levels:

- ✓ regulatory risk management;
- ✓ risk management based on oversight outcomes;
- ✓ sector profile risk management;
- ✓ industry profile risk management;
- ✓ system profile risk management; and
- ✓ safety plan of (name of State)

Appendix E describes each risk management level in greater detail.

(Name of the AIG authority), in its independent accident and incident investigation role, recognises risk management requirements. Upon determining the severity of the safety issues identified during an investigation, (name of the AIG authority) assesses the implications of systemic risks and recommends the appropriate safety actions to mitigate the risks identified.

(Name of the State regulatory and administrative bodies) use a common risk management framework to ensure an approach that is consistent with safety management.

2.1 Licensing, certification, authorisation, and approval obligations

2.1.1 (Name of State) has established an authorisation scheme for safety-critical activities that involves the granting by (name of the CAA) of licenses, certifications, authorisations and/or approvals to industry personnel, air service operators, service providers, and aerodromes.

2.2 Obligations of the safety management system (SMS)

2.2.1 (Name of State) has established the requirements for SMS implementation in various sectors of the aviation industry. (Enter the name of the regulatory authority or authorities) has issued the requirements for SMS implementation by the following civil aviation service providers:

- ✓ Approved training organizations (ATOs): (enter the name of the corresponding regulation(s)) requires that ATOs that are exposed to safety risks related to the operation of aircraft when providing their services implement an SMS acceptable to (enter the name of the CAA);

- ✓ Air operators: (enter the name of the corresponding regulation(s)) requires that aircraft and helicopter operators authorised to conduct commercial air transport activities implement an SMS acceptable to (enter the name of the CAA);

- ✓ Approved maintenance organisations (AMOs): (enter the name of the corresponding regulation(s)) requires that AMOs that offer services to aircraft or helicopter operators engaged in international commercial air transport implement an SMS acceptable to (enter the name of the CAA);

- ✓ Organisations responsible for type design or manufacture of aircraft, engines or propellers: For States of design and manufacture, (enter the name of the corresponding regulation(s)) requires that (enter the name of the organisations responsible for type design or manufacture of aircraft, engines or propellers) that offer services to aircraft or helicopter operators engaged in international commercial air transport implement an SMS acceptable to (enter the name of the CAA);

- ✓ Ai traffic service (ATS) providers: (enter the name of the corresponding regulation(s)) requires that (enter the name of the air traffic service provider) implement an SMS acceptable to (enter the name of the CAA); and

- ✓ Certified aerodrome operators: (enter the name of the corresponding regulation(s)) requires that certified aerodromes implement an SMS acceptable to (enter the name of the CAA).

2.3 Accident and incident investigation

2.3.1 (Enter the name of the AIG authority) is the authority (or entity, organisation, office, superior authority, or committee, etc.) responsible for implementing the provisions of (enter the name of the AIG internal regulation developed by the State to comply with the provisions of Annex 13) emanating from Annex 13 concerning the reporting and independent investigation of accidents, serious incidents and incidents related to the operation of aircraft that occur in (enter name of State), and for participating in the investigation of accidents and other occurrences involving aircraft of (enter name of State) registry in other States. Reported occurrences and investigation results are sent to ICAO in

accordance with the provisions of (enter the name of the AIG internal regulation developed by the State to comply with the provisions of Annex 13).

(Develop the following paragraph only if your State has resources for providing assistance and cooperation to other States, such as proficient and sufficient investigators, investigation expertise, and technical facilities)

2.3.2 According to the provisions of (enter the name of the AIG internal regulation developed by the State to comply with the provisions of Annex 13), the (enter the name of the AIG authority) will also, upon request, provide assistance and/or cooperation to member States of the South American AIG Regional Cooperation Mechanism (ARCM) and to other States for the conduction of investigations through the provision of investigation expertise and technical facilities.

2.3.3 (Enter the name of the AIG authority) is responsible for investigating all accidents and serious incidents and significant safety incidents related to the operation of aircraft, to the extent necessary and pursuant to the provisions of (enter the name of the AIG internal regulation developed by the State to comply with the provisions of Annex 13), in order to determine, if possible, the causes and/or contributing factors, and, where applicable, formulate safety recommendations. Likewise, (enter the name of the AIG authority) will provide the SSP with safety information on the results of trend analyses of accidents, serious incidents, and significant incidents related to the operation of aircraft.

2.3.4 The sole objective of accident and incident investigation by (enter the name of the AIG authority) is to prevent future accidents and incidents and not the apportioning of blame or liability.

2.3.5 The reports of all investigations conducted by (enter the name of the AIG authority) are made public. For purposes of the investigation conducted by (enter the name of the AIG authority), early identification of safety matters within the context of air transport is fundamental. The (enter the name of the AIG authority), in a dated letter sent to the responsible authorities, including those of other States, at any phase of the investigation of an accident or incident, will recommend all the preventive measures it deems should be adopted promptly to improve aviation safety.

2.3.6 The (enter the name of the AIG authority) prefers to encourage the appropriate organisation(s) to adopt proactive safety measures to address safety issues. However, (enter the name of the AIG authority) may use its authority to make a formal safety recommendation at any time or at the end of an investigation, according to the level of risk associated to a safety issue and the scope of the corrective measures to be undertaken by the appropriate organisation.

2.3.7 When the (enter the name of the AIG authority) issues safety recommendations, these will focus on clearly describing the safety issues of concern instead of providing instructions or opinions on a preferred method for their solution.

2.3.8 Regarding equivalent foreign AIG organisations, (enter the name of the AIG authority) has no authority to require compliance with its recommendations. It is up to the equivalent foreign AIG body to whom the recommendations are addressed, to assess the cost and benefits of their implementation.

2.3.9 More information on (enter the name of the AIG authority) can be found at: (enter the website address of the AIG authority).

2.4 Hazard identification and safety risk assessment

2.4.1 Aviation safety systems rely on timely, precise, and informative reports on safety incidents and occurrences. The availability of appropriate safety intelligence on what is happening with aviation safety systems permits the identification of trends, the resolution of repetitive issues, and measurement and proper response to risks within the aviation system of (enter name of State).

2.4.2 As required by their respective legislative responsibilities, (enter the name of the civil aviation authority and of the AIG authority), collect and maintain various records related to accidents, incidents and other safety data.

2.4.3 In the interest of aviation safety, safety information (processed safety data) is shared among regulatory and administrative organisations of (enter name of State) through MOUs (see Sections 1.3.10 and 1.3.11). (Enter the name of the civil aviation authority and of the AIG authority) have issued a safety policy statement that reflects the "just culture" principle. This policy is available in the websites of (enter the name of the civil aviation authority and of the AIG authority).

2.4.4 (Enter name of State) encourages a positive reporting policy whereby all industry stakeholders are willing to report any incident that occurs and any error made. In accordance with the "just culture" approach, individuals report incidents and errors, they are not prosecuted nor punished, except in those cases in which their actions have been deliberate, reckless or clearly negligent.

Reporting of accidents, serious incidents, incidents and latent conditions

2.4.5 (Enter the name of the AIG authority) is responsible for collecting and analysing safety data on accidents, serious incidents, incidents and latent conditions related to aircraft operations. In this capacity, the (enter the name of the AIG authority) manages the collected reports through mandatory and voluntary reporting systems. Reporting may be immediate or on a routine basis, in accordance with the regulations and published guidelines. Inappropriate safety procedures, failure to comply with requirements and errors may be considered as latent conditions.

2.4.6 (Enter the name of the civil aviation authority) is responsible for collecting and analysing safety data on incidents, deficiencies and latent conditions that are not directly related to the operation of aircraft.

Mandatory safety reporting system (enter the name assigned by the State to this system)

2.4.7 The (enter the name assigned by the State to the mandatory safety reporting system) established in accordance with (enter the name of the regulation that stipulates mandatory reporting of accidents, serious incidents, incidents, and latent conditions by service providers) collects information on occurrences that jeopardise or might jeopardise aviation safety. The collected data provides information on real or potential safety hazards and deficiencies. The information is used for identifying safety issues that must be addressed in order to improve aviation safety in (enter name of State).

2.4.8 In accordance with Annex 13 to the Chicago Convention, (enter the name of the AIG authority) provides ICAO with data on accidents, serious incidents and incidents through the accident/incident data reporting system (ADREP).

2.4.9 More information on (enter the name assigned by the State to the mandatory safety reporting system) can be found at: (enter the website where the State has published the mandatory reporting system)

Voluntary safety reporting system (enter the name assigned by the State to this system)

2.4.10 (Enter name of State) has designated the (enter the name assigned by the State to the voluntary safety reporting system) as the voluntary safety reporting system that allows any individual who has an aviation safety concern, to report to:

- ✓ the (enter the name of the AIG authority) when the concern is related to the operation of aircraft; and
- ✓ the (enter the name of the civil aviation authority) when the concern is not directly related to the operation of aircraft.

2.4.11 The protection of safety data and information, as well as of their related sources, is the first priority of this system.

2.4.12 More information on (enter the name assigned by the State to the voluntary safety reporting system) can be found at: (enter the website)

Safety data collection and processing system (SDCPS)

2.4.13 (Enter the name of the State) has established the safety data collection and processing system (SDCPS) for capturing, storing, aggregating, and allowing for the analysis of safety data and information. This system consists of various databases that centralise the information in the safety database (SSP database).

2.4.14 The SDCPS refers to processing and reporting systems, safety databases, information exchange systems and recorded information, and comprises, *inter alia*:

- ✓ accident and incident investigation data and information, obtained from the ADREP/ECCAIRS platform;
- ✓ data and information concerning safety investigations conducted by State authorities or service providers, obtained from the safety databases;
- ✓ data and information resulting from safety oversight activities conducted by the regulatory authority;
- ✓ mandatory safety reporting systems;
- ✓ voluntary safety reporting systems; and
- ✓ self-reporting systems, including automatic data capture systems, as well as manual data capture systems.

Availability of data and information on aviation occurrences

2.4.15 (Enter the name of the AIG authority) makes available to the public the following information on aviation occurrences: (enter the type of information on aviation occurrences that the AIG authority of your State makes or will make available to the public). The information provided by (enter the name of the AIG authority) is available at: (enter the website).

2.4.16 The information for the public will not contain details such as aircraft registration, name of owner, or name of crew member(s).

Data analysis and reporting

2.4.17 (Enter the name of the AIG authority), in addition to reporting occurrences as required by Annex 13 to ICAO through the ADREP reporting system, also provides safety information to the ARCM for analysis and development of trend indicators for the South American Region.

(Enter the name of the AIG authority)

2.4.18 In addition to the independent "no blame" investigation of aviation accidents and serious incidents and other incidents related to the operation of aircraft, (enter the name of the AIG authority) contributes to air transport safety enhancement in (enter name of State) through the recording, analysis and investigation of safety data.

2.4.19 (Enter the name of the AIG authority) will pursue its objective of identifying relevant safety issues instead of providing prescriptive solutions. This approach will enable (enter name of State) to take measures to identify the most suitable means to address particular safety issues.

2.4.20 (Enter the name of the AIG authority) also conducts specific investigation activities and produces reports that allow for a more in-depth analysis of specific types of occurrences or trends.

2.4.21 This activity provides national and international entities with safety studies and promotes the adoption of measures to improve safety systems and operations. Links to aviation safety information and data of (enter name of State) are contained in **Appendix F** to this SSP document.

(Enter the name of the civil aviation authority and its acronym)

2.4.22 (Enter the acronym of the civil aviation authority) maintains updated information on all regulatory safety activities it carries out.

2.4.23 Among its main activities, (enter the acronym of the civil aviation authority) plans and executes the annual oversight programme directed to aeronautical personnel, service and aeronautical material providers that have been granted a license, certification, authorisation or approval. The findings of the oversight programme are collected in a safety database, which permits on the one hand, follow-up through their resolution and, on the other, hazard identification and safety risk assessment.

2.4.24 Risk management of findings allow for the identification of trends of greater concern. Based on this information, the (enter the name of the civil aviation authority) increases oversight to prevent recurrence and to reduce and control risks to an acceptable level of safety.

Safety data and information analysis coordination group (SDIACG)

2.4.25 (Enter name of State) has established the (enter the name of the safety data and information analysis coordination group - SDIACG) consisting of (enter the name of the civil aviation authority, the AIG authority, and the State entities that are part of the SSP) to analyse safety data and information.

2.4.26 Based on the analysis of safety information, this group will propose to the (enter the name of the SSP coordination mechanism) the State priorities, objectives, indicators, goals and alert levels.

Safety coordination groups of stakeholders (regulatory and administrative bodies of the State and the industry) for the analysis of safety data and information and the formulation of mitigation plans

2.4.27 The exchange and analysis of safety data through safety coordination groups help maintain sound relationships among such parties and allow for the sharing of safety data, investigation efforts, coordinated analyses, and the formulation of mitigation plans among these parties to improve aviation safety.

2.4.28 (Enter name of State) has established the following safety coordination groups:

- ✓ Commercial aviation group - aircraft;
- ✓ Commercial aviation group - helicopters;
- ✓ General aviation group – aircraft;
- ✓ General aviation group – helicopters;
- ✓ Agricultural aviation group;
- ✓ Aerial work group;
- ✓ Flight training school group;
- ✓ Remotely piloted aircraft systems (RPAS) group;
- ✓ Airworthiness group;
- ✓ Air navigation services (ANS) group; and
- ✓ Aerodromes (AGA) group.

2.5 Safety risk management

2.5.1 One of the functions of the (enter the name of the civil aviation administration) in accordance with (enter the name of the primary aviation legislation) is to regulate safety of civil aviation operations within the territory of (enter the name of the State) and the operation of aircraft of (enter name of State) outside its territory, by means that include the development of effective oversight strategies to ensure compliance with aviation safety requirements.

2.5.2 This is a primary regulatory function that (enter name of State) must perform in the interest of safety and in accordance with its obligations under the Chicago Convention.

Paragraphs 2.5.3 and 2.5.4 refer to the "regulatory philosophy" and the "manual on compliance measures."

The regulatory philosophy will establish the principles governing the DGCA approach to the performance of its regulatory functions and the exercise of its regulatory authority in an SSP/SMS environment.

In turn, the manual on compliance measures will describe the compliance processes to ensure compliance with aviation safety requirements. This manual will clearly describe to the industry and to the public the opportunities available for service providers and the civil aviation administration to work together in the resolution of a broad range of safety-related concerns without the need to initiate formal coercive action.

2.5.3 The regulatory philosophy of (enter the name of the civil aviation administration), enacted in (enter the year of enactment), sets forth the principles concerning the performance of its regulatory functions and the exercise of its regulatory powers.

2.5.4 The manual on compliance measures of (enter the name of the civil aviation administration) describes the compliance processes to make sure that aviation safety requirements are met. According to the regulatory philosophy of (enter the name of the civil aviation administration), the manual on compliance measures has been updated in order to clearly describe to the industry and to the public, the opportunities that a service provider and the (enter the name of the civil aviation administration) have for working towards resolving a broad range of safety concerns without the need to initiate formal coercive actions.

2.5.5 When not required to do so, the holders of an authorisation are encouraged to use an SMS that includes corrective and preventive mitigation measures, through an internal reporting system to address safety deficiencies. The regulatory philosophy of (enter the name of the civil aviation administration) and the "just culture principles" contained therein will increasingly govern the key elements of the enforcement policy of (enter the name of the civil aviation administration) described in **Appendix G,** and will clarify the circumstances under which safety information may or may not be used and the sources of such information that can be protected from punitive action.

2.5.6 The regulatory philosophy of (enter the name of the civil aviation administration) is available at: (enter the website of the civil aviation administration where the regulatory philosophy will be available)

2.5.7 The manual on compliance measures of (enter the name of the civil aviation administration) is available at: (enter the website of the civil aviation administration where the manual on compliance measures will be available).

3. Chapter 3: State safety assurance

Safety oversight based on an SMS approach relies on a mutual responsibility and accountability philosophy rather than on a prescriptive approach aimed exclusively at regulatory compliance. This increases the responsibility of service providers that have daily control over maintaining a safe operational environment, focusing on safety throughout the structures, policies and procedures of the organisation.

However, the (enter the name of the civil aviation administration and of the AIG authority) continue to play a fundamental role in quality assurance of the safety system of (enter name of State). This includes safety oversight, as well as the collection, analysis and exchange of data.

3.1 Oversight obligations

3.1.1 Oversight is the mechanism whereby (enter the name of the civil aviation administration) monitors the safety status and the level of maturity of authorisation holders.

3.1.2 The (enter the name of the civil aviation administration) oversight components include:

- ✓ trained and skilled technical personnel, with specific training in SMS;
- ✓ procedures and documented guidance material for acceptance and oversight of the associated safety processes;
- ✓ licensing, certification, authorisation and approval; and
- ✓ oversight activities, including scheduled and unscheduled audits and inspections, data collection and exchange, analysis, work flow management, and information management.

3.1.3 (Enter the name of the civil aviation administration) has established its safety classification and regulation policies based on a safety oversight risk management hierarchy that is aligned with ICAO classification models for commercial air transport, aerial work, and general aviation.

3.1.4 (Enter the name of the civil aviation administration) has expanded in accordance with the main ICAO categories, through the development of an “aviation sector” profile for “enter name of State" to also include flight instruction, airworthiness management, infrastructure, and services.

3.1.5 The main objective of oversight is to determine whether an authorisation holder is complying with its obligations under the (enter the name of the current primary aviation legislation and the year) and the regulations. (Enter the name of the civil aviation administration) adopts a risk- and system-based approach that uses product control as needed, to assess risk mitigation and the level of compliance by authorisation holders.

3.1.6 Oversight provides an assessment of the capacity of the authorisation holder to manage its safety risks and its willingness to comply with the legislation, including compliance with an SMS if necessary. Oversight can be scheduled or unscheduled, it can be conducted based on opportunity, or at random, or cover all aspects of the aviation industry. This oversight approach seeks to encourage the development of authorisation holder systems, and provides guidance to the aviation industry for a better understanding of its safety responsibility.

3.1.7 The oversight programme is reviewed and updated periodically.

3.1.8 The oversight manual of (enter the name of the civil aviation administration) can be found at: (enter the website of the civil aviation administration where the oversight manual is published).

Guidance based on safety data

3.1.9 Safety data collected by (enter the name of the civil aviation authority and of the AIG authority) are reviewed, analysed and reported regularly in order to identify trends and emerging safety issues, and to help address existing safety issues.

(Enter the name of the civil aviation administration)

3.1.10 Part of the main function of (enter the name of the civil aviation administration) is to monitor safety performance and identify safety trends and risk factors, taking into account the evolution of international safety. Another key function of (enter the name of the civil aviation administration) is the collection of safety data through the mandatory and voluntary safety reporting systems of (enter name of State) in its areas of responsibility (PEL, OPS, AIR, ANS, and AGA).

Oversight of domestic operators

3.1.11 The oversight conducted by (enter the name of the civil aviation administration) allows for prioritisation of oversight activities based on known information, and focuses on assessing how effective is an authorisation holder in managing safety risks in its implemented systems.

3.1.12 The oversight manual of (enter the name of the civil aviation administration) details the schedule of audits, based on a series of indicators.

3.1.13 (Enter the name of the civil aviation administration) has established monthly meetings of the oversight priority review group at its safety oversight offices with a view to planning and prioritising oversight based on identified safety risks.

Oversight of foreign operators

3.1.14 Foreign passenger and cargo operators provide scheduled and non scheduled services to and from (enter name of State).

3.1.15 In accordance with the commitments of (enter name of State) as an ICAO contracting State, the (enter the name of the civil aviation administration) implements a ramp inspection programme for foreign airlines.

3.1.16 This oversight is carried out in accordance with the oversight manual of (enter the name of the civil aviation administration).

(Enter the name of the AIG authority)

3.1.17 (Enter the name of the AIG authority) investigates aviation accidents and incidents, and collects safety data through the mandatory and voluntary safety reporting systems of (enter name of State).

3.1.18 (Enter the name of the AIG authority) uses this data to determine the prevalence of certain types of occurrences in different types of aviation operations, and proactively monitors emerging

safety trends. Upon monitoring trends, it communicates safety issues and takes measures to prevent accidents.

3.1.19 Proactive monitoring of trends is a process based on safety information whereby all occurrences are reviewed to see if there are significant changes that might indicate a bigger problem.

3.1.20 Potential issues are monitored by (enter the name of the AIG authority) and shared with the (enter the name of the civil aviation administration and of other administrations that are part of the SSP) and the industry. The accountable executives of the aforementioned organisations implement mitigation measures to prevent these issues from causing accidents.

3.1.21 These trends may also indicate the need for (enter the name of the AIG authority) to focus on certain types of occurrences for investigation purposes. (Enter the name of the AIG authority) regularly publishes reports on emerging trends in accidents, serious incidents, and incidents that are directly related with the operation of aircraft.

3.2 State safety performance

3.2.1 The measurement and monitoring of safety performance are the means used for describing and assessing the safety performance of the aviation system of (enter name of State). The analysis of safety data and information can help identify emerging risk areas. This information is used for communicating decisions concerning the implementation of the appropriate safety measures and the subsequent assessment of their effectiveness.

3.2.2 (Enter name of State) has classified its safety performance indicators (SPIs) into lagging indicators and leading indicators.

3.2.3 Lagging indicators measure past occurrences, and the State and the service providers try to avoid negative results. These indicators are used for monitoring aviation safety performance of the State. Within the framework of lagging indicators, (enter name of State) has identified low probability/high severity indicators and high probability/low severity indicators, the latter known as “precursor event” indicators.

3.2.4 Low probability/high severity indicators (accidents, serious incidents) identified by (enter name of State) are measurements of adverse safety results, according to operating sector and the level of activity (exposure) in that sector. (An example of this SPI could be damage to the aircraft and/or engine due to bird strike.)

3.2.5 high probability/low severity indicators or “precursor” indicators are results that do not necessarily manifest themselves in an accident or serious incident. (Enter name of State) will use high probability/low severity SPIs mainly for monitoring specific safety issues and measuring the effectiveness of existing safety risk mitigation measures. (An example of this type of precursor SPI would be: radar detection of birds (which indicates the level of bird activity rather than the actual number of bird strikes)).

3.2.6 Leading indicators are measurements that focus on the processes and inputs implemented to enhance or maintain safety. These are also known as "activity or process SPIs", since they oversee and measure the conditions that could cause or contribute to a specific result.

3.2.7 Examples of leading SPIs that promote the development of organisational skills for proactive safety management include: percentage of personnel that have successfully completed safety training on a timely basis, or percentage of timely execution of the agreed mitigation actions.

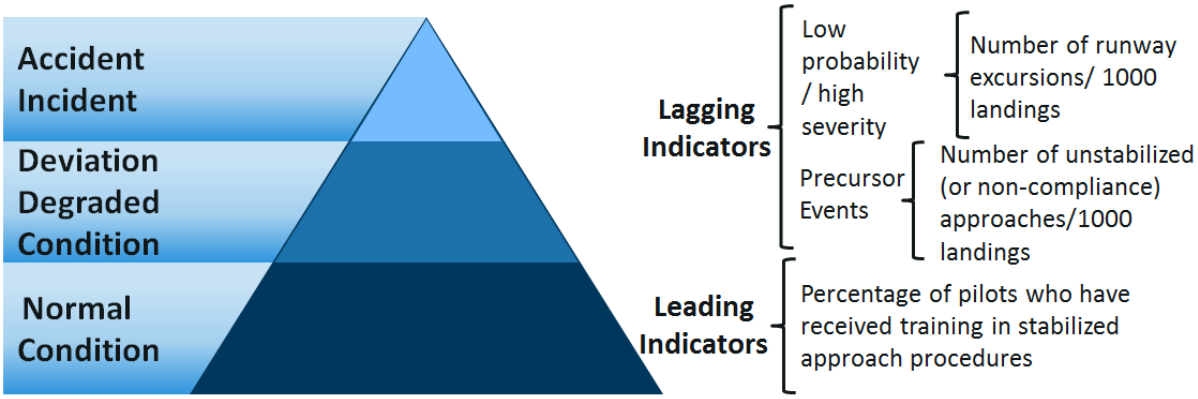
3.2.8 Leading SPIs of (enter name of State) can also inform the organisation about how its operations address change, including change in its operating environment. Focus will be on anticipating weaknesses and vulnerabilities resulting from change, or on performance oversight following a change. (An example of SPI for monitoring a change in operations would be: percentage of sites that have implemented a procedure that has been enacted.)

3.2.9 For a more precise and useful indication of safety performance, (enter name of State) has identified a set of lagging and leading indicators. This provides a more complete and realistic image of safety performance of the State.

3.2.10 In order to define its indicators, (enter name of State) has established a clear link amongst the low probability/high severity lagging SPIs, the precursor events (high probability/low severity) and the leading SPIs. Likewise, (enter name of State) has defined the low probability/high severity lagging SPIs prior to determining the precursor SPIs or the leading SPIs. The definition of a precursor SPI (high probability/low severity indicator) in relation to a more serious occurrence or condition (low probability/high severity indicator) ensures a clear correlation between the two.

3.2.11 (Enter name of State) has developed its indicators in its safety plan in such a way as to align the higher risk areas of the State with the different sectors of the aviation industry.

3.2.12 The framework adopted by (enter name of State) for determining its safety performance indicators is described in the figure below.



In the State safety plan, enter the following table or other similar structure, and determine your State's indicators after analysing the safety information and identifying the most critical trends of the aviation system of your State. Based on information from AIG authorities, States could establish the lagging indicators, followed by precursor events and leading indicators.

Lagging indicators Low probability / high severity	Lagging indicators High probability / low severity Precursor events	Leading indicators

Acceptable level of safety performance (ALoSP)

3.2.12 In order to determine and update the ALoSP of (enter name of State), the effectiveness of the following four components has been taken into account:

- ✓ SSP implementation by the State;
- ✓ SSP implementation by service providers;
- ✓ safety risk management in the aviation system of the State and the associated safety performance indicators; and
- ✓ implementation by the State of the standards and recommended practices (SARPs) of the Annexes to the Convention on International Civil Aviation.

(Enter name of State) reviews each of these elements through its aviation safety system.

The Universal safety oversight audit programme (USOAP) continuous monitoring approach (CMA)

3.2.13 (Enter name of State) applies a national systemic and coordinated approach to aviation safety management.

3.2.14 The results of the latest ICAO USOAP CMA activity conducted in (enter the year) support this approach.

3.2.15 Since 2011, the USOAP has been evolving towards the CMA.

3.2.16 The latest complete USOAP report of (enter name of State), which includes updates to the corrective action plan of (enter name of State), is available at the ICAO public website.

4. Chapter 4: State safety promotion

An effective safety promotion programme is essential to support the core operational objectives of the SSP of (enter name of State). (Enter the name of the regulatory and administrative bodies that are part of the SSP) carry out safety promotion activities as part of their SSP responsibilities.

Safety promotion is enhanced through personnel training and better communication and dissemination of safety information.

4.1 Internal communication and dissemination of safety information

4.1.1 Mandatory and recommended SSP and SMS training has been provided by the SRVSOP or by the (enter the name of the civil aviation administration). This training has been accompanied by educational and promotional products, and is communicated through various media, such as the learning management systems of the entities that are part of the SSP, informative bulletins sent by e-mail, informative sheets, and internal advertising.

4.1.2 In addition to formal MOUs and coordination groups that bring together aviation safety agencies, the (enter the name of the AIG authority) holds meetings to inform on the status of investigations, including emerging issues related to resource allocation and scope, management by stakeholders, and identified or potential safety issues.

4.1.3 (Enter the name of the civil aviation administration and of the AIG authority) are regularly in contact concerning accident and incident investigations, safety activities, shared training opportunities, and requests for information.

Enter the following paragraph only if your organisation has the corresponding capability.

4.1.4 (Enter the name of the civil aviation administration and of the AIG authority) offer training courses that are available to the staff of other organisations involved in safety, including the armed forces and state and territorial police. These courses include aviation accident investigation, human factors, new technologies, SSP, SMS, and risk management training.

4.2 External communication and dissemination of safety information

(Enter the name of the civil aviation administration)

4.2.1 (Enter the name of the civil aviation administration) conducts a series of safety education and promotion activities with a view to maintaining the aviation industry and community increasingly informed and aware of safety issues, including emerging safety matters.

4.2.2 (Enter the name of the civil aviation administration) offers a series of educational and promotional materials for the industry and the public, and has an active group of aviation safety advisors to provide assistance and advice to the industry. More information on the safety education and promotion activities of (enter the name of the civil aviation administration) can be found at:

If already available or foreseen in the future, enter the website where the civil aviation administration of your State offers or will offer educational and promotional material on safety management.

4.2.3 (Enter the name of the civil aviation administration) also publishes a series of manuals and guidance materials available to the public and the industry. Manuals and guidance material of (enter

the name of the civil aviation administration) can be found at:

If already available or foreseen in the future, enter the website where the civil aviation administration of your State publishes or will publish manuals and guidance material on safety management.

4.2.4 Furthermore, (enter the name of the civil aviation administration) has developed a set of support tools for the industry and its technical personnel to ensure a better understanding and integration of SMS principles. More information on the adoption of the SMS in (enter name of State) can be found at:

If already available or foreseen in the future, enter the website where the civil aviation administration of your State has developed or will develop support tools for the industry and its technical personnel to ensure a better understanding and integration of SMS principles.

(Enter the name of the AIG authority)

4.2.5 (Enter the name of the AIG authority) is also responsible for communicating and disseminating safety information, especially that derived from accident and incident investigations and from the investigation and analysis of safety matters.

4.2.6 (Enter the name of the AIG authority) publishes accident and incident investigation reports and delivers specific safety notices to service providers and their personnel, and delivers safety messages to the aviation community of the State through coordination with (enter the name of the civil aviation administration).

4.2.7 The alert area of (enter the name of the AIG authority) also highlights the safety concerns derived from investigation findings and from occurrences reported by the industry, and offers strategies to help manage risk areas.

Enter the name of the other entities that are part of the SSP and describe their role, functions and responsibilities concerning external communication and dissemination of safety information.

5. Chapter 5: Challenges, priorities and objectives

5.1 Challenges

Aviation market

Analyse the status of the aviation market during the last 10 years and estimate air traffic growth in the next 10 years, based on forecasts performed by reliable sources. Some paragraphs with examples of a favourable situation are shown below.

If the situation is unfavourable for your State, analyse why it is unfavourable from the air traffic point of view and what would be the main challenge.

5.1.1 The international, domestic and regional passenger market of the main airlines of (enter name of State) has grown significantly during the last decade.

5.1.2 According to (enter the name of a trustworthy company engaged in traffic growth/reduction forecasts), it is foreseen that the aviation market of (enter name of State) will continue to grow during the next 10 years, although at a slightly more conservative pace compared to the last few years and with variations among the different sectors of the industry.

5.1.3 Competition in the aeronautical market of (enter name of State) and the levelling of regional growth exert equal pressure on aircraft operators and government agencies, which translates into additional efforts to maximise operational efficiency and to reduce costs without affecting safety results.

Operational complexity

5.1.4 The safety system of (enter name of State) will continue to be complex because of the addition of different types of aircraft, which go from turbojets to be operated by international, domestic, and regional airlines, to helicopters operating in the high seas, sport and recreational aircraft, and remotely piloted aircraft systems (RPAS).

5.1.5 Recreational and commercial RPAS are already in operation and a very fast expansion of these systems is envisaged in the future. In addition to privacy issues, it will be necessary to address safety and air traffic issues in order to safely integrate RPAS operations into the airspace of (enter name of State).

5.1.6 The complexity of the industry poses continuous challenges to regulatory, investigation, and air service organisations. Therefore, the allocation of resources to these organisations, as well as staff retention, will need to be carefully planned.

Infrastructure / Technology

5.1.7 The continuous growth foreseen, especially at the main airports of (enter name of State), will increase the demand for a whole range of infrastructure and airport, air traffic, rescue and fire fighting services, resulting in larger investments in resources by the State to maintain or improve safety.

In case your State is planning to build or expand airport or air traffic infrastructure, analyse the situation and the resources required for maintaining the desired level of safety.

5.1.8 Technology will also continue playing a vital role in the fulfilment of future safety, efficiency, and capacity requirements of (enter name of State). Modern aircraft and air traffic management give access to more precise communications, navigation, and surveillance.

5.1.9 (Enter name of State) is introducing satellite-based technologies in its airspace to improve safety oversight precision and reliability throughout the country, using automatic dependent surveillance - Broadcast (ADS-B), while navigation is increasingly based on the Global navigation satellite system (GNSS).

5.1.10 These technologies are supplemented by robust ground surveillance and navigation systems, including a modern radar surveillance network for en route and terminal areas.

5.1.11 The growing use of technology creates the need for government organisations, the industry, and the aeronautical community in general to make a safe and effective transition to new procedures and processes, to be implemented over several years to facilitate a more effective change.

5.1.12 Clear and appropriate regulatory requirements will also be established to support the use of new technology and infrastructure.

5.1.13 (Enter name of State) will pursue its commitment to ICAO, SRVSOP, ARCM, RASG-PA and other international organisations concerning the development of standards and recommended practices to facilitate safe adoption of new and improved technologies and infrastructure at global, regional and national level.

Personnel capabilities

5.1.14 The addition of new aircraft, satellite-based navigation systems, and other new technologies requires adequate and duly trained, experienced, and skilled personnel to operate these aircraft, systems, and equipment in a safe and effective manner.

5.1 15 Training and development of skilled personnel will be key factors to make sure that aviation safety performance in (enter name of State) is maintained and improved.

5.1.16 The use of system- and risk-based approaches by the industry will require planning strategies for the selection, recruitment, and retention of trained and skilled personnel.

5.1.17 Increased use of performance-based rules and risk-based oversight concepts in safety oversight approaches will require a change in the way in which (enter the name of the civil aviation administration) performs its regulatory oversight functions, which in turn will require different sets of skills for its personnel.

Commercial aviation, aerial work, training and general aviation (GA) operations with aircraft weighing 5 700 kg or less

Based on your State statistics, develop the following paragraph:

5.1.18 Operations that pose a challenge to the aviation industry of (enter name of State) are commercial aviation, aerial work, training and general aviation (GA) operations with aircraft weighing 5 700 kg or less. The accident rate in these segments remains high, posing a big challenge to regulatory

and administrative bodies that are part of the SSP.

5.1.19 Based on trends, contributing factors, latent conditions, deficiencies, findings, and threats submitted by the Safety data and information analysis coordination group (GCADI) of (enter name of State), the (enter the name of the SSP coordination mechanism) will establish mitigation plans for each case, with direct participation of each industry segment involved.

5.1.20 (Enter the name of the civil aviation administration, of the AIG authority and of the other organisations that are part of the SSP) will maintain educational and sensitisation programmes to continue highlighting safety hazards and risks, and will provide guidance to facilitate compliance with regulatory and performance requirements by the industry in order to ensure that hazards and risks continue to be addressed in a responsible manner.

5.2 Global priorities

5.2.1 The ICAO GASP establishes the following four global aviation safety priorities:

- ✓ improve effective implementation (EI) by States;
- ✓ implement SSP and SMS;
- ✓ reduce accident rates in categories of higher risk to aviation;
- ✓ maintain zero fatalities in aviation accidents;
- ✓ regional collaboration;
- ✓ use of industry programmes; and
- ✓ availability of the appropriate infrastructure in air navigation services and aerodromes to support safe operations.

In case your State has high accident, serious incident, and incident rates, indicate what mitigation measures will be established by your State to reduce such rates. On the other hand, if your State has low accident, serious incident, and incident rates develop the following paragraphs:

5.2.2 All global priorities are relevant for the aviation industry of (enter name of State), despite its excellent safety record in scheduled commercial air transport operations and effective implementation of the USOAP CMA.

5.2.3 During the last decade, (enter name of State) has had a very low rate of occurrence in the following high aviation risk categories: Runway excursion (RE), loss of control in flight (LOC-I), and controlled flight into terrain (CFIT).

5.2.4 Nevertheless, (enter name of State) has taken and will continue to take a series of measures to maintain a low accident rate in the aforementioned accident categories. Furthermore, it will take the following actions: (enter those applicable to your State)

- ✓ improvement of services that are essential for air navigation and aerodromes;
- ✓ increased surveillance and navigation capacity through broader implementation of ADS-B and GNSS;
- ✓ establishment of local runway safety teams;

- ✓ introduction of advanced surface movement guidance and control systems at the airports of (enter the name of the airports if necessary);
- ✓ implementation of runway stop bars at the airports of (enter the name of the airports if necessary);
- ✓ publication of various training and educational material highlighting the risk of this type of accidents and risk management measures;
- ✓ conduction of workshops with the industry on relevant topics, such as human factors and flight deck automation;
- ✓ (Enter name of State) undertakes to implement safety measures in support of a safe aviation system in the region and a global harmonised system. Furthermore, it will activate the following safety coordination groups to address the main aviation sectors individually:

  - ➢ Commercial aviation group – aircraft;
  - ➢ Commercial aviation group – helicopters;
  - ➢ General aviation group - aircraft;
  - ➢ General aviation group – helicopters;
  - ➢ Agricultural aviation group;
  - ➢ Aerial work group;
  - ➢ Flight training school group;
  - ➢ Remotely piloted aircraft systems (RPAS);
  - ➢ Airworthiness group;
  - ➢ Air navigation services (ANS) group; and
  - ➢ Aerodromes (AGA) group.

5.3 Regional priorities

5.3.1 The diversity of the South American Region, in addition to forecasts of continuous air traffic growth during the next decade, pose major challenges to regional aviation safety. Taking into account these events and challenges, the global priorities set forth in the GASP have been adopted as regional priorities, but with shorter deadlines. Moreover, the following activities are included:

- ✓ full implementation of performance-based navigation (PBN) in en route and terminal airspace;
- ✓ increased use of air traffic flow management and airport collaborative decision-making (A-CDM);
- ✓ increased use of data link, such as automatic dependent surveillance - Contract (ADS-C) and controller-pilot data link communications (CPDLC); and
- ✓ exchange of data with neighbouring air navigation service providers.

5.3.2 (Enter name of State) participates actively in the development of regional aviation safety priorities and policies through forums such as:

- ✓ the Regional safety oversight cooperation system (SRVSOP);
- ✓ the South American AIG Regional cooperation mechanism (ARCM);

- ✓ the CAR/SAM Regional planning and implementation group (GREPECAS);
- ✓ the Meeting of air navigation and safety directors;
- ✓ the Meeting of directors general of civil aviation of the SAM Region; and
- ✓ the Aviation safety group – Pan America (RASG-PA);

5.4 Objectives

Guidance on the definition of safety objectives is provided below.

The development of safety objectives starts with a clear understanding of major safety risks in the aviation system of the State. Aviation safety risk is influenced by many different factors, such as the size and complexity of the aviation system, as well as the operating environment. The development of a good description of the system will provide good training and understanding.

Quantitative data, where available, should be used to understand the main safety risks. The State may also use qualitative information and expert assessments. A group of selected experts may be established to participate in guided discussions for understanding the broader safety risks across the aviation system of the State. The function of this group would be similar to that of the "Safety review board (SRB)" of the service provider, but at the State level. These experts may use available information on safety trends, known accidents and serious incidents, or known deficiencies in the State safety oversight (SSO) processes. Regional objectives derived from the global objectives identified in the GASP should also be taken into account. This "brainstorming" approach could be applied in collaboration with services providers in order to identify "known" safety issues in each aviation sector.

Safety objectives are brief, high-level statements of safety achievements or targets to be achieved. They serve as guidance for organizational activities and, therefore, must be aligned with the safety policy that sets the high-level safety commitments of the organisation. They also help to communicate safety priorities to the aviation community in general.

Safety objectives provide guidance for the development of safety performance indicators (SPIs) and safety performance targets (SPTs). The establishment of safety objectives for safety performance management provides guidance on the use of resources and the conduction of organisational activities for SPI oversight and measurement of SPT status.

Safety objectives may be:

- ✓ **process-based**, that is, established in terms of safe behaviours expected from operational personnel, or action taken by the organisation for safety risk management; or

- ✓ **result-based**, that is, they can cover actions and trends concerning containment of operational accidents or losses.

Safety objectives should combine process-based and result-based safety objectives in order to provide effective guidance for SPIs and SPTs.

An example of a process-based safety objective relevant to the SSP—regarding a safety intervention—would be "(Enter name of State) will implement an online safety reporting programme by dd/mm/yyyy."

An example of a result-based safety objective relevant to the SMS—related to containment of operational loss—would be "the airport operator should reduce the annual number of adverse apron safety-related events compared to the previous year."

Safety objectives support the identification of State SPIs and SPTs and subsequent establishment of the acceptable level of safety performance (ALoSP). Safety objectives work together as a package with SPIs and SPTs to enable the State to monitor and measure its safety performance.

Once the SSP has been implemented, the State should periodically assess its identified safety risks by analysing the safety data generated by the SSP. This analysis will also help identify emerging issues. The State should also review periodically its progress towards the achievement of its safety objectives and their continuing relevance, taking into account any reassessment of current risks.

5.4.1 SSP implementation will be consistent with the legislative framework of (enter name of State) and will be supported by the initiatives and guidelines of the SAM safety plan (SAMSP), which constitutes one of the axes of the Plan for the sustainability of air transport in the SAM Region.

5.4.2 In order to make improvements to the safety system, (enter name of State) will take into account the following critical factors:

- ✓ continuous dialogue among the regulatory and administrative bodies of the State that are part of the SSP, the industry, and the community in general;
- ✓ synchronisation of infrastructure and equipment investments by the State and the industry, so that stakeholders may derive safety and efficiency benefits;
- ✓ support to international and regional harmonisation;
- ✓ knowledge of the regulation and management of an airspace in which aircraft of different capabilities operate; and
- ✓ a clear regulatory policy and deadlines so that State entities and the industry may have greater certainty and capacity to plan when changes occur.

5.4.3 As described in Section 2 of the SSP, (enter name of State) will gradually introduce performance-based regulations and risk-based systems and approaches for safety oversight to replace prescriptive regulations and oversight.

5.4.4 The transition to a performance-based approach, together with the issues described in Section 5.1, pose a challenge to the organisations responsible for aviation safety and the industry in terms of the impact on the respective roles, responsibilities, and the allocation of resources.

5.4.5 Given the fast pace of change in aviation, (enter name of State) will mainly focus on its objectives for 2020, 2025, 2028, and 2030. However, the indicators, targets, and alert levels will be calculated annually in the State safety plan.

5.4.6 An overview of the key objectives of (enter name of State) to meet future challenges and priorities is shown below.

For 2020

List the objectives, taking into account the objectives set forth in the SAMSP, for example:

- ✓ implement a sustainable SSP;
- ✓ reduce accident rates and numbers and fatalities by 10% in all aviation segments;

  (Every year, the State safety plan will include the 10% reduction of accident rates and numbers, in accordance with the annual plans set forth in the SAMSP)
- ✓ improve effective implementation (EI) to XX % (enter the percentage of EI that corresponds to your State in accordance with the goals established in Table 5-2 of the SAMSP);
- ✓ regional collaboration;

  Include general objectives related to the need to receive technical assistance when the State has areas with negative safety oversight margins (less than zero) or to provide technical assistance when it has positive safety oversight margins.

  The safety oversight margin is a value that is above or below the effective implementation (EI) target, and is based on a global linear regression of air traffic *vs* EI of all States audited within the USOAP CMA framework.

  The application of safety oversight margins is available at ICAO iSTARS: http://www.icao.int/safety/iStars/pages/intro.aspx

  Then, establish macro targets indicating the contribution that your State will make to RASG-PA in terms of safety information.

  Finally, describe general objectives related to your active participation in RASG-PA when your State has positive safety oversight margins and has achieved an effective SSP.
- ✓ Use of industry programmes

  As an objective, include the need for the best industry programmes concerning the use of globally harmonised SPIs and participation in industry assessment programmes.
- ✓ Availability of the appropriate infrastructure to support safe operations

  Describe the objectives related to the need to implement infrastructure elements that are essential for air navigation and aerodromes in order to support safe operations.

List other objectives of each of the parties of the SSP that will contribute directly to safety and the attainment of the aforementioned objectives. Describe short and high-level objectives that may be achieved by 2020 and that provide guidance to all the relevant aviation authorities of the State in the following areas of the safety oversight system: Personnel licensing (PEL); aircraft operations (OPS); airworthiness (AIR); aviation accident and incident investigation (AIG); air navigation services (ANS) and aerodromes (AGA). Some examples of objectives are shown below:

- ✓ implement the requirements set by (enter the name of the civil aviation administration) concerning aircraft upset prevention and recovery training (UPRT);
- ✓ implement the requirements set by (enter the name of the civil aviation administration) concerning ACAS II, Version 7.1;
- ✓ implement the requirements set by (enter the name of the civil aviation administration) regarding the flight data analysis programme (FDAP) in air service operators operating aircraft over 27 000 kg;
- ✓ promotion by (enter the name of the civil aviation administration and of the AIG authority) of voluntary implementation of a flight data analysis programme (FDAP) in commercial aviation, corporate aviation, general aviation, training aviation, and agricultural aviation operators operating aircraft over 5 700 kg.

- ✓ implement the requirements set by (enter the name of the civil aviation administration) concerning GNSS-based navigation and ADS-B surveillance.
- ✓ (Enter name of State) will continue cooperating with the ICAO South American Office, GREPECAS, SRVSOP, ARCM, RASG-PA, and the international aeronautical authorities to improve aviation safety management approaches.
- ✓ (Enter the name of the air navigation service provider if applicable) will implement mitigation measures to resolve the findings in its SMS concerning conflict detection and changes in air routes.
- ✓ When developing new regulations and requirements, (enter the name of the aviation administration) will take into consideration that any regulatory change should be based on safety risk rather than on prescriptive requirements that impose unnecessary costs on the industry.
- ✓ The classification of aircraft operations will be aligned with the ICAO model.
- ✓ Risk profiling of the aviation industry of (enter name of State) will continue in order to identify the specific risks of the sector and joint risk mitigation plans to manage aviation safety performance.
- ✓ Applying a risk-based approach, an analysis will be made of oversight policy, procedures, and capacity concerning:
  - ➢ the remotely piloted aircraft system (RPAS) industry and operators;
  - ➢ maintenance providers abroad that provide services to aircraft registered in (enter name of State);
  - ➢ helicopter operations in the high seas; and
  - ➢ surveillance of operations conducted by air service operators of foreign aircraft and the associated permits.
- ✓ (Enter the name of the ANS service provider or the name of the authority responsible thereof and the name of the ministry of defence) will introduce an integrated civil and military air traffic system to improve safety and efficiency, and to manage the increasingly complex civil-military airspace requirements.
- ✓ In accordance with the ICAO Global air navigation plan, (enter name of State) will extend the use of PBN (such as performance-based navigation and ground-based augmentation systems with approved ADS-B avionics).

By 2025

List the objectives taking into account the objectives set forth in the SAMSP, for example:

- ✓ implement an effective SSP;
- ✓ reduce accident rates and numbers and fatalities by 10% in all aviation segments;

  (Every year, the State safety plan will include the 10% reduction of accident rates and numbers, in accordance with the annual plans set forth in the SAMSP)
- ✓ Increase effective implementation (EI) to XX % (enter the EI percentage to be met in accordance with the goals set forth in Table 5-2 of your State's SAMSP).
- ✓ Regional collaboration

Include general objectives related to the need to receive technical assistance when the State has areas with negative safety oversight margins (less than zero) or to provide technical assistance when it has positive safety oversight margins.

The safety oversight margin is a value that is above or below the effective implementation (EI) target, and is based on a global linear regression of air traffic *vs* EI of all States audited within the USOAP CMA framework.

The application of safety oversight margins is available at ICAO iSTARS: http://www.icao.int/safety/iStars/pages/intro.aspx

Then, establish macro objectives indicating the contribution that your State will make to RASG-PA in terms of safety information.

Finally, describe general objectives related to your active participation in RASG-PA when your State has positive safety oversight margins and has achieved an effective SSP.

✓ Use of industry programmes

As an objective, include the need for the best industry programmes concerning the use of globally harmonised SPIs and participation of your service providers in industry assessment programmes.

✓ Availability of the appropriate infrastructure to support safe operations

Describe the objectives related to the need to implement infrastructure elements that are essential for air navigation and aerodromes in order to support safe operations.

List other objectives of each of the parties of the SSP that will contribute directly to safety and the attainment of the aforementioned objectives. Describe short-term and high-level objectives that may be achieved by 2025 and that provide guidance to all the relevant aviation authorities of the State in the following areas of the safety oversight system: Personnel licensing (PEL); aircraft operations (OPS); airworthiness (AIR); aviation accident and incident investigation (AIG); air navigation services (ANS) and aerodromes (AGA).

By 2028

✓ Increase effective implementation to 95%; and

reduce accident rates and numbers and fatalities by 10% in all aviation segments;

(Every year, the State safety plan will include the 10% reduction of accident rates and numbers, in accordance with the annual plans set forth in the SAMSP)

✓ Regional collaboration

Include general objectives related to the need to receive technical assistance when the State has areas with negative safety oversight margins (less than zero) or to provide technical assistance when it has positive safety oversight margins.

The safety oversight margin is a value that is above or below the effective implementation (EI) target, and is based on a global linear regression of air traffic *vs* EI of all States audited within the USOAP CMA framework.

The application of safety oversight margins is available at ICAO iSTARS: http://www.icao.int/safety/iStars/pages/intro.aspx

Then, establish macro objectives indicating the contribution that your State will make to RASG-PA in terms of safety information.

Finally, describe general objectives related to your active participation in RASG-PA when your State has positive safety oversight margins and has achieved an effective SSP.

✓ Use of industry programmes

As an objective, include the need for the best industry programmes concerning the use of globally harmonised SPIs and participation of your service providers in industry assessment programmes.

✓ Availability of the appropriate infrastructure to support safe operations

Describe the objectives related to the need to implement infrastructure elements that are essential for air navigation and aerodromes in order to support safe operations.

List other objectives of each of the parties of the SSP that will contribute directly to safety and the attainment of the aforementioned objectives. Describe short-term and high-level objectives that may be achieved by 2028 and that provide guidance to all the relevant aviation authorities of the State in the following areas of the safety oversight system: Personnel licensing (PEL); aircraft operations (OPS); airworthiness (AIR); aviation accident and incident investigation (AIG); air navigation services (ANS) and aerodromes (AGA).

By 2030

✓ maintain effective implementation (EI) at 95% and improve it.

✓ achieve by 2030 a consecutive 3-year period without fatalities in aircraft accidents and maintain zero fatalities thereafter;

✓ reduce accident rates and numbers and fatalities by 10% in all aviation segments;

(Every year, the State safety plan will include the 10% reduction of accident rates and numbers, in accordance with the annual plans set forth in the SAMSP)

✓ Regional collaboration

Include general objectives related to the need to receive technical assistance when the State has areas with negative safety oversight margins (less than zero) or to provide technical assistance when it has positive safety oversight margins.

The safety oversight margin is a value that is above or below the effective implementation (EI) target, and is based on a global linear regression of air traffic *vs* EI of all States audited within the USOAP CMA framework.

The application of safety oversight margins is available at ICAO iSTARS: http://www.icao.int/safety/iStars/pages/intro.aspx

Then, establish macro objectives indicating the contribution that your State will make to RASG-PA in terms of safety information.

Finally, describe general objectives related to your active participation in RASG-PA when your State has positive safety oversight margins and has achieved an effective SSP.

✓ Use of industry programmes

As an objective, include the need for the best programmes of the industry concerning the use of globally harmonised SPIs and participation of your service providers in industry assessment programmes.

✓ Availability of the appropriate infrastructure to support safe operations

Describe the objectives related to the need to implement infrastructure elements that are essential for air navigation and aerodromes in order to support safe operations.

List other objectives of each of the parties of the SSP that will contribute directly to safety and the attainment of the aforementioned objectives. Describe short-term and high-level objectives that may be achieved by 2030 and that provide guidance to all the relevant aviation authorities of the State in the following areas of the safety oversight system: Personnel licensing (PEL); aircraft operations (OPS); airworthiness (AIR); aviation accident and incident investigation (AIG); air navigation services (ANS) and aerodromes (AGA).

Appendix A

Safety policy statement

The following is an illustration of a basic safety policy statement:

(Enter the name of the civil aviation administration) promotes and regulates aviation safety in (enter name of State). We are committed to develop and implement strategies, regulatory frameworks, and effective processes to ensure that aviation activities, under our oversight, reach the highest possible level of safety.

To this end, we will:

1) develop national regulations and requirements in line with the standards, recommended practices, and procedures of the International Civil Aviation Organization (ICAO);

2) adopt a data- and performance-based approach to safety regulation and oversight activities, as applicable;

3) identify safety trends in the aviation industry and adopt a risk-based approach to address the areas of greatest safety concern or need;

4) continuously control and measure safety performance in our aviation system through collective State indicators, and also through the safety performance indicators of service providers;

5) collaborate and consult with the industry to address safety issues, and continuously improve aviation safety;

6) encourage good safety practices and a positive institutional safety culture within the industry, based on sound safety management principles;

7) encourage the collection, analysis, and exchange of safety information among all relevant industry organisations and service providers, with a view to using such information for safety management purposes only;

8) assign sufficient financial and human resources for safety management and oversight; and

9) provide the personnel with the skills and experience needed to fulfil their safety oversight and management responsibilities in a proficient manner.

(Signed_____

DGAC (SSP accountable executive or official of the State office in charge of civil aviation)

Appendix B

Safety regulations, instruments, and other publications

The subordinate aviation regulations and instruments of (enter name of State) and the advisory material include:

List the regulations promulgated by your State

- ✓ XXXXXXXXXX
- ✓ XXXXXXXXXX

Enter the website where regulations have been published

(Enter the name of the civil aviation administration) also issues for the industry a series of publications of a consultative rather than legislative nature, such as:

List the advisory circulars published by your State
List the guidance material; for example, airworthiness bulletins (AWB)

- ✓ XXXXXXXXXX
- ✓ XXXXXXXXXX

Enter the website where the guidance material has been published

(Enter the name of the civil aviation administration) will also develop a series of procedural handbooks providing guidance to the staff of (enter the name of the civil aviation administration), delegates, and authorised individuals engaged in matters concerning, *inter alia,* the drafting, assessment, and processing of requests for various certificates, authorisations, approvals, permits, and exemptions.

- ✓ XXXXXXXXXX
- ✓ XXXXXXXXXX

Enter the website where the procedural handbooks have been published

Appendix C

State safety roles and responsibilities under the SSP

(Enter the name of the ministry or ministries responsible for aeronautical entities with regulatory, accident and incident investigation, or service provision functions)

The government of (enter name of State), through the Minister (or ministers) of (enter the name of the ministry or ministries in charge of aviation in the State), sets the general direction of aviation policy. The minister is accountable to the (enter the name of the legislative body of the State, for example, parliament, congress, etc.) for civil aviation matters, including aviation safety and security.

(Enter the name of the SSP place holder organization)

In various States, the civil aviation administration is designated as the **SSP place holder organisation**). However, some States have designated an entity of more hierarchy than the civil aviation administration as SSP place holder organisation. If this is the case, develop a paragraph indicating the name of the entity and its responsibilities as delegated by the State with regard to SSP implementation, maintenance and coordination, and then provide information on the responsibilities of entities that are part of the SSP, such as civil aviation administrations, aviation accident and incident investigation authorities, and service providers, if the State considers them as part of the SSP.

In case the State has designated the civil aviation administration as the SSP place holder organisation, develop the following paragraphs:

(Enter the name of the SSP place holder organization) is the legal authority established by virtue of the Civil Aviation Law of (enter the year), is the point of contact for coordination with ICAO, and is responsible for the implementation, maintenance, and coordination of the SSP of (enter name of State), and for monitoring progress and providing informtion on the associated implementation plan.

(Enter the name of the SSP place holder organisation) is responsible for safety regulation of civil aviation operations in the territory of (enter name of State) and of aircraft of (enter name of State) that operate outside the territory of (enter name of State). (Enter the name of the SSP place holder organisation) is also responsible for regulating airspace management in (enter the name of State).

(Enter the name of the civil aviation administration) is responsible for fulfilling the obligations of (enter name of State) under the Annexes to the Chicago Convention.

(Enter the name of the civil aviation administration) is responsible for managing the mandatory (regulatory) and voluntary reporting systems of (enter name of State) with respect to safety deficiencies, such as incidents not related to the operation of aircraft, failures, non-compliance, and findings identified during safety oversight.

More information on (enter the name of the SSP place holder) can be found at: (enter the website of the SSP place holder organisation)

In case a State has more than one regulatory organisation, enter information on all the regulatory organisations, indicating their responsibilities as delegated by the State.

(Enter the name of the aviation accident and incident investigation authority)

(Enter the name of the aviation accident and incident investigation authority) is the independent investigation body of (enter name of State) that operates under the (enter the name of the law that designates the AIG organisation as the independent aviation accident investigation organisation).

(Enter the name of the aviation accident and incident investigation authority) is responsible for the independent investigation of accidents, serious incidents and other safety occurrences involving civil aircraft in (enter name of State), and for participating in the investigation of accidents and other occurrences involving aircraft of (enter name of State) abroad.

(Enter the name of the aviation accident and incident investigation authority) is also responsible for the mandatory and voluntary reporting systems of (enter name of State) concerning accidents, serious incidents, and incidents related to the operation of aircraft. Its analytical and investigation functions are derived from this responsibility concerning the collection and management of aviation safety data.

(Enter the name of the aviation accident and incident investigation authority) is responsible for fulfilling the obligations of (enter name of State) pursuant to Annexes 13 and 19 to the Chicago Convention.

In case the AIG organisation is under the scope of the civil aviation administration, describe its inherent functions and responsibilities in relation to the SSP.

(Enter the name of the other organisations that have been designated as part of the SSP and describe their responsibilities assigned within the framework of the SSP).

Appendix D

Cooperation arrangements

Describe the cooperation agreements that exist in your State, such as:

- ✓ Civil-military search and rescue cooperation;
- ✓ International cooperation arrangements, etc.

Appendix E

Safety risk management in (name of State)

Describe the way in which your State will manage safety risks. By way of example, safety risk management in Australia is described below.

Consistent with the increasing international emphasis on a safety risk management programme, and as highlighted in Annex 19 to the Convention on International Civil Aviation (Safety management) and Doc 9859 (Safety management manual), (enter name of State) adheres to AS/NZS ISO 31000: 2009 Risk management principles and guidelines to effectively identify, evaluate, control and monitor aviation safety risks.

As outlined in Chapter 2 – State Safety Risk Management, management of aviation safety risk in (enter name of State) is undertaken through a multi-layered process that has the capacity to identify and manage risks at various levels of the aviation industry. The system is comprised of the following levels of risk management:

Regulatory risk management

Aviation safety regulations must be shown to be necessary. They will be developed on the basis of addressing known or likely safety risks that cannot be addressed adequately by non-regulatory means. Each proposed regulation must be assessed against the contribution it will make to aviation safety. The regulations must not impose unnecessary costs or unnecessarily hinder high levels of participation in aviation and its capacity for growth.

Surveillance outcomes risk management

Risk-based surveillance seeks to assess an authorisation holder's management system and its ability to identify and keep operational risks to an acceptable level of safety performance while at the same time ensuring compliance with the aviation legislation of (enter name of State). Risk-based surveillance is a structured process used by (enter the name of the civil aviation administration) to prioritise surveillance activities based on authorisation holders' risk profiles. It focuses on the effectiveness of an authorisation holder's management of its risks and enables targeted surveillance of high-risk areas of an authorisation holder's systems.

Sector risk profiling

Sector risk profiling is a proactive approach to identifying the risks that exist within the sector at a defined point in time. It is a data-driven process for identifying the current and emerging risks. The process output is a collection of risks that is the aggregate of known and predicted risks impacting the sector operations as a consequence of factors within the operating environment, supporting infrastructure/services and deviations associated with the growth and change in the sector. Risk profiling outputs supplement the oversight and decision-making of (enter the name of the civil aviation administration) through proactive risk identification and risk management processes to ensure the sector risks are maintained within acceptable limits.

Industry risk profiling

The industry risk profiling process links to the SSP and the safety management system of (enter the name of the civil aviation administration) by providing an aviation industry review of the impact of the

risks on industry.

The role of (enter the name of the civil aviation administration) in regulating safety requires the identification of potential risks within the industry. Aggregating safety-related information gathered from multiple sectors provides an industry level understanding of the risks and enables the development of a baseline measurement for safety performance.

The risk profiling process at an industry level draws on the aviation body of knowledge, which includes updated strategic studies that reflect how the industry and economy are evolving and system and sector risks identified.

The current risks and the emerging risks identified at an industry level are compared and prioritised based on their relevance and impact on system safety. The industry risk profile involves high-level analysis taking a strategic approach to the risk. Aggregating the risks enables the development of safety performance measures at the industry level.

System risk profiling

The system risk profile consists of the systemic safety risk that exists within the entire aviation community. The system risk profile provides a high-level risk management summary categorising significant aviation system safety risks and contributes to the safety plan of (enter the name of the civil aviation administration) and State safety performance indicators.

Safety plan of (enter name of State)

The Safety plan of (enter name of State) is the documented output of an aggregated safety risk analysis conducted in the safety risk management processes of (enter name of State). The plan provides a risk picture of the aviation safety system in (enter name of State) from a State perspective.

The purpose of the Safety plan of (enter name of State), which will be updated annually, is to outline to stakeholders that (enter the name of the civil aviation administration) will, in addition to normal regulation oversight activities, will target resources to improve safety over the next few years.

The objective of the plan, in accordance with the objective of the SAM Safety Plan (SAMSP), is to reduce accidents in all aviation segments to a minimum acceptable level, by promoting and enhancing civil aviation safety, with special emphasis on the prevention of aviation accident and incidents.

Appendix F

Requirements for the service provider's SMS

In the following table, enter information on SMS requirements for service providers that are obliged to implement an SMS

Service providers	Regulations and website
Civil aviation training centres (CATCs) exposed to safety risks related to the operation of aircraft during the provision of their services	Information on (enter the name of the regulation, *e.g.* LAR 141) can be found at: (enter the website)
Aircraft operators authorised to conduct commercial air transport activities	Information on (enter the name of the regulation(s), *e.g.* LAR 135 and 121) can be found at: (enter the website)
Helicopter operators authorised to conduct commercial air transport activities	Information on (enter the name of the regulation, *e.g.* LAR 135) can be found at: (enter the website)
Approved maintenance organisations (AMOs) serving aircraft or helicopter operators engaged in commercial air transport	Information on (enter the name of the regulation, *e.g.* LAR 145) can be found at: (enter the website)
Aircraft, engine, propeller type design or manufacturing organisations serving aircraft or helicopter operators engaged in commercial air transport	Information on (enter the name of the regulation, *e.g.* LAR 21, LAR 33, and LAR 35) can be found at: (enter the website)
Air traffic service (ATS) providers	Information on (enter the name of the regulation, *e.g.* LAR 211) can be found at: (enter the website)
Certified aerodrome operators	Information on (enter the name of the regulation, *e.g.* LAR 139 and 153) can be found at: (enter the website)

Data reporting and analysis

Enter the acronym of the Civil Aviation Administration Aviation statistics	Enter the website
Enter the acronym of the AIG authority Data on safety occurrences	Enter the website

Appendix G

Enforcement policy

This enforcement policy is promulgated under the statutory authority in (enter the name of its regulation) of (enter name of State).

1. PURPOSE

1.1 The enforcement policy of (enter the name of the civil aviation administration) is aimed at promoting compliance with aviation safety regulations and requirements through enforcement functions in an equitable manner.

1.2 The implementation of safety management systems (SMS) requires the (enter the name of the civil aviation administration) to have an equitable and discretionary enforcement approach in order to support the SSP-SMS framework.

1.3 The enforcement policies and procedures of (enter the name of the civil aviation administration) allow service providers to deal with, and resolve, certain events involving safety deviations, internally, within the context of the service provider's SMS and to the satisfaction of the authority. Intentional contraventions of (enter the name of the civil aviation law of the State) and the (enter the name of the civil aviation regulations of the State) will be investigated and will be subject to conventional enforcement action where appropriate. There must be clear provisions in the enforcement framework for due consideration to distinguish between premeditated violations and unintentional errors or deviations.

1.4 The enforcement policy statement and associated enforcement procedures apply to service providers operating in accordance with (enter the name of State regulations derived from ICAO Annex 1 — *Personnel licensing;* Annex 6 — *Operation of aircraft*, Part I — *International commercial air transport — Aeroplanes* and Part III — *International operations, — Helicopters;* Annex 8 — *Airworthiness;* Annex 11 — *Air traffic services,* and Annex 14 — *Aerodromes*, Volume I — *Aerodrome design and operations*).

2. POLICY

2.1 (All applicable service providers) will establish, maintain, and adhere to an SMS that is commensurate with the size, nature and complexity of the operations authorised to be conducted under its their approval/certificate.

2.2 To maintain this enforcement policy that supports the implementation of SMS, the inspectors of (enter the name of the civil aviation administration) will maintain an open communication channel with service providers.

2.3 No information derived from safety data collection and processing systems (established under an SMS) relating to reports classified as confidential, voluntary or equivalent category shall be used as the basis for enforcement action.

2.4 When a service provider operating under an SMS unintentionally contravenes the (enter

the name of the civil aviation regulations or civil aviation law), specific review procedures will be used. These procedures will allow the inspector of (enter the name of the civil aviation administration) responsible for the oversight of the service provider the opportunity to engage in dialogue with the SMS-approved organisation. The objective of this dialogue is to agree on proposed corrective measures and an action plan that adequately address the deficiencies that led to the contravention and to afford the service provider a reasonable time to implement them. This approach aims to nurture and sustain effective safety reporting, whereby service providers' employees can report safety deficiencies and hazards without fear of punitive action. A service provider can therefore, without apportioning blame and without fear of enforcement action, analyse the event and the organisational or individual factors that may have led to it, in order to incorporate remedial measures that will best help prevent recurrence.

2.5 (Enter the name of the civil aviation administration), through the inspector responsible for the oversight of the service provider, will evaluate the corrective measures proposed by the service provider or the systems currently in place to address the event underlying the contravention. If the corrective measures proposed (including any internal disciplinary actions) are considered satisfactory and likely to prevent recurrence and foster future compliance, the review of the violation should be concluded with no further punitive enforcement action by the regulator. In cases where either the corrective measures or the systems in place are considered inappropriate, (enter the name of the civil aviation administration) will continue to interact with the service provider to find a satisfactory resolution that would prevent enforcement action. However, in cases where the service provider refuses to address the event and provide effective corrective measures, (enter the name of the civil aviation administration) will consider taking enforcement action or other administrative action deemed appropriate.

2.6 Breaches of aviation regulations may occur for many different reasons, from a genuine misunderstanding of the regulations, to disregard for aviation safety. (Enter the name of the civil aviation administration) has a range of enforcement procedures in order to effectively address safety obligations under the (corresponding State law), in light of different circumstances. These procedures may result in a variety of actions, such as:

a) counselling;

b) remedial training; or

c) variation, suspension or cancellation of authorisations.

2.7 Enforcement decisions must not be influenced by:

a) personal conflict;

b) personal gain;

c) considerations such as gender, race, religion, political views or affiliation; or

d) personal, political or financial power of those involved.

3. PROPORTIONALITY OF RESPONSES

Compliance decisions must be proportional to the identified breaches and the resulting safety risks they underlie, based on three principles:

a) (Enter the name of the civil aviation administration) will take action against those who consistently and deliberately operate outside civil aviation regulations;

b) (Enter the name of the civil aviation administration) will seek to educate and promote training or supervision of those who show commitment to resolving safety deficiencies; and

c) (Enter the name of the civil aviation administration) will give due and equitable consideration to distinguish premeditated violations from unintentional errors or deviations.

4. NATURAL JUSTICE AND ACCOUNTABILITY

Enforcement decisions must:

a) the fair and follow due process;

b) be transparent to those involved;

c) take into account the circumstances of the case and the actions/attitudes of the service provider or individual when considering action;

d) be consistent actions/decisions for like/similar circumstances; and

e) be subject to appropriate internal and external review.

5. EXCEPTIONS

5.1 This policy is not applicable if there is evidence of a deliberate effort to conceal non-compliance.

5.2 This policy is not applicable if the service provider fails to maintain an acceptable SMS or its agreed safety performance.

5.3 This policy is not applicable if the service provider is deemed by the authority as a recurrent violator.

5.4 In the above circumstances, the authority may deal with such non-compliance or violations according to established enforcement procedures as deemed appropriate.

(Signed) _____

SSP accountable executive

Appendix H - Glossary of terms

Enter the glossary of terms of the document