International Civil Aviation Organization

Safety Enhancement Implementation Group

Third Meeting (SEIG/3)
(Virtual Meeting- 23 November 2021)

Agenda Item 3: **Regional Performance Framework for Safety**

SMIT HANDBOOK

SUMMARY

This paper presents the Draft Safety Management Implementation Team (SMIT) Handbook including the MID Region Safety Management assessment tool.

Action by the meeting is at paragraph 3.

REFERENCES

- Annex 19
- ICAO Doc 9859 - Safety Management Manual
- ICAO Doc 10004 - 2020–2022 Global Aviation Safety Plan
- RSC/7
- RASG-MID/8
- MID-RASP 2020-2022 Edition

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1.   INTRODUCTION

1.1   The Enhancement of the global civil aviation safety is one of the five strategic objectives of ICAO. Annex 19, *Safety Management,* requires States to implement a SSP and SMS by the services providers in order to manage safety effectively.

2.   DISCUSSION

2.1   The GASP 2020-2022 Edition Goal 3 calls for the implementation of effective SSPs. The goal addresses organizational challenges faced by States when implementing an SSP and includes the implementation of SMS by service providers within individual States, in accordance with Annex 19. Two targets are linked to this goal and they represent a phased approach to SSP implementation, as follows:

- Target 3.1 calls for all States to implement the foundation of an SSP by 2022.

- Target 3.2 calls for all States to implement an effective SSP, as appropriate to their aviation system complexity by 2025. An "effective SSP" refers to an SSP that actually achieves the objectives that it is intended to achieve.

2.2 The RSC/7 meeting supported and endorsed the Regional Roadmap for Safety Management Implementation at **Appendix A** through RSC CONCLUSION 7/10. The meeting also agreed to the establishment of Safety Management Implementation Team (SMIT) and the development of a SMIT handbook through RSC CONCLUSION 7/11.

2.3 The RASG-MID/8 held virtually from 15 to 22 February 202, endorsed the MID Regional Aviation Safety Plan (MID-RASP) 2020-2022 Edition in particular, the Safety Enhancement Initiatives (SEIs) and their respective actions through the **RASG-MID CONCLUSION 8/3**. Goal 5 is related the Implementation of Effective SSPs and SMSs.

2.4 The SMIT Handbook including the MID Region Safety Management assessment tool at **Appendix B**, would be mainly focusing in the conduct of a systematic and objective assessment of the State's SSP using MID Region SSP assessment tool to determine the State SSP main achievements and identify opportunities for enhancement and consequently, supporting MID Region States to implement their SSP.

3.   **ACTION BY THE MEETING**

3.1 The meeting is invited to review and update as deemed necessary, the Draft SMIT Handbook including the MID Region Safety Management assessment tool at **Appendix B** and agreed to be presented to RASG-MID/9 meeting for endorsement.

APPENDIX A

MID REGION SAFETY MANAGEMENT IMPLEMENTATION ROADMAP 2020-2025

1.   Introduction

1.1   An SSP comprises a range of processes and activities that together provide a State with the means to manage safety and to deliver well-directed safety oversight. An effective SSP assists States to proactively identify hazards and mitigate safety risks at the national level. It is the foundation on which a State builds a proactive approach to national aviation safety.

1.2   Effective SSP implementation is a gradual process. The State plans, organizes, develops, implements, maintains, controls and continuously improves the SSP in a manner that meets its safety objectives. The complexity of the air transportation system and the maturity of the State's safety oversight capabilities determine the time required to achieve a fully mature SSP. The level of effective implementation of an SSP in the State affects its relationship with the national aviation safety plan.

2.   Objective

2.1   Assist MID States to comply with the requirement for the implementation of the State Safety Programmes (SSPs) by States and the SMS by service providers as established in the Annex 19, Safety Management, Global Aviation Safety Plan (GASP) and MID Region Safety Strategy. The Roadmap is to be linked to the MID NCLB Strategy in order to support the States in a prioritized manner and will be implemented within the RASG-MID framework.

GASP 2020-2022

2.2   Goal 3 of 2020-2022 edition of the GASP calls for the implementation of effective SSPs. The goal addresses organizational challenges faced by States when implementing an SSP and includes the implementation of SMS by service providers within individual States, in accordance with Annex 19. Two targets are linked to this goal and they represent a phased approach to SSP implementation, as follows:

-      Target 3.1 calls for all States to implement the foundation of an SSP by 2022.

-      Target 3.2 calls for all States to implement an effective SSP, as appropriate to their aviation system complexity by 2025. An "effective SSP" refers to an SSP that actually achieves the objectives that it is intended to achieve.

MID Region Safety Strategy

2.3   The Strategy was developed in line with the GASP taking into consideration specific needs identified within the framework of the Regional Aviation Safety Group-Middle East (RASG-MID). Goal 5 is related to the Implementation of Effective SSPs and SMSs with the following targets:

-      13 States that have completed the SSP Gap Analysis on iSTARS by 2020
-      13 States that have developed an SSP implementation plan by 2020
-      Regional Average SSP Foundation of 70% by 2022
-      10 States that have fully implemented the SSP Foundation by 2022
-      10 States that have established an ALoSP by 2025
-      7 States that have implemented an effective SSP by 2025

SSP Gap Analysis

2.4   A State moving into SSP implementation should conduct an SSP gap analysis to ensure it is ready to begin SSP implementation. It should use the ICAO iSTARS SSP Gap Analysis application to complete this process. If a State already has an effective SSP, it can use the established safety risk management process to identify hazards.

SSP foundation PQs

2.5   The term "foundation of an SSP" refers to a subset of the USOAP PQs that have been identified as fundamentals and are considered as prerequisites for sustainable implementation of the full SSP. These are referred to as "SSP foundational PQs". SSP foundational PQs are grouped in nineteen subject areas derived from Annex 19 and Doc 9859. States can prioritize and address these PQs when conducting the SSP gap analysis or while defining the SSP implementation/action plan. The concept of "foundation of an SSP" is intended to replace the 60 per cent EI score previously used in the GASP as a threshold to progress into implementation of the SSP. The intent is that these PQs be included in the SSP implementation planning to ensure sustainability.

National Aviation Safety Plan

2.6   Assembly Resolution A39-12 on ICAO resolves that States should develop and implement national aviation safety plans, in line with the goals of the GASP. Each State should produce a national aviation safety plan. If the State has implemented an SSP, the plan should be linked to this Programme. If the State has other national plans, the national aviation safety plan should be linked to these, as appropriate. The national aviation safety plan presents the strategic direction for the management of aviation safety at the national level, for a set time period (e.g. over the next five years). It outlines to all stakeholders where the CAA and other entities involved in the management of aviation safety should target resources over the coming years.

SSP Implementation Assessment (SSPIA)

2.7   The SSPIA Programme has been rolled out beginning 2018, however the perquisite for scheduling an SSPIA as follows:

- Evidence of a robust and sustainable safety oversight system and aircraft accident/serious incident investigation system (including implementation aspects);
- Evidence of effective mandatory safety reporting system, aircraft accident and incident database and safety analyses; and
- Effective completion and updates of PQ self-assessment by the State (for both "legacy" PQs and SSP-related PQs.
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2.8   The SSPIA broken down into 8 areas: GEN (SSP general aspects), SDA (safety data analysis), PEL, OPS, AIR (AMO aspects only), ANS (ATS aspects only), AGA, and AIG.

3.   Scope

3.1   Based on the data analysis at **Appendix A**, the followings are grouping schemes of States for the   SSP implementation proposed:

a. Tier 1: States that currently have a validated SSP Foundation Index above 85%, agree with the ICAO MID Office for an initial assessment mission to be followed by the development of a SSP Implementation Plan (in coordination with the State), in order to receive necessary technical assistance.

b. Tier 2: States that have a validated SSP Foundation Index between 75% and 85%, agree with the ICAO MID Office for an initial assessment mission to be followed by the development of a SSP Implementation Plan (in coordination with the State), in order to receive necessary technical assistance.

c. Tier 3: States that have a validated SSP Foundation Index below 75%, agree with the ICAO MID Office for an initial assessment mission to be followed by the development of a SSP Implementation Plan (in coordination with the State), in order to receive necessary technical assistance.

4.   Implementation of the Roadmap

4.1   In order to achieve the objectives and goals of the Roadmap, a Safety Management Implementation Team (SMIT) will be established, with the objective to conduct assistance missions to States, provide workshops and training under the leadership of ICAO in line with the MID Region NCLB Strategy. The main functions and responsibilities of the SMIT are:

a. Assist and support MID States to develop and implement SSP and SMS for Service Providers
b. Assist and support States to complete the SSP Gap Analysis and Implementation Plans
c. Provide SSP workshops and trainings including risk management, safety assurance, safety culture, as required

4.2   The Team will be composed of SMEs from the MID Office, States and other Stakeholders, as needed.

4.3   States are encouraged to provide support for the implementation of the Roadmap.

4.4   The ICAO MID Office will coordinate and monitor the Roadmap's implementation in coordination with the Safety Enhancement Implementation Group (SEIG), and provide technical assistance on this matter.

5.   Activities

5.1   The activities comprise direct actions to assist MID States to complete the implementation of every element required for the SSP implementation, including,

a) meet with State high level decision makers to establish and empower the SSP implementation team;
b) conduct an initial assistance mission to determine the State main achievements and identify opportunities for enhancement which will be culminated with the development of an SSP implementation action plan in coordination with the State;
c) assist and support States to complete the SSP Gap Analysis and Implementation Plans;
d) monitor and assess the maturity of the State SSP Implementation;

e) provide SSP workshops and trainings including risk management, safety assurance, safety culture, as required;
f) assist and support State in the development of the SSP documentation including processes/procedures, etc.;
g) prepare States for the USOAP –SSP Implementation Assessment (SSPIA); and
h) follow-up implementation missions, as required.

6. Monitoring the progress of the SSP implementation

6.1   ICAO MID Office will monitor the progress of the MID Region SSP implementation Roadmap 2020-2025 in line with the GASP and MID Region Safety Strategy.

7. Benefits

7.1   The main benefits are to:

a) improve the level of implementation of SSP for States and SMS for Service Providers; and
b) achieve the objectives and targets of the GASP and MID Region Safety Strategy.

8. Beneficiaries

8.1   The main beneficiaries are MID States and their associated civil aviation systems including service providers.

Appendix A: MID Regional Status

    a.   The implementation of SSP requires certain maturity level of implementation of Critical Elements (CEs) and areas to support an effective safety oversight system that integrates the prescriptive and the performance base concept.

    b.   ICAO also developed the SSP Foundation PQ tool, which is available on SPACE/iSTARS 3.0. This application displays a sub-set of 299 PQs out of the 1,047 PQs used to calculate the USOAP EI level. This sub-set of PQs is considered as the foundation for an effective SSP implementation. The SSP Foundation Indicator is calculated, as the percentage of PQs which are either validated by USOAP or submitted as completed through the Corrective Action Plans (CAP) on the USOAP CMA Online Framework (OLF). This sub-set of PQs aims to assist the States to build a solid safety oversight foundation for the implementation of SSP and identify the real gap.

    c.   The analysis of the SSP implementation in this report is based solely on States' responses (self-assessment) using the ICAO Integrated Safety Trend Analysis and Reporting System (iSTARS) portal.

MID Region States overall SSP foundation status

The Graph 1 shows that the overall SSP Foundation Protocol Questions (PQs) results by State as follows:
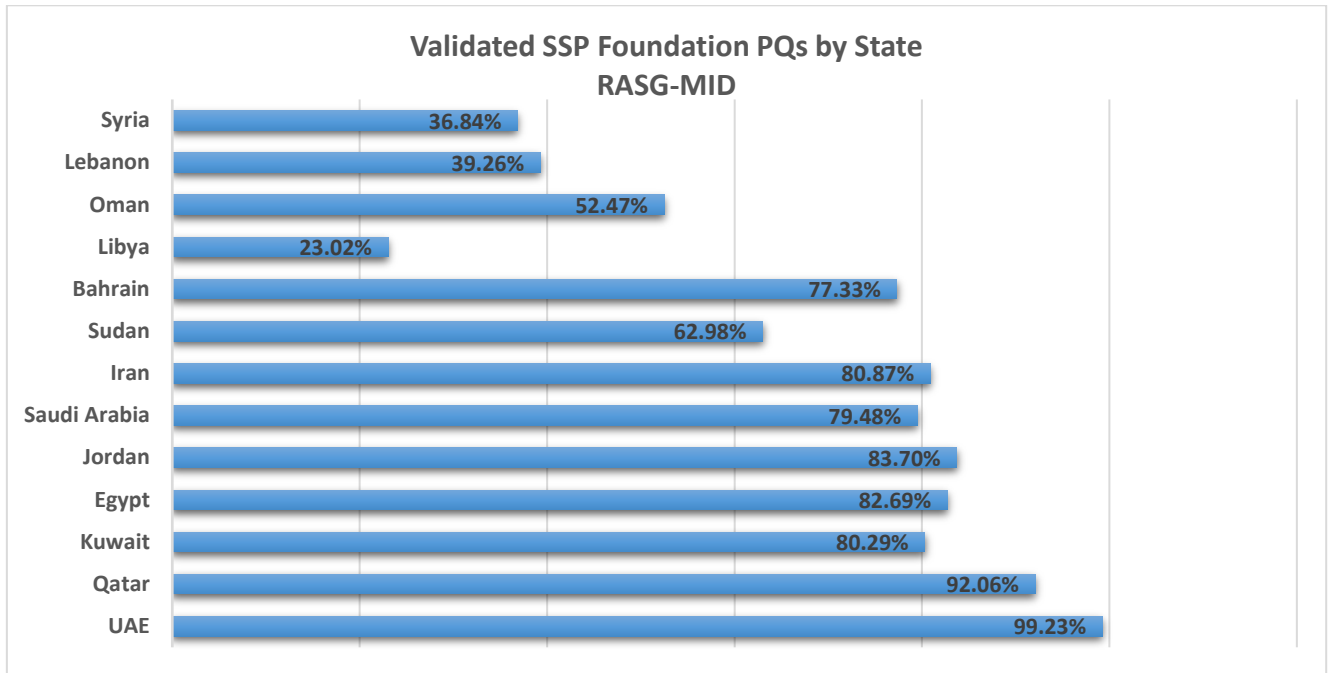
    a.   Above 95% (1 States): United Arab Emirates
    b.   Between 80-91 (6 States): Qatar, Kuwait, Saudi Arabia, Jordan, Egypt, Iran;
    c.   Between 74-80% (3 States): Bahrain, Sudan, Libya; and
    d.   Below 74% (3 States): Syria, Lebanon, Oman.
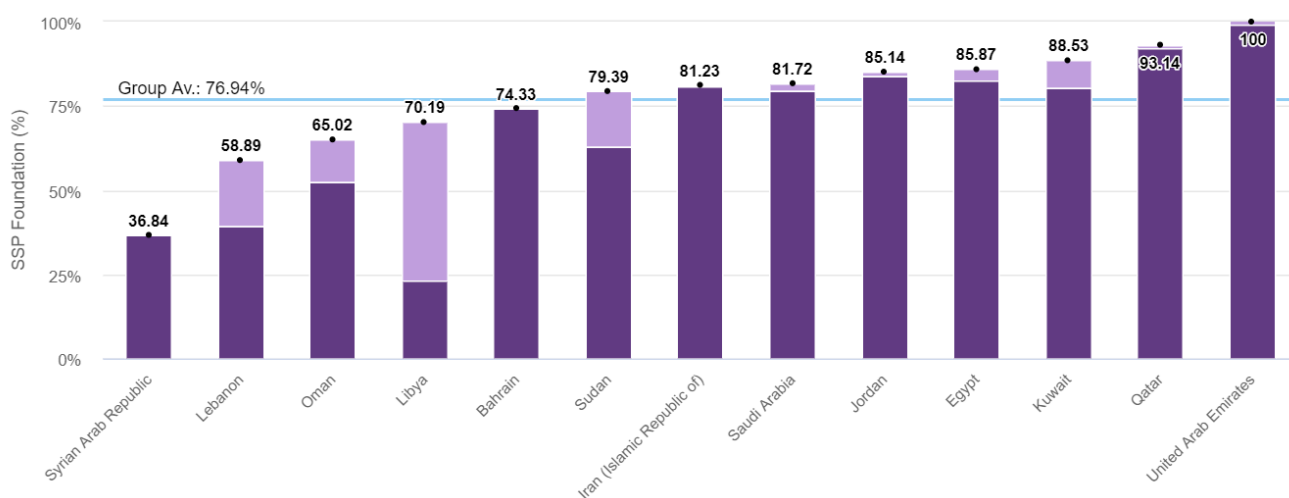
*Graph 1: Over all SSP Foundation (RAG-MID) Source: iSATRS on 28 Nov 2019*

The Graph 2 shows that the validated SSP Foundation Protocol Questions (PQs) results by State:

   a. Above 85% (2 States): United Arab Emirates and Qatar
   b. Between 75%-=85% (6 States): Kuwait, Saudi Arabia, Jordan, Bahrain, Egypt, Iran; and
   c. Below 75% (3 States): Sudan, Libya, Syria, Lebanon, Oman.

**Validated SSP Foundation PQs by State
RASG-MID**

State	Percentage
Syria	36.84%
Lebanon	39.26%
Oman	52.47%
Libya	23.02%
Bahrain	77.33%
Sudan	62.98%
Iran	80.87%
Saudi Arabia	79.48%
Jordan	83.70%
Egypt	82.69%
Kuwait	80.29%
Qatar	92.06%
UAE	99.23%

Graph 2: Validated SSP Foundation by State- (RASG-MID) Source: iSATRS on 28 Nov 2019

The Graph 3 includes the sub-set of PQs are grouped by 17 subjects based on the Annex 19 amendment 1 and the 4th edition of the Safety Management Manual (forthcoming). States with EI above 60% may still have PQs to address which are fundamental for their SSP. These PQs can be prioritized and addressed when conducting the SSP Gap Analysis or while defining the SSP implementation/action plan Hazard identification and risk assessment is the lowest one with 51%, followed by qualified technical personnel with 55%, resources with 57%, and management of safety risks with 59%.
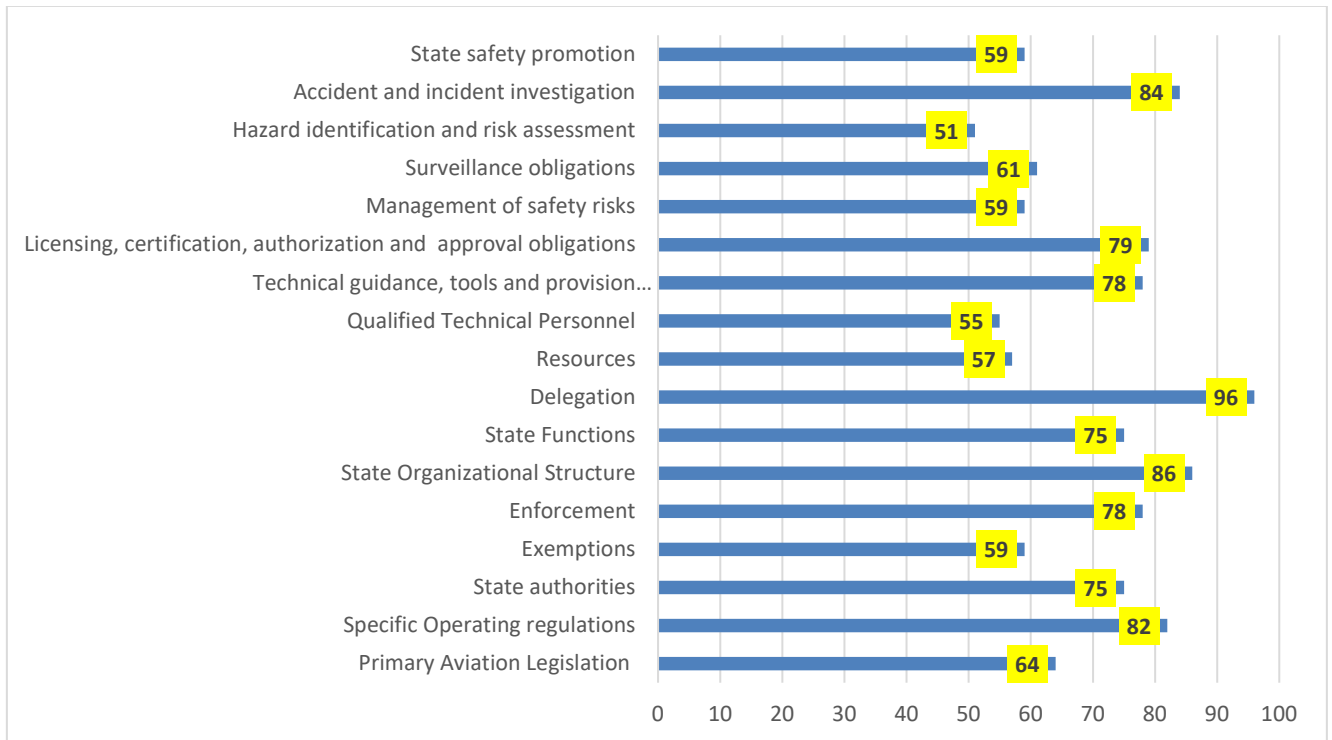
Graph 3: Average EI by Safety Management subjects for States in MID Region (Source: iSTARS as of 30 Oct 2019)

MID Region States SSP implementation progress (Gap Analysis)

The SSP statistics shown in the graph 4 are high-level information about each Gap analysis project performed by States themselves (Self-reported by the State and not validated by ICAO). SSP implementation progress has been measured for each State using simple milestones as per the entered data.

The estimated SSP maturity/implementation levels are shown in the graph 2. It shows that the majority of MID Region Member States have still not closed all actions and fully implemented their SSP.
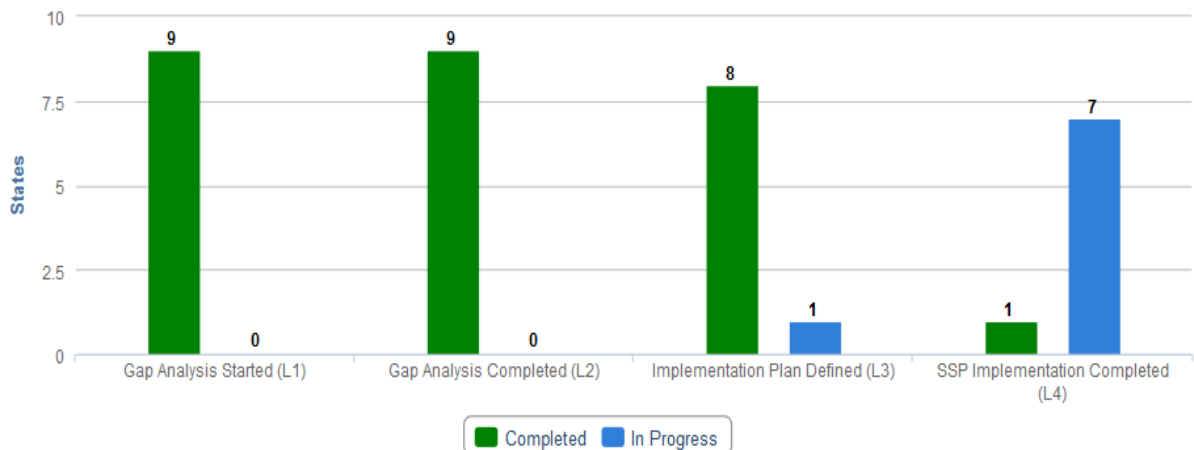
Graph 4: Source: iSATRS on 28 Nov 2019

Code	State Name	Progress	Level (Up %)	
BHR	Bahrain	SSP Implementation Completed	L4 / 100% L4	●●●●
EGY	Egypt	Implementation Plan Defined	L3 / 33.3% L4	●●●○
IRN	Iran (Islamic Republic of)	Gap Analysis Completed	L2 / 33.3% L3	●●○○
JOR	Jordan	-		○○○○
KWT	Kuwait	Implementation Plan Defined	L3 / 16.7% L4	●●●○
OMN	Oman	Implementation Plan Defined	L3 / 35.7% L4	●●●○
QAT	Qatar	Implementation Plan Defined	L3 / 88.1% L4	●●●●
SAU	Saudi Arabia	Implementation Plan Defined	L3 / 97.6% L4	●●●●
SDN	Sudan	Implementation Plan Defined	L3 / 92.9% L4	●●●●
ARE	United Arab Emirates	Implementation Plan Defined	L3 / 76.2% L4	●●●●

| ICAO MID

SAFETY

SMIT

Safety Management Implementation Team
(Handbook)

TABLE OF CONTENTS

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Amendments

Amendment Number	Affected pages	Description	Date

1.   Definitions

Acceptable level of safety performance (ALoSP). The level of safety performance agreed by State authorities to be achieved for the civil aviation system in a State, as defined in its State safety programme, expressed in terms of safety performance targets and safety performance indicators.

Accountable executive. A single, identifiable person having responsibility for the effective and efficient performance of the service provider's SMS.

Change management. A formal process to manage changes within an organization in a systematic manner, so that changes which may impact identified hazards and risk mitigation strategies are accounted for, before the implementation of such changes.

Defences. Specific mitigating actions, preventive controls or recovery measures put in place to prevent the realization of a hazard or its escalation into an undesirable consequence.

Errors. An action or inaction by an operational person that leads to deviations from organizational, or the operational person's, intentions or expectations.

***Hazard.** A condition or an object with the potential to cause or contribute to an aircraft incident or accident.

Risk mitigation. The process of incorporating defences, preventive controls or recovery measures to lower the severity and/or likelihood of a hazard's projected consequence.

Safety. The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.

Safety data. A defined set of facts or set of safety values collected from various aviation-related sources, which is used to maintain or improve safety.

Note: Such safety data is collected from proactive or reactive safety-related activities, including but not

limited to:

   a.   accident or incident investigations;
   b.   safety reporting;
   c.   continuing airworthiness reporting;
   d.   operational performance monitoring;
   e.   inspections, audits, surveys; or
   f.   safety studies and reviews.

Safety information. Safety data processed, organized or analyzed in a given context so as to make it useful for safety management purposes.

Safety management system (SMS). A systematic approach to managing safety, including the necessary organizational structures, accountability, responsibilities, policies and procedures.

Safety objective. A brief, high-level statement of safety achievement or desired outcome to be accomplished by the State safety programme or service provider's safety management system.

Note: Safety objectives are developed from the organization's top safety risks and should be taken into

consideration during subsequent development of safety performance indicators and targets.

***Safety oversight.** A function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.

***Safety performance**. A State's or service provider´s safety achievement as defined by its safety performance targets and safety performance indicators.

***Safety performance indicator**. A data-based parameter used for monitoring and assessing safety performance.

***Safety performance target**. The State or service provider's planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives.

***Safety risk**. The predicted probability and severity of the consequences or outcomes of a hazard.

***State safety programme (SSP)**. An integrated set of regulations and activities aimed at improving safety.

*****Surveillance.** The State activities through which the State proactively verifies through inspections and audits that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State.

System. An organized, purposeful structure that consists of interrelated and interdependent elements and components, and related policies, procedures and practices created to carry out a specific activity or solve a problem.

Trigger. An established level or criteria value for a particular safety performance indicator that serves to initiate an action required, (e.g., an evaluation, adjustment or remedial action).

2.   Introduction

2.1   *Background*

Safety management seeks to proactively mitigate safety risks before they result in aviation accidents and incidents. Through the implementation of safety management, States can manage their safety activities in a more disciplined, integrative and focused manner. Possessing a clear understanding of its role and contribution to safe operations enable a State, and its aviation industry, to prioritize actions to address safety risks and more effectively manage its resources for the optimal benefit of aviation safety.

The effectiveness of a State's safety management activities is strengthened when implemented in a formal and institutionalized way through a State safety Programme (SSP) and through safety management systems (SMSs) for its service providers. A State's safety Programme, combined with the SMSs of its service providers, systematically addresses safety risks, improves the safety performance of each service provider, and collectively, improves the State's safety performance.

In connection with this, MID Region Safety Management Implementation Roadmap has been developed and endorsed by the RSC/7 meeting on February 2020. The same meeting also established the Safety Management Implementation Team (SMIT) as the main Regional Framework for the provision of assistance to States through Safety Management Assistance Missions; and the ICAO MID Office develops a SMIT handbook.

2.2   Purpose of the Handbook

This Handbook is designed to:

- a. describe the components of an effective SMIT;
- b. serve as a single reference for SMIT activities;
- c. define the SSP assessment process; and
- d. support States with an effective SSP implementation.

2.3   Scope of the Handbook

A successful SMIT requires all key stakeholders to cooperate in a collaborative manner. This document, therefore, is intended to serve as a reference and guidance for SMIT team and the MID Region civil aviation authority interested in implementing the SSP.

2.4   How to use the Handbook

Chapters 3, 4 and 5 provides a general understanding of the processes involved in managing the SMIT Team and conducting an effective SSP assessment.

Appendix B includes a MID Region SSP assessment tool including comprehensive guidance for its use.

3.   Safety Management Implementation Team (SMIT)

3.1   Goals and General Description of the SMIT

The primary role of SMIT Team is to assist and support the MID Region States to develop SSP and effective guidance material to SMS for Service Providers.

The SMIT should conduct an assistance mission to the interested State to determine State SSP main achievements and identify opportunities for enhancement which would be culminated with the development of an SSP implementation plan by the State or to be revised.

Although not considered as a regulatory authority, the SMIT is aimed to support States to develop SSP and effective guidance material to SMS for Service Providers by assisting and supporting States to determine State SSP main achievements and identify opportunities for enhancement.

The SMIT could support States in different subject related to implementation of SSP and SMS, as indicated below:

- - Conduct SSP assessment;
- - Support States to develop or revise the SSP implementation plan;
- - Provide SSP workshops including risk management methodologies, safety performance indicators, SDCPS, safety culture, SMS Assessment;
- - Support States in the development of NASPs; and
- - Assist and support State in the development of the SSP documentations including processes/procedures development.

3.2   *Terms* of Reference (TORs)

The SMIT is established to assist and support the MID Region states to develop and implement State Safety Programme (SSP) and Safety Management System (SMS) for Service Providers and provide assistance to the MENA RSOO's operations, as needed. The SMIT TORs is at **Appendix A.**

4.   SMIT Organizational Structure

The assessment should normally be carried out by a SMIT Team that includes a Chairperson with an appropriate level of competence in SSP and technical specialists (Team Members) to support the assessment.

In any case, the initiator for SSP assessment would normally be the State (Regulator authority). This chapter provides basic about the SMIT composition, training and competency, roles and responsibilities.

4.1   SMIT Composition:

The SMIT team performing the SSP assessment should be diverse and represent all required oversight activities in a State.

The assessment should normally be carried out by a SMIT Team that includes a Chairperson with an appropriate level of competence in SSP and technical specialists to support the assessment. It is important to structure the assessment in a way that allows interaction with a number of personnel at different levels of the State/organization to determine how effective aspects of the SSP are throughout the organization. SMIT consists of a Chairperson and a number of Team Members (TMs), as required, covering the scope of the SSP assessment activity to be conducted. TMs can be SMEs from ICAO MID Office, States and organizations.

The ICAO MID Office identifies and maintains a list of qualified SMIT SMEs. The members of each SSP assessment activity team are selected from this list, based on their availability, up-to-date and training status to conduct the SSP assessment activities. Assignment of qualified TMs to a SSP assessment activity is made in coordination with their respective organizations and authorities.

4.2   SMIT Competency Considerations

It is important that staff are trained and competent to carry out the SSP Assessment and to apply the assessment in a consistent manner. This is likely to involve additional training as the Assessment involves inspectors making judgements that may be subjective.

SMIT team should be trained and competent prior to use of the tool as indicated below:

- SSP (based on the ICAO State Safety Management and SSO);
- National Aviation Safety Plan (NASP);
- Differentiating between the NASP and the SSP;
- Interview techniques;
- Understanding of compliance and auditing;
- Understanding of risk management;
- Understanding how safety performance framework and indicators are developed and used in a management system

- Appreciation of the difference between compliance and performance for SSP effectiveness;
- Report writing techniques to allow narrative to be used to summarize the assessment; and
- Ability to support the move from traditional, compliance-based oversight to risk based/performance-based oversight that focuses on how the SSP is performing based on Safety Performance Indicators (SPIs).

4.3   Roles and Responsibilities

The SMIT Chairperson

The Chairperson serves as the coordinator and spokesperson for the team. The roles and responsibilities of the Chairperson may also include a variety of administrative and/or organizational aspects, such as:

   i.   Coordination with State;
   ii. Prepare the scope and duration of the State SSP assessment;
   iii. The availability and release of the SMIT TMs;
   iv. Conduct face to face meetings/virtual meetings with SMIT team during the preparation phase, during the on-site mission, and after the assistance mission; and
   v.   Submit the final summary report to ICAO MID office.

SMIT Team Members

For the SSP assessment mission to achieve its maximum effectiveness, it is important to share safety information between Chairperson and SMIT TMs in assessing State SSP activities by supporting the SMIT Chairperson on all SSP assessment activities.

State SSP Focal Point

In order to support SSP assessment and facilitate related activities, each State is responsible for designating/nominating one qualified SSP Focal Point (SSP FP) to act as primary point of contact for all SSP assessment processes and activities.

The SSP FP is responsible for submitting, maintaining and/or updating the information to be provided by the State to the SMIT Team on an ongoing basis, including but not limited to:

   i.   SSP initial self-assessment;
   ii. Information and documentation; and
   iii. other relevant safety information, as requested by SMIT team.

5.   SSP Assessment Process

The SSP assessment process is divided into the following four phases:

   a.   the preparation phase;
   b.   the on-site conduct phase;
   c.   the summary report production phase; and
   d.   The development and follow up on the SSP implementation action plan.

a) *The Preparation Phase:*

During this phase, SMIT Team prepares for the activity by:

     i. confirming the scope and duration of the State SSP assessment;
     ii. confirming the assignments of the Chairperson and all TMs;
     iii. requesting the availability and release of all TMs;
     iv. advising State of the SMIT team's composition before the start of the planned activity;
     v. the Chairperson to forward the State Self-assessment and all available and relevant material and documents to the TMs prior to the meeting and on-site activity in order to provide them with sufficient time for review and preparation;
     vi. reviewing the State initial self-assessment and documents submitted by the State, including to provide their comments/inputs to the SMIT Chairperson;
     vii. holding a face to face meeting/virtual meeting to conduct the final review of the consolidated State initial self-assessment;
     viii. making travel arrangements; and
     ix. managing various administrative issues.

The State should prepare for the activity by:

     i. conducting and completing an initial SSP self-assessment using the MID region Assessment tool at **Appendix B**; however, this should be preceded by a gap analysis of the SSP;
     ii. Submitting the initial self- assessment once completed to the Chairperson including the supporting documentation at three weeks before the on-site activity;
     iii. preparing, updating and organizing evidence and documentation to be submitted to the activity team, including legislation, operating regulations, manuals and/or procedures, records;
     iv. communicating with the Chairperson in a timely manner and providing him/her with all required information and documentation;
     v. identifying and providing the air operator/service provider to be visited during the on-site mission; and
     vi. supporting the Chairperson with travel, transportation and administrative issues and information, as required

b) *The On-site Conduct Phase:*

During this phase: SMIT team needs to

     i. conduct opening briefing by the Chairperson;
     ii. conduct a systematic and objective assessment of the State's SSP using MID Region SSP assessment tool at **Appendix B;**
     iii. visit the State's air operator/Service Providers;
     iv. determine State SSP main achievements and identify opportunities for enhancements/improvements.;
     v. collect and documents evidence submitted by the State that support the implementation of SSP; and
     vi. inform the State of the outcome of the SSP Assessment during a closing meeting or briefing between the SMIT team and State authorities.

In this phase, the State:

     i.   ensures that State representatives, counterparts and staff members implicated in the conduct of the activity are available for interviews and discussions with the activity team;

    ii.   makes the evidence, information and documentation requested by the SMIT team readily available and submits them to the team in a timely manner;

    iii.   facilitates and arranges visits to industry and/or service providers;

    iv.   provides a suitable working environment for the activity team; and

    v.   arranges daily transportation and administrative issues, as required.

c) *The Summary Report Production Phase:*

During this phase, the summary report **at Appendix C** needs to determine the State SSP main achievements and identify opportunities for enhancement covering areas of State Safety Programme; State Safety Policy, Objectives and Resources; State Safety Risk management; State Safety Assurance; State Safety Promotion; and safety data and safety information collection, analysis, protection, sharing and exchange.

    i.   the TMs submit to the Chairperson their inputs/contribution on the area(s) covered during the onsite assessment maximum 3 days after the onsite mission;

    ii.   the Chairperson compiles and performs the technical review of the draft report of the SSP assessment activity and share it with SMIT team for final review before submission;

    iii.   the Chairperson produces the final draft report and may pass it to State for review and comment for a sufficient period in advance;

    iv.   the Chairperson, upon receiving State's comments, reviews them in coordination with SMIT for incorporation in the final report; sends the final summary report to ICAO MID office; and

    v.   ICAO MID Office submits to the State the final summary report at the end of this phase.

d) *The Development and Follow up on the SSP Implementation Plan*

During this phase States needs to:

    i.   develop the SSP implementation plan that includes milestones and timeframes if not yet done within maximum three weeks or revise the current SSP implementation plan if it is in place;

    ii.   submit to ICAO MID office the final SSP implementation plan; and

    iii.   initiate coordination meetings with ICAO MID office to support in the implementation of the plan, if needed.

ICAO MID office needs to:

    i.   conduct technical assistance missions using the MID office expertise/resources;

    ii.   request in-kind assistance/support from States and organizations/Resource Mobilization;

    iii.   provide guidance on TCB projects and capacity building activities; and

    iv.   request assistance from SMIT and Safety Enhancement Implementation Group (SEIG).

For continuous improvement, the State may request the SMIT to conduct a follow up SSP assessment mission to ensure the SSP implementation maturity.

SaFETY MANAGEMENT IMPLEMENTATION TEAm (SMIT)

TERMS OF REFERENCE

A) Purpose of the SMIT:

The SMIT is established to:

1. Assist and support the MID Region states to develop and implement State Safety Programme (SSP) and Safety Management System (SMS) for Service Providers.
2. Will provide assistance to the MENA RSOO's operations, as needed.

In order to meet its Terms of Reference, the SMIT shall:

1. conduct initial assistance missions to the States to determine States main achievements and identify opportunities for enhancement which will be culminated with the development of an SSP implementation action plan in coordination with the State;
2. assist and support States to complete the SSP gap analysis and SSP implementation plan;
3. provide SSP and SMS workshops for State personnel including risk management, safety assurance, safety culture;
4. assist and support States in the development of the SSP documentations including processes/procedures development, NASPs, etc;
5. meet with States high level decision makers to establish and empower the SSP implementation team;
6. periodic follow-up implementation missions; and
7. share the outcome of its missions with the concerned MID-RASG & MIDANPIRG; as appropriate.

B) Composition:

The SMIT is composed of ICAO Officers, MID Region Champion States and stakeholders

C) Roles and Responsibilities:

- MID-RASG Chairperson – Coordinate SMIT activities and provide overall guidance and leadership;

- ICAO – Support; and

- MID Region Champion States – Provide Subject Matter Experts (SMEs) as in-kind contribution by Champion States and assist in the SSP implementation.

MID REGION
State Safety Program (SSP)
Assessment Tool

November 2021

1. Introduction

The International Civil Aviation Organization (ICAO) Annex 19 promotes a common approach to Safety Management across aviation sectors and domains; both for States and for organizations.
An SSP comprises a range of processes and activities that together provide a State with the means to manage safety and to deliver well-directed safety oversight. An effective SSP assists States to proactively identify hazards and mitigate safety risks at the national level. It is the foundation on which a State builds a proactive approach to national aviation safety.

Effective SSP implementation is a gradual process. The State plans, organizes, develops, implements, maintains, controls and continuously improves the SSP in a manner that meets its safety objectives. The complexity of the air transportation system and the maturity of the State's safety oversight capabilities determine the time required to achieve a fully mature SSP. The level of effective implementation of an SSP in the State affects its relationship with the national aviation safety plan

The MID Region SSP assessment tool is customized from the Safety Management International Collaboration Group (SM ICG) SSP assessment tool. The MID Region State Safety Program (SSP) Assessment Tool in direct support of this common approach. The following guidance explains the background and methodology relevant to the use of the MID Region SSP Assessment Tool.

2. Background and Purpose

The MID Region SSP assessment tool has been designed to be used for assessing State Safety Management responsibilities and an SSP. It can be used for initial self-assessment or continuous improvement of an SSP. The tool is based on a series of questions or expectations that can be used by a State and SMIT to assess the progress achieved by the State on the implementation of SSP. It requires an interaction with all SSP stakeholders, face-to-face discussions and interviews with a cross-section of State personnel as part of the assessment. It has been designed to indicate the State's level of compliance with the ICAO Eight Critical Elements (CE) of a State Safety Oversight (SSO) system, integrate the SSP approach and the CEs of a SSO system where applicable. The goal is to thereby establish a common standard for evaluating compliance and progress achieved by the State on the implementation of the SSP. The tool has been designed to evaluate the maturity of the SSP in a standardized manner in order to give the State an overall picture of its SSP performance.

3. SSP Assessment Process

The SSP assessment process is described in the SMIT Handbook and the process is divided into the following four phases:

a.   the preparation phase;
b.   the on-site conduct phase;

c.   the summary report production phase; and

d.   The development and follow up on the SSP implementation action plan.

4. How to Use the Tool

Effective SSP implementation is a gradual process that requires time and resources to fully mature. Therefore, the size and complexity of the air transportation system, as well as the maturity of the State's aviation safety oversight capabilities are factors to be considered during an SSP assessment. It is also to be noted that the SMIT team will use the maturity levels **"Not Present and Not Planned (NP)"; "Not Present but Being Worked On (WO)"; "Present"; "Effective"** during the assessment.

This assessment tool follows the Eight CEs of an SSO system as laid out in in Annex 19. Guidance to support the determination of maturity levels for each SSP-related PQ

1. **Not Present and Not Planned (NP)**: Based on current situation in State
2. **Not Present but Being Worked On (WO)**: Based on State's work in progress
3. **Present:** There is evidence that the relevant indicator is documented within the organization's SSP documentation; suitable based on the size, nature, and complexity of the organization, and the inherent risk in its activity; and is in use and an output is being produced
4. **Effective:** there is evidence that the relevant indicator is achieving the desired outcome and has a positive safety impact.

What to look for: This section guides the evaluator when looking at each individual feature and is not meant to be a checklist. The items listed are not specific to an individual Not Present and Not Planned (NP), Not Present but Being Worked On, Present or Effective level but remind the evaluator of areas they may want to consider. Some items in this column may not be relevant depending on the size, type, or nature of the organization.

Objective of the SSP Assessment: The main objective of the MID Region SSP Assessment Tool is to assess the SSP in terms of compliance and effectiveness in a consistent way so that to support and guide States to implement an effective SSP.

MID Region SSP Assessment Tool

State:	Approval/Certificate Reference(s):
Scope of the Assessment:	SMIT Team (Name and Department):
Date of Assessment:	

1.1 STATE SAFETY PROGRAMME

	Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	1.1.1 The State has established an SSP that is commensurate with the size and complexity of the State's civil aviation system.					

	What to look for

Guidance	• Check there is a published high-level national strategic document (e.g. SSP main document) that lays out the State's methodology, practices and activities to support the implementation of its SSP, including all SSP components.
	• **Check the SSP document to ensure it**:
	  o Describes all the elements of the SSP (in accordance with Annex 19).
	  o Is signed by senior management from all appropriate aviation regulatory organizations.
	  o Describes roles and responsibilities of all appropriate State aviation regulatory organizations.
	  o Is reviewed periodically for content and currency and updated as appropriate.
	• **Check SSP implementation (including updates to the SSP) to ensure:**
	  o A gap analysis (based on the Standards and Recommended Practices [SARPs] in Annex 19 or annex updates) was performed and results are available.
	  o The gap analysis is reviewed periodically for content and currency.
	  o An implementation plan that includes milestones and timeframes based on the SSP gap analysis.
	  o Senior management takes action to ensure the implementation plan is accomplished.
	  o Coordination amongst all appropriate State organizations.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. The State established and documented an SSP in accordance with Annex 19. The SSP is documented and coordinated with all appropriate State aviation organizations. 2. The SSP gap analysis and implementation plan describes all the elements of the SSP in accordance with Annex 19 and is based on the size and complexity of the aviation system	1. The SSP document, gap analysis, and implementation plan are periodically reviewed for currency and content and updated as appropriate.

			3. State regulatory organizations conduct State safety management-related functions and activities as described in the SSP. When delegated, the delegating State reviews and monitors the performance of the delegated entities.	

1.2 STATE SAFETY POLICY, OBJECTIVES AND RESOURCES

1.2.1 PRIMARY AVIATION LEGISLATION (CE-1)

	Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.2.1.1 The State has promulgated a comprehensive and effective aviation law, commensurate with the size and complexity of its aviation system.					
	1.2.1.2 The aviation law enables the oversight and management of civil aviation safety.					
	1.2.1.3 The aviation law enables the enforcement of regulations through relevant authorities or agencies.					
	1.2.1.4 The aviation law provides personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel, and associated records, as applicable.					
	What to look for					
Guidance	**Check that the aviation laws address:** - State authority to regulate the aviation industry. - Verify that the accountable executive has been delegated, as a minimum: 1) authority and accountability, on behalf of the State, for the implementation and maintenance of the SSP across its aviation system, with the exception of the State's accident investigation organization; 2) authority on human resources issues related to the SSP place holder organization; 3) authority on major financial issues related to the SSP place holder organization; 4) authority on service provider certification and safety oversight by the SSP place holder organization; and 5) responsibility for the coordination of all SSP-related issues of the State. - SSP document has been completed and approved by the SSP accountable executive. - State requirements and responsibilities consistent with the Convention on International Civil Aviation (to include applicable annexes). - Oversight and management of civil aviation safety based on size and complexity. - Enforcement of regulations through the relevant authorities or agencies. - Access to aircraft, operations, facilities, personnel, and associated records, as applicable, of organizations performing an aviation activity. - Periodic review for content and currency and updates as appropriate.					

- **Check that the enforcement policies address:**
  - Conditions and measures under which the State carries out enforcement policies.
  - Conditions under which punitive action is considered (e.g., illegal activity, negligence, or willful misconduct).
  - Conditions and allowances for service providers to manage and resolve certain safety issues, within the context of an approved SMS.
  - Promotion of behaviors consistent with a positive safety culture.
  - Periodic review for content and currency and updates as appropriate.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There is documented aviation law that provides the authority to regulate the aviation industry. The laws are enforceable and allow for access to regulated entities. 2.The aviation law is consistent with the Convention on International Civil Aviation (to include applicable annexes) and details safety oversight and management of civil aviation based on size and complexity. 3.The aviation industry is regulated consistent with its laws. The enforcement of regulations is performed by relevant authorities having access to regulated entities.	1. The aviation law is comprehensive to provide oversight and management of aviation safety. The aviation law is reviewed periodically for content and currency and updated as appropriate.

1.2.2 SPECIFIC OPERATING REGULATIONS (CE-2)

	Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.2.2.1 The State has promulgated regulations to address, at a minimum, national requirements emanating from the primary aviation legislation.					
	1.2.2.2 The regulations standardize operational procedures, products, services, equipment, and infrastructures.					
	1.2.2.3 The regulations are in accordance with the Annexes to the Convention on International Civil Aviation.					
	1.2.2.4 The State periodically reviews specific operating regulations, guidance material and implementation policies to ensure they remain relevant and appropriate.					
	1.2.2.5 The State has a procedure for identifying and notifying differences to ICAO when regulations are not in accordance the Annexes.					
	What to look for					

Guidance	• Check that primary aviation legislation provides for the promulgation of specific operating regulations.
	• **Check that specific operating regulations address:**
	   o National requirements emanating from the primary aviation legislation.
	   o Standardization of operational procedures, products, services, equipment, and infrastructures.
	   o Applicable to ICAO Annexes and SARPs.
	   o Specific risks that exist in the State's civilian aviation system.
	   o Guidance material that provides additional information and interpretation of the regulations (also check guidance material for consistency with above).
	   o Check the reviewing, authorizing, and notifying of differences to ICAO, as well as the periodic review of differences that have been previously notified.					

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1.There are documented regulations to address national requirements from primary aviation legislation and procedures to notify ICAO of differences when regulations are not in accordance the ICAO Annexes. 2. Regulations are written to standardize, based on national requirements, operations, procedures, products, services, equipment, and infrastructures based on size and complexity of the aviation system. 3.There is regulatory standardization of operations, procedures, products, services, equipment, and infrastructures throughout the aviation industry. ICAO is notified of differences to ICAO Annexes.	1. Regulations are reviewed periodically for content and currency and updated as appropriate to address specific risks that exist in the State's aviation system.

1.2.3 STATE SYSTEM AND FUNCTIONS (CE-3)

<table>
<tr><td rowspan="8">Assessment</td><td colspan="2" align="center">Indicators of compliance and performance</td><td>N
P
P</td><td>W
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O</td><td>P</td><td>E</td><td align="center">Comments</td></tr>
<tr><td>1.2.3.1</td><td>The State established relevant authorities or agencies, as appropriate.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>1.2.3.2</td><td>The relevant authorities or agencies are supported by sufficient qualified personnel and are provided with adequate financial resources for the management of safety.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>1.2.3.3</td><td>The State authorities or agencies have stated safety functions and objectives to fulfil its safety management responsibilities.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>1.2.3.4</td><td>The State ensures that qualified personnel performing safety oversight functions are recruited and retained.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>1.2.3.5</td><td>The State uses a methodology to determine their staffing requirements for personnel performing safety oversight functions, taking into account the size and complexity of the aviation activities in their State.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>1.2.3.6</td><td>Personnel performing State safety oversight functions are provided with guidance that addresses ethics, personal conduct, and the avoidance of actual or perceived conflicts of interest in the performance of official duties.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="7" align="center">What to look for</td></tr>
</table>

Guidance	• **Check that relevant authorities or agencies are established (considering the importance of functional independence).**
	  o the State authority in charge of coordinating the implementation and maintenance of the SSP is formally designated by an appropriate governing body.
	  o the responsibilities, governance and documented roles of the State authority in charge of coordinating the implementation and maintenance of the SSP are clearly defined.
	  o the designated authority that is responsible for coordinating the implementation and maintenance of the SSP, including a department or person responsible for day-to-day SSP-related functions, is able to make progress in institutionalizing the SSP within the State
	  o the State identified the accountable executive for the administration and coordination of the implementation and operation of the SSP
	  o the SSP accountable executive coordinate, as appropriate, the SSP activities of the different State regulatory and administrative organizations

	o there is an established SSP coordination group at the State level, chaired by the designated authority in charge of coordinating the SSP implementation and maintenance	
	o all relevant State authorities (including, but not limited to, Civil Aviation Authority, Accident Investigation Authority and Military Aviation Authority) are represented in the coordination group.	
	o the coordination group addresses both strategic and operational aspects.	
	o all relevant State authorities actively participate in the SSP coordination group on a regular basis and in a continuous manner	
	o the coordination group meetings have defined objectives and established meetings frequency	
	o State has a periodic internal review mechanism for assurance of continuous conformance and improvement of its SSP	
	o Have a process to determine staffing requirements to ensure sufficient qualified personnel (based on size and complexity).	
	o Have a process to determine the necessary resources for the management of safety, which is approved by senior management within the State.	
	o Take the necessary measures to ensure staff recruitment and retention including the remuneration and conditions of service.	
	o Ensure senior management has the authority and responsibility for the management of safety and the control of the necessary resources.	
	o Provide guidance to address ethics, personal conduct, and the avoidance of actual or perceived conflicts of interest.	
	o Periodically review the availability of necessary resources.	

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. The State established and documented relevant authorities or agencies with stated safety functions and objectives. 2. Relevant authorities or agencies are supported by sufficient qualified personnel and the methodology to determine their staffing requirements is based on the size and complexity of the aviation system. 3. Authorities or agencies perform stated safety oversight functions, possess qualified personnel, and are provided with appropriate guidance and adequate financial resources.	1. Authorities or agencies periodically review safety oversight functions and staffing requirements for content and currency and updates them as appropriate.

		Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	1.2.3.7	The State identifies, defines, and documents the requirements, obligations, functions, and activities regarding the establishment and maintenance of the SSP.					
	1.2.3.8	The State established a safety policy and safety objectives that reflect its commitment regarding safety and facilitates the promotion of a positive safety culture with stakeholders					
	1.2.3.9	The safety policy and safety objectives are published and periodically reviewed to ensure that they remain relevant and appropriate to the State.					

	What to look for

Guidance	• Check for documentation (that identifies, defines, and documents SSP requirements, obligations, functions, and activities).
	 • Check specific activities and responsibilities related to the management of safety of each relevant State authority involved in SSP implementation are documented.
	 • Check there is a published national document (e.g. National Aviation Safety Plan) that addresses the State's specific operational safety risks (and other safety issues) and lays out the activities undertaken by each State authority to improve the overall safety performance
	 • Check that the published national document addresses the State's specific operational safety risks (and other safety issues), and each State authority is actively realizing its designated responsibilities in a manner that contributes positively to the improvement of the overall safety performance
	 • **Check that the safety policy:**
	   o Is signed by senior management and communicated throughout the State
	   o Reflects the following senior management commitment:
	   o To provide the necessary resources (for the implementation and maintenance of the SSP).
	   o To achieve the highest (possible) safety standards.
	   o To continuous improvement of the SSP.
	   o Cites and explains the State's enforcement policy
	   o Outlines actions that are not tolerable (e.g. willful misconduct, gross negligence, etc.).
	   o Is communicated both internally and externally.
	   o To the promotion of a positive safety culture periodically reviewed for content and currency and updated as appropriate.

- **Check that safety objectives take into account:**
  - A mechanism in place to ensure that all relevant stakeholders are involved in the establishment of the safety objectives
  - The safety objectives represent the State risk picture
  - There is a mix of process and outcome-oriented objectives.
  - Safety performance monitoring and measurement.
  - The promotion of a positive safety culture in the aviation community.
  - Promotion and communication of the safety objectives throughout the aviation community.
  - Periodic review for content and currency to ensure the objectives remain relevant and appropriate to the State.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. Requirements, obligations, functions, and activities regarding the establishment and maintenance of the SSP are identified, defined, and documented. Safety policy and objectives are established. 2. The established safety policy and safety objectives reflect management commitment and are based on the size and complexity of the aviation system. 3.The SSP, safety policies, and safety objectives accomplish senior management's commitment to achieving the highest possible safety standards and promote a positive safety culture with stakeholders.	1. The State's SSP, safety policies, and safety objectives are periodically reviewed for content and currency and updated as appropriate.

1.2.4 QUALIFIED TECHNICAL PERSONNEL (CE-4)

	Indicators of compliance and performance		N P	W O	P	E	Comments
Assessment	1.2.4.1	The State established minimum qualification requirements for the technical personnel performing safety-related functions.					
	1.2.4.2	The State provides for appropriate initial and recurrent training to maintain and enhance qualified technical personnel competence at the desired level.					
	1.2.4.3	The State implemented a system for the maintenance of training records for technical personnel.					
	What to look for						
Guidance	- Check for minimum qualification requirements for the technical personnel performing safety-related functions. - Check SSP-related training programme has been developed, including a training needs analysis (TNA) to determine the relevant training needs of each pertinent State authority - Where appropriate, a competency-based approach is applied to address K/S/A (knowledge/skills/attitude) requirements. - Check the SSP-related training Programme caters to the different safety management training needs of different personnel, based on their duties and responsibilities (i.e. inspectorate, data analysts, midlevel management, top management, legal department, AIA, Military, etc.). - Check that the State is able to assess competency of its technical personnel. - Check the training plan addresses both initial acceptance and continuous monitoring of service providers. - Check the training plan addresses scalability and complexity of service providers' SMS. - Check that training is available to maintain and enhance the competence of technical personnel. - Check that the training includes both initial and recurrent training. - Check to ensure a methodology exists to document, review, and maintain training records for technical personnel. - Check that training programs equip technical personnel performing safety-related functions with skills to: - Assess service providers' SMS. - Evaluate service provider safety performance. - Check the SSP training plan is formalized and implemented. - Check that the training and qualification program is periodically reviewed for content and currency and updated as appropriate.						

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. Minimum qualification requirements are established and documented, initial and recurrent training is provided, and training records are maintained for qualified technical personnel. 2. Minimum qualification requirements, initial and recurrent training, and maintenance of training records for technical personnel are based on size and complexity of the aviation system. 3. Minimum qualification requirements and initial and recurrent training are established to maintain and enhance qualified technical personnel competence. There is a functioning system to maintain training records for technical personnel.	1. The training and qualification of technical personnel is periodically reviewed for content and currency and updated as appropriate.

1.2.5 TECHNICAL GUIDANCE, TOOLS AND PROVISION OF SAFETY-CRITICAL INFORMATION (CE-5)

		Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.2.5.1	The State provides appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively.					
	1.2.5.2	States shall provide technical guidance to the aviation industry on the implementation of relevant regulations.					
Guidance		**What to look for**					

What to look for

- **Interview technical personnel to ensure that they:**
  - Are able to perform safety oversight functions in a standardized manner.
  - Are provided appropriate facilities, equipment, and transportation to conduct safety oversight functions.
  - Are provided guidance materials and procedures to conduct safety oversight functions in a timely manner.
  - Are provided safety-critical information to conduct safety oversight functions.
- **Check State established an SSP documentation and records**
  - Review the SSP document.
  - Review the SSP documentation system.
  - Verify that the documentation system ensures records keeping and the appropriate storage, archiving, protection and retrieval of all documents relating to SSP activities.
- **Check that technical guidance materials, procedures, and tools on the implementation of SMS are provided to the Service providers as applicable: (Review guidance/procedures)**
  - Ensure State developed guidance material on the implementation of SMS for its service providers as applicable
  - Ensure effective implementation of relevant regulations.
  - Are provided in a timely manner to the aviation industry.
  - Are periodically reviewed for content and currency and updated as appropriate.

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. Facilities, guidance material and procedures, safety-critical information, tools and equipment, and transportation are provided for technical personnel. Guidance material on relevant regulations is provided to the aviation industry. 2. Facilities, guidance material and procedures, safety-critical information, tools and equipment, and transportation (to include guidance on regulatory implementation to industry) are based on the size and complexity of the aviation system. 3. Technical personnel perform safety oversight functions using adequate resources provided by the State. Technical guidance is provided on regulatory implementation.	1. Facilities, guidance material and procedures, safety-critical information, tools and equipment, and transportation (to include guidance to the aviation community) is reviewed for content and currency and updated as appropriate.

1.3 STATE SAFETY RISK MANAGEMENT

1.3.1 LICENSING, CERTIFICATION, AUTHORIZATION AND APPROVAL OBLIGATIONS (CE-6)

		Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.3.1.1	The State implemented documented processes and procedures to ensure that individuals and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a license, certificate, authorization, or approval to conduct the relevant aviation activity.					

	What to look for				
Guidance	• Check that processes and procedures are documented to ensure that individuals and organizations meet established requirements. • Check that individuals and organizations meet requirements before they are allowed to exercise privileges of a license, certificate, authorization, or approval. • Check that the processes and procedures are periodically reviewed for content and currency and updated as appropriate.				

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Guidance	Based on current situation in State	Based on State's work in progress	1. There are documented processes and procedures to ensure individuals and organizations meet established requirements before they are allowed to exercise the privileges of a license, certificate, authorization, or approval. 2. The processes and procedures for licensing, certificating, authorizing, or approving aviation activities are based on the size and complexity of the aviation system. 3. Individuals and organizations performing an aviation activity are meeting established requirements before they are allowed to conduct the relevant aviation activity.	1. The State's processes and procedures for licensing, certificating, authorizing, or approving aviation activities are periodically reviewed for content and currency and updated as appropriate.

1.3.2 SAFETY MANAGEMENT SYSTEM OBLIGATIONS

	Indicators of compliance and performance		N P	W O	P	E	Comments
Assessment	1.3.2.1	The State requires service providers under their authority, as listed in Annex 19, to implement an SMS.					
	1.3.2.2	The State ensures that safety performance indicators and targets established by service providers and operators are acceptable to the State.					
	What to look for						
Guidance	**Check the State has promulgated regulatory requirements to implement SMS acceptable to the State, in accordance with ICAO provisions for the following service providers:** - Approved training organizations, in accordance with Annex 1. - Operators of airplanes or helicopters authorized to conduct international commercial air transport, in accordance with Annex 6. - Approved maintenance organizations providing services to operators of airplanes or helicopters engaged in international commercial air transport, in accordance with Annex 6. - Organizations responsible for the design or manufacture of aircraft, engines, or propellers in accordance with Annex 8. - Air traffic service (ATS) providers in accordance with Annex 11. - Operators of certified aerodromes in accordance with Annex 14, Volume I. - Check for guidance material to industry that is related to the implementation of SMS based on the SMS framework in accordance with Annex 19. - Check that SMS regulations and guidance take into consideration the service provider's size and complexity. - Check there is a mechanism in place to determine the initial and continued acceptability of Service providers' SMS. - Check the mechanism enables the implementation of Service providers' SMS in a phased-in approach. - Check there is a mechanism in place to assess the service provider's hazard log, including the data sources that feed and ensure that all hazards that are documented in the hazard log are subjected to a risk assessment. - Check there is a mechanism in place to evaluate the service providers' risk management processes, including residual risks. - Check there is a mechanism in place to ensure the identification of trends, safety risks and emerging issues by the service providers. - Check there is a mechanism in place to ensure the monitoring and analysis of safety occurrences, including mandatory, voluntary and internal reports, by the service providers. - Check that service provider safety performance indicators (SPIs) and their respective alert and target levels are acceptable to the State. – (ensure state-level risks are considered).						

- Verify effective implementation of the agreement process used to ensure that service providers SPIs, targets and alerts by checking that:
  - o There is a mechanism in place to ensure that service providers' SPIs relate to the S.M.A.R.T objectives
  - o There is a mechanism in place to ensure that individual service providers have balanced their SPIs, incorporating both leading and lagging indicators as well as State-level and self-generated SPIs
  - o There is a mechanism in place to systematically monitor alert levels and to ensure that air operators have defined the actions needed in case an alert level is reached.
  - o Verify that the agreed safety performance indicators are commensurate with the scope and complexity of the service provider's specific operational context.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There are documented State requirements for service providers listed in Annex 19 to implement an SMS. 2. Requirements for implementation of SMS and acceptance of service provider safety performance indicators and targets are based on the size and complexity of the aviation system. 3. Service providers, listed in Annex 19 implemented SMS in accordance with the SMS framework. Service provider safety performance indicators are acceptable to the State.	1. The State's SMS requirements and acceptance of safety performance indicators and targets are periodically reviewed for content and currency and updated as appropriate.

1.3.3 ACCIDENT AND INCIDENT INVESTIGATION

Assessment	Indicators of compliance and performance		N P P	W O	P	E	Comments
	1.3.3.1	The State established, as part of the management of safety, an independent accident and incident investigation process					

Guidance	**What to look for**
	• Check that there is an accident and incident investigation authority and/or process in accordance with Annex 13.
	• Check that the independence of the accident and incident investigation authority/process from other government aviation organizations is maintained.
	• Check that the accident investigation authority has independence in the conduct of investigations and unrestricted authority over the investigation's conduct.
	• Check that accident and incident investigation authority/process objective is to prevent accidents and incidents and promote a positive and just safety culture.
	• Check for means to ensure appropriate safety measures are taken after safety recommendations are issued by the accident and investigation authority.
	• Check the investigation authority ensures that the personnel responsible for addressing safety management-related aspects in aircraft accident and serious incident investigations develop the required competencies
	• The training plan addresses safety management-related aspects.
	• Check the guidance material has been established for use by the personnel of the State's accident investigation authority to help ensure that safety management related aspects are appropriately addressed in investigations (when relevant)
	• Check there is a mechanism in place to ensure that safety management-related aspects are being addressed adequately in the investigation authority investigations
	o Relevant final reports consistently address safety management-related aspects.
	o Interfaces between different organizations' SMS are being addressed.
	• Check that the accident and incident investigation process is periodically reviewed to ensure it remains relevant to the State.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There is an independent accident and incident investigation authority and/or process. 2. An independent accident and incident investigation authority and/or process is established based on the size and complexity of the aviation system. 3. The accident and incident investigation authority and/or process functions independently with the objective of accident prevention and promotion of a positive and just safety culture.	1. The accident and incident investigation process is periodically reviewed for content and currency and updated as appropriate.

1.3.4   HAZARD IDENTIFICATION AND SAFETY RISK ASSESSMENT

<table>
<tr><td rowspan="3">Assessment</td><td colspan="2" rowspan="2">Indicators of compliance and performance</td><td>N
P</td><td>W
O</td><td>P</td><td>E</td><td>Comments</td></tr>
<tr></tr>
<tr><td>1.3.4.1</td><td>The State established and maintains a process to identify hazards from collected safety data.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>1.3.4.2</td><td>The State developed and maintains a process that ensures assessment of safety risks associated with identified hazards.</td><td></td><td></td><td></td><td></td><td></td></tr>
</table>

<table>
<tr><td rowspan="20">Guidance</td><td colspan="4" align="center">What to look for</td></tr>
<tr><td colspan="4">

- Check for a detailed process to identify, track, and monitor State-level hazards.
- Check for a State process to assess safety risks.
- Check that the State possesses personnel with expertise in safety risk management principles.
- Check that the hazard identification and risk assessment processes are based on the size and complexity of the State's aviation system.
- The State has processes to prioritize safety risks based on the assessed likelihood and severity.
- Check the safety risk management mechanism is based on relevant and accurate (when applicable) data and safety information.
- Check there is a mechanism in place to ensure that safety risks identified by air operators/service providers are raised at the State level, feeding the SSP and its risk picture as well as the NASP.
- Check there is a hazard identification log at the State level, which is based, amongst others, on hazards and safety issues that have been raised by the air operators'/service providers, and it feeds the SSP and its risk picture.
- The process to identify hazards and assess safety risk is periodically reviewed for content and currency and updated as appropriate.

</td></tr>
<tr><td>Not Present and Not Planned (NP)</td><td>Not Present but Being Worked On (WO)</td><td>Present</td><td>Effective</td></tr>
<tr><td>Based on current situation in State</td><td>Based on State's work in progress</td><td>1. There are documented processes to identify hazards from collected safety data and the assessment of associated safety risks.

2. The process to identify safety hazards and assess safety risks is based on the size and complexity of the aviation system.

3. Safety data collection and processing systems (SDCPS) and other relevant data sources are used to identify hazards and assess safety risks associated with identified hazards.</td><td>1. The processes to identify hazards and assess safety risks are reviewed for content and currency and updated as appropriate.</td></tr>
</table>

1.3.5 MANAGEMENT OF SAFETY RISKS AND RESOLUTION OF SAFETY ISSUES (CE-8)

		Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.3.5.1	The State uses a documented process to take appropriate actions, up to and including enforcement measures, to resolve identified safety issues.					
	1.3.5.2	The State ensures identified safety issues are resolved in a timely manner through a system that monitors and records progress of the actions taken by individuals and organizations performing an aviation activity.					
	1.3.5.3	The State uses a system to monitor and record progress, including actions taken by individuals and organizations performing an aviation activity in resolving such issues.					
	What to look for						
Guidance	- Check for a process, with clearly defined objectives, to take appropriate actions to resolve safety issues that includes: - The types of actions that can be taken. - Timeframes for corrective measures to be completed. - Corrective measures that are tracked, monitored, and evaluated to ensure that service provider deficiencies are corrected. - Requirements for service providers to address non-compliances and identify the root causes of the contributing factors for those non-compliances. - Requirements for service providers to develop corrective actions that ensure non-compliances do not recur by addressing the root causes. - Requirements for service providers to develop corrective actions that ensure the identified non-compliances are corrected in a timely manner. - Check that the process ensure all deficiencies and/or safety issues are addressed in a standardized manner. - Check for a progressive approach of escalation to the actions the State takes, based on the severity of the findings. - Check for a method to take more serious actions when the service provider does not respond appropriately to a request for corrective actions.					

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. There is a documented process to take appropriate actions to resolve identified safety issues in a timely manner. 2. The process to take appropriate actions to resolve identified safety issues in a timely manner is based on the size and complexity of the aviation system. 3. Identified safety issues are resolved in a timely manner through a system of monitoring and recording progress of actions taken by individuals and organizations performing an aviation activity.	1. The process to resolve identified safety issues is periodically reviewed for content and currency and updated as appropriate.

		Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	1.3.5.4	The State has and maintains a process to manage safety risks.					

	What to look for				

- Check for a safety risk management process that is documented and maintained.
- Check that the safety risk management process assesses root causes and underlying factors associated with risk.
- Check that the safety risk management process includes risk management strategies (risk acceptance, risk control, risk avoidance, and/or risk control transfer).
- Check for guidance material on the safety risk management process.
- Check that the safety risk management process is reviewed for content and currency and updated as appropriate.

	Not Present and Not Planned (NP)	**Not Present but Being Worked On (WO)**	**Present**	**Effective**
Guidance	Based on current situation in State	Based on State's work in progress	1. There is a process to manage safety risks that includes risk management strategies. 2. Risk management processes are detailed in guidance material and are based on the size and complexity of the aviation system. 3. Safety risks are managed through assessment of root causes and underlying factors and the use of risk management strategies.	1. The process to manage safety risks is periodically reviewed for content and currency and updated as appropriate.

1.4   STATE SAFETY ASSURANCE

1.4.1   SURVEILLANCE OBLIGATIONS (CE-7)

	Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.4.1.1 The State has documented and implemented surveillance processes by defining and planning inspections, audits, and monitoring activities on a continuous basis.					
	1.4.1.2 The surveillance processes proactively assure that aviation license, certificate, authorization, and approval holders continue to meet the established requirements.					
	1.4.1.3 The surveillance processes include the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.					
	1.4.1.4 The surveillance processes take into consideration the safety performance as well as the size and complexity of its aviation products or services.					
	What to look for					
Guidance	• Check for a surveillance process with clearly stated objectives and documented procedures. • Check the State, as part of its surveillance Programme, periodically assesses Service Providers' SMS, • Check that the surveillance processes: o Define and plan inspections, audits, and monitoring activities on a continuous basis. o Ensure aviation license, certificate, authorization, and approval holders meet established requirements and function at the level of competency and safety required by the State. o Include the surveillance of personnel designated by the State/Authority to perform safety oversight functions on its behalf. o Take into consideration the safety performance as well as the size and complexity of its aviation services. o Are reviewed periodically for content and currency.					

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. There are documented surveillance processes with clearly stated objectives and procedures. 2. The surveillance processes define and plan inspections, audits, and monitoring of aviation license, certificate, authorization, and approval holders and designees. The surveillance processes are based on the size and complexity of the aviation system. 3. Inspections, audits, and monitoring activities are conducted on a continuous basis to proactively ensure that aviation license, certificate, authorization, and approval holders meet established requirements, to include personnel designated by the State.	1. The surveillance processes are periodically reviewed for content and currency and updated as appropriate.

	Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	1.4.1.5	The State has procedures to prioritize surveillance activities (inspections, audits, and surveys) towards those areas of greater safety concern or need.					
	1.4.1.6	The State periodically reviews the safety performance of an individual service provider.					

<table>
<tr><td rowspan="2" style="text-align:center">Guidance</td><td colspan="6" style="text-align:center">What to look for</td></tr>
<tr><td colspan="6">

- Check that the surveillance processes are detailed enough to ensure a standardized approach to:
  o Setting scope and frequency of surveillance activities based on collected safety data and other pertinent information.
  o Utilization of different approaches of surveillance (inspection, audits, process review, surveys, etc.).
  o Include both scheduled and unscheduled surveillance activities.
  o Prioritization of surveillance activities based on service provider risk profiles, hazard identification, risk assessments, and previous surveillance outcomes.
  o Measure service provider regulatory compliance with established standards.
  o Assess the effectiveness of risk based surveillance activities.
  o Documenting and classifying surveillance findings of compliance and non-compliance.
  o Communicating findings to service providers.
- Check for a process to periodically review the safety performance of an individual service provider for content and currency.

</td></tr>
</table>

Not Present and Not Planned (NP)	**Not Present but Being Worked On (WO)**	**Present**	**Effective**
Based on current situation in State	Based on State's work in progress	1. There are documented processes and procedures to prioritize surveillance activities towards areas of greater safety concern or need. 2. The procedures to prioritize surveillance activities and review the safety performance of the service provider is based on the size and complexity of its aviation system. 3. Collected safety data and information is used to prioritize surveillance activities. The scope and frequency of surveillance activities utilize different approaches and are prioritized towards those areas of greater safety concern.	1. Procedures for prioritizing surveillance activities and reviewing individual service provider safety performance is periodically reviewed for content and currency and are updated as appropriate.

1.4.2   STATE SAFETY PERFORMANCE

	Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	1.4.2.1 The State develops and maintains a process to evaluate the effectiveness of actions taken to manage safety risks.					
	1.4.2.2 The State develops and maintains a process to evaluate the effectiveness of actions taken to resolve safety issues.					
	1.4.2.3 The State evaluates the effectiveness of their individual SSP to maintain or continuously improve their overall level of safety performance.					
	What to look for					
Guidance	**Check that State has a mechanism in place to select and monitor its safety performance indicators (SPIs)** ○ There is a mechanism in place to define S.M.A.R.T (specific, measurable, achievable, relevant and timely) SPIs that are based on the safety objectives and the State-level risk picture. ○ SPIs have associated targets and alert levels, where appropriate. ○ There is a mix of leading and lagging indicators. ○ There is a mechanism in place to ensure that all relevant State authorities are providing information that contributes to the formulation of the SPIs ○ There is a mechanism in place to share the State-level SPIs with the relevant stakeholders. ○ Targets and alert levels (when used) are reasonable, and are broken-down into intermediate targets, if needed. ○ There is a mechanism in place to identify the safety performance baseline. ○ safety performance and associated safety indicators are appropriate and relevant to the size and complexity of the State's aviation activities. ○ Check if guidance exists to assess the adequacy and applicability of the safety performance ○ Check that the There is a mechanism in place to ensure that SPIs, targets and alert levels, when used, are being reviewed continuously.					

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Operating	Effective
	Based on current situation in State	Based on State's work in progress	1. There is a documented process to evaluate the effectiveness of actions taken to manage safety risks, resolve safety issues evaluate the SSP to maintain or continuously improve the overall level of safety performance. 2. Evaluation of the effectiveness of actions taken to manage safety risks, resolve safety issues, and continuously improve the overall level of safety performance is based on the size and complexity of the aviation system. 3. There is a mechanism in place to ensure that all relevant State authorities are providing information that contributes to the formulation of the SPIs	1. The effectiveness of actions taken to manage safety risks, resolve safety issues and continuously improve the overall level of safety performance is periodically reviewed for content and currency and updated as appropriate.

1.5 STATE SAFETY PROMOTION

1.5.1 INTERNAL COMMUNICATION AND DISSEMINATION OF SAFETY INFORMATION

<table>
<tr><td rowspan="3">Assessment</td><td colspan="2" rowspan="2">Indicators of compliance and performance</td><td>N
P</td><td>W
O</td><td>P</td><td>E</td><td rowspan="2">Comments</td></tr>
<tr></tr>
<tr><td>1.5.1.1</td><td>The State promotes safety awareness and the sharing and exchange of safety information within State aviation organizations.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td>1.5.1.2</td><td>The State clearly and effectively communicates to all pertinent organizations and individuals on their role in the SSP.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="9">Guidance</td><td colspan="7" align="center">What to look for</td></tr>
<tr><td colspan="7">

Check for processes to share and exchange safety information with relevant State aviation organizations and employees.
Check and interview individuals and employees of State aviation organizations for awareness of shared and exchanged safety information.
Check for a feedback process for State aviation organizations and employees to provide inputs regarding shared or exchanged safety information.
Check for a process to measure the effectiveness of safety information sharing and exchange with its relevant State organizations.
Check for State communication on SSP roles and interview pertinent State organizations and employees on their role in the SSP.
Check for senior management commitment to the SSP through active and visible participation.
The SSP is communicated so that state aviation organizations and employees are made aware of their contributions and obligations with regard to the SSP.

</td></tr>
<tr><td>Not Present and Not Planned (NP)</td><td>Not Present but Being Worked On (WO)</td><td colspan="4" align="center">Present</td><td>Effective</td></tr>
<tr><td>Based on current situation in State</td><td>Based on State's work in progress</td><td colspan="4">1. There is a documented process to promote safety awareness and the sharing and exchange of safety information with State organizations.

2. Sharing and exchange of safety information within State aviation organizations and the communication of organizational and individual roles in the SSP is based on the size and complexity of the aviation system.</td><td>1. State processes that promote safety awareness and the sharing and exchange of safety information within the State</td></tr>
</table>

			3. State aviation organizations share and exchange safety information and communicate to all pertinent organizations and individuals their roles in the SSP	aviation organizations is periodically reviewed for content and currency and updated as appropriate.

1.5.2 EXTERNAL COMMUNICATION AND DISSEMINATION OF SAFETY INFORMATION

		Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	1.5.2.1	The State promotes safety awareness and the sharing and exchange of safety information with the aviation community.					
	1.5.2.2	The State participates in regional and global aviation safety information sharing and exchange activities.					
	1.5.2.3	The SSP document and its associated safety policy, enforcement policy, and aggregate safety indicators are included in the State's safety information communication and sharing process.					

	What to look for
Guidance	• Check for processes that promote safety awareness and the sharing and exchange of safety information with the aviation community. • Check that the State facilitates the participation of the aviation community regarding safety information sharing and exchange opportunities. • Check that the process ensures safety information is communicated with the aviation community in a timely manner (e.g., web-based communication). • Check that the process ensures safety information is communicated to the general public. • Check that safety information is updated on a regular basis and is disseminated. • Check for the communication of a positive safety culture in the promotion of safety awareness and the sharing and exchange of safety information. • Check that the State identifies safety training that is accessible to the aviation community. • Check for participation in regional and global conferences, workshops, and training courses. • Check that the SSP document is available to the aviation community. • Check for a means to ensure the aviation community is aware of the SSP documentation. • Check that safety policy, enforcement policy, and aggregate safety indicators from the SSP are in the safety information communication and sharing process.

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Operating	Effective
	Based on current situation in State	Based on State's work in progress	1. There is a process to promote safety awareness and the sharing and exchange of safety information with the aviation community. 2. The processes to promote the sharing and exchange of safety information and communication of the SSP is based on the size and complexity of the state aviation system. 3. State aviation organizations share and exchange safety information with the aviation community. Safety policy, enforcement policy, and aggregate safety indicators are included in the State's safety information communication and sharing process.	1. State processes to promote safety awareness and the sharing and exchange of safety information with the aviation community periodically reviewed for content and currency and updated as appropriate.

2. SAFETY DATA AND SAFETY INFORMATION COLLECTION, ANALYSIS, PROTECTION, SHARING AND EXCHANGE

2.1   SAFETY DATA COLLECTION AND PROCESSING SYSTEMS

		Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	2.1.1	The State established SDCPS to capture, store, aggregate, and enable the analysis of safety data and safety information.					
	2.1.4	The State authorities responsible for the implementation of the SSP have access to the SDCPS as referenced in Annex 19, section 5.1.1 to support their safety responsibilities, in accordance with the principles in Appendix 3.					
	2.1.5	The safety database uses standardized taxonomy to facilitate safety information sharing and exchange.					
Guidance	**What to look for**						
	• Check for SDCPS that collect: o Mandatory and voluntary safety reports. o Data/information from surveillance activities. o Data/information from accidents and incidents. • Check that Authorities with responsibilities to implement and maintain the SSP have access to relevant portions. • Check for legislation and processes that provide appropriate protection for the data (from disclosure) and the source of the data (from inappropriate action). • Check that data/information in different SDCPS are stored in a manner that facilitates analysis including potential cross-sector hazards.						

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. There are SDCPS to capture, store, aggregate, and enable the analysis of safety data and safety information. 2. The SDCPS contains a standardized taxonomy and is based on the size and complexity of the aviation system. 3. State authorities have access to SDCPS to enable the analysis of safety data and information to support their safety activities.	1. SDCPS and the standardized taxonomy are reviewed periodically for currency and content and updated as appropriate.

Assessment		Indicators of compliance and performance	NP	WO	P	E	Comments
	2.1.2	The State established a mandatory safety reporting system that includes the reporting of incidents.					

Guidance	**What to look for**		
	• Check for a mandatory safety reporting system to include the reporting of incidents as part of its SDCPS. • Check for criteria for the type of mandatory reports to be submitted by service providers. • Check for the use of a standardized taxonomy (e.g., the Accident/Incident Data Reporting [ADREP] system). • Check that mandatory safety reports are stored in SDCPS in a manner that facilitates classification, analysis, and retrieval. • Check that mandatory safety reports are protected from inadvertent disclosure. • Check that mandatory safety reports are promptly submitted by relevant service providers when there is an incident. • Check that service providers' mandatory reports include sufficient information and details to allow for a detailed analysis. • Check for a process to periodically review the effectiveness of the mandatory reporting system.		

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There is a mandatory safety reporting system that includes the reporting of incidents 2. The mandatory safety reporting system includes the reporting of incidents as part of the SDCPS and is based on the size and complexity of the aviation system. 3. Mandatory and voluntary safety reports, data/information from surveillance activities, accidents and incidents are collected in SCDPS.	1. Mandatory safety reports and SDCPS are reviewed periodically for currency and content and updated as appropriate.

		Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	2.1.3	The State established a voluntary safety reporting system to collect safety data and safety information not captured by mandatory safety reporting systems.					

	What to look for

Guidance	• Check for a voluntary safety reporting system to include the reporting of incidents as part of its SDCPS.
	    o Check for criteria for the type of voluntary reports to be submitted by service providers.
	    o Check for a standardized taxonomy (e.g., ADREP).
	    o Check that voluntary safety reports are stored in SDCPS in a manner that facilitates classification, analysis, and retrieval.
	    o Check that voluntary safety reports are protected from inadvertent disclosure.
	    o Check that voluntary safety reports are promptly submitted by relevant service providers when there is an incident.
	    o Check that service providers' voluntary reports include sufficient information and details to allow for a detailed analysis.
	    o Check for a process to periodically review the effectiveness of the voluntary reporting system.
	 • Check for awareness in the aviation community of State voluntary reporting systems.
	 The system is known to relevant State authorities and service providers' personnel, accessible, and easy to use.
	 • Check and interview the aviation industry for trust in and supports for State voluntary safety reporting systems.
	    o Check for a process to evaluate the effectiveness of the voluntary reporting system.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There is a voluntary safety reporting system, with documented processes that includes the reporting of incidents. 2. The voluntary safety reporting system includes the reporting of incidents as part of the SDCPS and is based on the size and complexity of the aviation system. 3. Service providers and the aviation community trust and support voluntary safety reporting. Voluntary safety reports are submitted promptly and contain sufficient information and details.	1. Voluntary safety reports and SDCPS are reviewed periodically for currency and content and updated as appropriate.

2.2 SAFETY DATA AND SAFETY INFORMATION ANALYSIS

<table>
<tr><th rowspan="2">Assessment</th><th colspan="2">Indicators of compliance and performance</th><th>N P</th><th>W O</th><th>P</th><th>E</th><th>Comments</th></tr>
<tr><td>2.2.1</td><td>The State establishes and maintains a process to analyze the safety data and safety information from the SDCPS and associated safety databases.</td><td></td><td></td><td></td><td></td><td></td></tr>
</table>

<table>
<tr><th rowspan="13">Guidance</th><th colspan="6">What to look for</th></tr>
<tr><td colspan="6">

Check for processes to analyze the safety data and safety information from the SDCPS and associated safety databases.
Check that the analysis performed by the State is able to identify systemic sector hazards not otherwise identified by individual service providers and operators.
Check that the analysis performed by the State is able to identify systemic cross-sector hazards not otherwise identified by individual sectors.
Check that hazards are analyzed to assess the level of risk associated with each hazard.
Check that the process includes both proactive and reactive methods of safety data analysis.
Check for a process to prioritize hazards based on risk.
Check There is a mechanism in place to ensure that the information is reflected in the SSP main document and the NASP
Check to ensure hazards and are acted upon based on the prioritization of risk.
There is a mechanism in place to ensure that the information is used to refine the State level SPIs.
Check for processes to periodically review the analysis of safety data and safety information from SDCPS and associated databases for content and currency.

</td></tr>
<tr><td>Not Present and Not Planned (NP)</td><td>Not Present but Being Worked On (WO)</td><td colspan="3">Present</td><td>Effective</td></tr>
<tr><td>Based on current situation in State</td><td>Based on State's work in progress</td><td colspan="3">1. There is a process to analyze the safety data and safety information from the SDCPS and associated safety databases.

2. The process to analyze safety data and safety information from the SDCPS and associated safety databases includes both proactive and reactive methods and is based on the size and complexity of the aviation system.

3. The analysis of safety data identifies systemic sector and cross sector hazards. Hazards are assessed for risk and acted upon based on the prioritization of risk.</td><td>The process to analyze safety data and safety information from the SDCPS and associated safety databases is periodically reviewed for content and currency and updated as appropriate.</td></tr>
</table>

2.3   SAFETY DATA AND SAFETY INFORMATION PROTECTION

		Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	2.3.1	The State protects safety data captured by, and safety information derived from, mandatory and voluntary safety reporting systems and related sources.					
	2.3.2	The State has not made available or used safety data or safety information collected, stored, or analyzed for purposes other than maintaining or improving safety, unless the competent authority determines, in accordance with Appendix 3, that a principle of exception applies.					
	2.3.3	The State was not prevented from using safety data or safety information to take any preventive, corrective, or remedial action that is necessary to maintain or improve aviation safety.					

	What to look for

Guidance	• Check national laws, regulations, and policies protecting safety data, safety information, and related sources to ensure:
	  o A balance is struck between the need to protect safety data, safety information, and related sources and the need to properly administer justice.
	  o The conditions under which safety data, safety information, and related sources qualify for protection are specified.
	  o Safety data and safety information is made available to the aviation community for the purpose of maintaining or improving aviation safety.
	  o The protection of safety data and safety information extends to mandatory and voluntary safety reporting systems.
	• Check that, unless a principle of exception (in accordance with Appendix 3) applies, safety data or safety information is not used:
	  o For disciplinary, civil, administrative, or criminal proceedings against employees, operational personnel, or organizations and/or disclosure to the public.
	  o In a way different from the purposes for which they were collected.
	• Check that when a principle of exception applies, the use of safety data and safety information in disciplinary, civil, administrative, and criminal proceedings will be carried out only under authoritative safeguards.
	• Check there is a mechanism in place to protect ambient/workplace recordings.
	• Safety data, safety information and related resources are protected in a continuous manner, including ambient/workplace recordings.

	Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
	Based on current situation in State	Based on State's work in progress	1. There are national laws, regulations, and policies protecting safety data, safety information, and related sources. The protection extends to mandatory and voluntary reporting systems. 2. Safety data or safety information is not used for purposes other than maintaining or improving safety and protections in national laws, regulations, and policies are based on the size and complexity of the aviation system. 3. Safety data and information is used to take preventative, corrective, or remedial actions to maintain or improve safety. Protected data and information is not used unless a principle of exception is applied.	1. National laws, regulations, and policies protecting safety data, safety information, and related sources are periodically reviewed for currency and content and updated as appropriate.

	Indicators of compliance and performance	N P	W O	P	E	Comments
Assessment	2.3.5 The State takes necessary measures, including the promotion of a positive safety culture, to encourage safety reporting through the mandatory and voluntary safety reporting systems.					
	2.3.6 The State facilitates and promotes safety reporting by adjusting applicable laws, regulations, and policies as necessary.					
	2.3.7 The State has instituted and made use of appropriate advance arrangements between their authorities and State bodies entrusted with aviation safety and those entrusted with the administration of justice. Such arrangements take into account the principles specified in Appendix 3.					

	What to look for
Guidance	• Check for measures by the State to encourage mandatory and voluntary safety reporting through SDCPS and other sources.
	• Check for the adjusting of applicable laws, regulations, and policies, as necessary, to facilitate the promotion of safety reporting.
	• Check for advance agreements between authorities, State bodies, and organizations responsible for the administration of justice that promote safety reporting.
	• Check for a process to periodically review the measures, facilitation, and advance agreements instituted by the State for currency and content.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There is a documented process to encourage, facilitate. and promote safety reporting. Advance agreements are instituted between aviation authorities and State bodies entrusted with aviation safety and those entrusted with the administration of justice. 2. The process to encourage, facilitate, and promote safety reporting is based on the size and complexity of the aviation system. 3. State measures, facilitation, and advance agreements promote safety reporting. State laws are adjusted to promote a positive safety culture.	1. The processes to encourage, facilitate, and promote safety reporting and use of advance arrangements is periodically reviewed for currency and content and updated as appropriate.

2.4   SAFETY INFORMATION SHARING AND EXCHANGE

	Indicators of compliance and performance	NP	WO	P	E	Comments
Assessment	2.4.1 When the State, in the analysis of the information contained in its SDCPS, identifies safety matters considered to be of interest to other States, the State forwards such safety information to them as soon as possible.					
	2.4.2 The State promotes the establishment of safety information sharing or exchange networks among users of the aviation system, and facilitates the sharing and exchange of safety information, unless national law provides otherwise.					

	What to look for
Guidance	• Check for processes by which the State forwards timely safety information in its SDCPS on identified safety matters to other interested States. • Check for agreements with other States on the level of protection and the conditions on which safety information will be shared (see Appendix 3). • Check for promotion of safety information sharing or exchange networks among users of the aviation system. • Check for the facilitation of sharing and exchange of safety information, unless national law provides otherwise. • Check and interview aviation system users for safety information sharing or exchange networks. • Check for a process to review forwarding of safety information to other States and safety information sharing or exchange networks.

Not Present and Not Planned (NP)	Not Present but Being Worked On (WO)	Present	Effective
Based on current situation in State	Based on State's work in progress	1. There are documented processes to forward safety information of interest to other States and promote safety information sharing and exchange among users of the aviation system. 2. The processes to forward safety information and promote information sharing and exchange is based on the size and complexity of the aviation system. 3. The State identifies and forwards timely safety information to other interested States. Safety information is shared and exchanged through networks among users of the aviation system.	1. The processes to forward safety information and promote information sharing and exchange is based is periodically reviewed for currency and content and updated as appropriate.

MISSION SUMMARY REPORT

<u>**Summary Report**</u>

Introduction

    a. Background

    b. Mission Summary

    c. Acknowledgments

1.1 State Safety Programme

    a. Main Achievements:

    b. Opportunities for enhancements:

1.2 State Safety Policy, Objectives and Resources

    a. Main Achievements:

    b. Opportunities for enhancements:

1.3 State Safety Risk Management

    a.   Main Achievements:

    b.   Opportunities for enhancements:

1.4 State Safety Assurance

    a.   Main Achievements:

    b.   Opportunities enhancements:

1.5 State Safety Promotion

    a.   Main Achievements:

    b.   Opportunities for enhancements:

2. Safety Data and Safety Information Collection, Analysis, Protection, Sharing and Exchange

    a.   Main Achievements:

    b.   Opportunities for enhancements: