

# State Safety Program (SSP) Assessment Tool



**2<sup>nd</sup> Edition – October 2020**

**Revision 1 – June 2023**

This paper was prepared by the Safety Management International Collaboration Group (SM ICG). The purpose of the SM ICG is to promote a common understanding of Safety Management System (SMS) / State Safety Programme (SSP) principles and requirements, facilitating their application across the international aviation community. In this document, the term “organization” refers to a product or service provider, operator, business, and company, as well as aviation industry organizations; and the term “authority” refers to the regulator authority, Civil Aviation Authority (CAA), National Aviation Authority (NAA), and any other relevant government agency or entity with oversight responsibility.

The current core membership of the SM ICG includes the Aviation Safety and Security Agency (AESA) of Spain, the National Civil Aviation Agency (ANAC) of Brazil, the Civil Aviation Authority of the Netherlands (CAA NL), the Civil Aviation Authority of New Zealand (CAA NZ), the Civil Aviation Authority of Singapore (CAAS), Civil Aviation Department of Hong Kong (CAD HK), the Civil Aviation Safety Authority (CASA) of Australia, the Direction Générale de l'Aviation Civile (DGAC) in France, the Ente Nazionale per l'Aviazione Civile (ENAC) in Italy, the European Aviation Safety Agency (EASA), the Dominican Republic Civil Aviation Institute (IDAC), the Finnish Transport and Communications Agency (Traficom), the Irish Aviation Authority (IAA), Japan Civil Aviation Bureau (JCAB), the United States Federal Aviation Administration (FAA) Aviation Safety Organization, Transport Canada Civil Aviation (TCCA), United Arab Emirates General Civil Aviation Authority (UAE GCAA), and the Civil Aviation Authority of United Kingdom (UK CAA). Additionally, the International Civil Aviation Organization (ICAO) is an observer to this group.

Members of the SM ICG:

- Collaborate on common SMS/SSP topics of interest
- Share lessons learned
- Encourage the progression of a harmonized SMS/SSP
- Share products with the aviation community
- Collaborate with international organisations such as ICAO and civil aviation authorities that have implemented or are implementing SMS and SSP

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SM ICG products can be found on SKYbrary at: <http://bit.ly/SMICG>.

## 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.<sup>1</sup> The Safety Management International Collaboration Group (SM ICG) developed the State Safety Program (SSP) Assessment Tool in direct support of this common approach. The following guidance explains the background, purpose, and methodology relevant to the use of the SSP Assessment Tool.

## Background and Purpose

In 1999, ICAO transitioned to its Universal Safety Oversight Audit Program (USOAP) Continuous Monitoring Approach (CMA) utilizing a compliance-based approach to the ICAO Annexes. Then, ICAO published Annex 19 in 2013, containing provisions for the SSP.

Therefore, the SM ICG SSP Assessment Tool, at its first edition, was the first globally developed tool of its kind, to appraise an SSP, using a maturity model targeting both compliance and “effectiveness.” A second edition of the tool was published in October 2020.

In 2021, ICAO commenced its State Safety Program Implementation Assessments (SSPIAs) (available at [ICAO OLF platform](#)<sup>2</sup> only for the States).

The SM ICG initially sought to update its SSP Assessment tool to bring it in phase with the ICAO SSPIA protocol questions (PQs). However, as a result of an SSPIA program review in 2023, ICAO placed further scheduling of SSP assessments on hold with a view to the adoption of a new approach, integrating the USOAP CMA and SSPIA for introduction in 2025. Accordingly, the SM ICG decided that it would be beneficial to wait until details of the new ICAO integrated approach become available before re-aligning its SSP Assessment tool process.

Consequently, the SM ICG SSP Assessment Tool, currently at Edition 2, Revision 1, does not incorporate aspects of the ICAO SSPIA program. However, it has been designed to indicate the State’s level of compliance with the ICAO Eight Critical Elements (CEs) of a State Safety Oversight (SSO) system, integration of the SSP approach, and the CEs of a SSO as described in ICAO Annex 19.

The longer-term goal to establish a common standard for evaluating compliance and effectiveness of the SSP, which aligns more closely with the ICAO SSPIA program, will be considered by the SM ICG once details of the revised ICAO SSPIA program become available. The SM ICG will also consider the impact of Annex 19 Revision 2 under progress (most likely renamed “Edition 3”), when officially published (applicability planned for the end of 2026).

Use of this tool is voluntary and can be used for initial 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 to assess the effectiveness of its SSP, irrespective of the stage of SSP implementation. It requires interaction with all SSP stakeholders including face-to-face discussions and interviews with a cross-section of people as part of the assessment.

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<sup>1</sup> States may delegate safety management related functions to Regional Safety Oversight Organisations (RSOO) or Regional Accident and Incident Investigation Organisations (RAIO). When delegated, States retain this responsibility.

<sup>2</sup> <https://soa.icao.int/CMAUnifyLogin/Index.aspx>

*Note: Comments and experience on the use of this SM ICG tool as well as on the current ICAO SSPIA PQs are being collected and can be submitted to [smicg.share@gmail.com](mailto:smicg.share@gmail.com).*

## When to Use the Tool

The SSP Assessment Tool is designed to allow any State to adapt and use the tool to serve its own purposes, based on the size and complexity of the State's aviation system. Rather than remove elements noted in this assessment tool, States should define how they interpret each Standard and Recommended Practice (SARP) within their own Civil Aviation systems. This tool can also be used to assess or compare another State's safety management responsibilities and SSP and serves as the basis for accepting the SSP of another State.

## Initial Assessment

The State may use the tool as part of an initial assessment; however, this should be preceded by a gap analysis of the SSP. An initial assessment could be based on a desktop review of the documentation that focuses on whether the expectations of compliance and performance are present and suitable. Once the desktop review has been satisfied, evidence should be collected to assess whether the expectations are met (the tool uses the terms *Present*, *Suitable*, *Operating*, and *Effective*). Finally, an assessment should be made to determine if an expectation is being met effectively. This assumption cannot automatically be made based on whether the expectation is present, operating, and suitable. Effectiveness is achieved when the outcome is the desired result each time. The collection of evidence should normally be carried out by a team that includes a team leader 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 people at different levels of the organization to determine how effective aspects of the SSP are throughout the organization. For example, determining the extent that the safety policy has been promulgated and understood will require interaction with a cross-section of personnel from the State.

## On-Going Monitoring and Continuous Improvement

For on-going monitoring and continuous improvement, the State may utilize this tool to assess the effectiveness of its SSP, identify changes to its aviation system, and continuously improve the processes within its SSP. Furthermore, this document is subject to change if the ICAO SSO is modified or as States mature and learn more about SSP.

## 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.

This assessment tool follows the Eight CEs<sup>3</sup> of an SSO system<sup>4</sup> as laid out in Annex 19. However, users of the tool may choose to customize the order of the components to align it with the needs of their State.

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<sup>3</sup> ICAO Annex 19, Second Edition, July 2016, Appendix 1.

<sup>4</sup> ICAO Annex 19, Second Edition, July 2016, Chapter 3.

Users may decide to customize the assessment tool to:

- Reflect state safety management requirements;
- Reflect national SSP requirements or terminology; and/or
- Address a specific need that has been identified through the SSP.

The layout of the tool is shown below, with an accompanying legend defining the purpose of each box.

**1.1 State Safety Programme (Annex 19 Chapter 3.1)**

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
Assessment	1.1.1						
	1.1.2						
Guidance	<b>7a</b> What to look for <ul style="list-style-type: none"> <li>• Check the SSP document to ensure it:                         <ul style="list-style-type: none"> <li>○ Describes all the elements of the SSP (in accordance with Annex 19).</li> <li>○ Is signed by senior management from all appropriate aviation regulatory organ</li> <li>○ Describes roles and responsibilities of all appropriate State aviation regulatory</li> <li>○ Is reviewed periodically for content and currency and updated as appropriate.</li> </ul> </li> <li>• Check SSP implementation to ensure (includes updates to the SSP):                         <ul style="list-style-type: none"> <li>○ A gap analysis (based on the SARPS in Annex 19 or annex updates) was performed</li> <li>○ The gap analysis is reviewed periodically for content and currency.</li> <li>○ The formation of an implementation team, to include membership from pertin</li> <li>○ An implementation plan that includes milestones and timeframes based on the</li> <li>○ Senior management actions to ensure the implementation plan is accomplish</li> <li>○ Coordination amongst all appropriate State organizations is accomplished.</li> </ul> </li> <li>• Check that when a State delegates to a RSOO or RAIO the:                         <ul style="list-style-type: none"> <li>○ Relevant legal frameworks allow for this delegation.</li> <li>○ Responsibility for the delegated functions and activities is retained by the deleg</li> <li>○ Delegated functions and activities are clearly defined and documented.</li> <li>○ Competency requirements for performing the delegated functions and activities are</li> <li>○ The State has a process to review and monitor the performance of the delegated entities</li> </ul> </li> </ul>						
	Present <b>7b</b>	Suitable <b>7c</b>	Operating <b>7d</b>	Effective <b>7e</b>			
	The State established and documented an SSP in accordance with Annex 19. The SSP is documented and coordinated with all appropriate State aviation organisations.	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.	State regulatory organisations 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.	The SSP document, gap analysis and implementation plan are periodically reviewed for currency and content and updated as appropriate.			

**Legend**

- 1.** ICAO Component Name & Reference
- 2.** ICAO Chapter Name & Reference
- 3.** Evaluation Section
- 4.** (P) Present, (S) Suitable, (O) Operating, (E) Effective
- 5.** Reference/evidence recording (*free-text*)
- 6.** Evaluator comments (*free-text*)
- 7.** Guidance Section
- 7a.** Guidance on what/where to look for evidence
- 7b-e.** Compliance + Performance guidance word-picture

**Definitions Used in the Tool**

**Present (P):** **4** **7b** There is evidence that the relevant indicator is documented within the organization’s SSP documentation.

**Suitable (S):** **4** **7c** The relevant indicator is suitable based on the size, nature, and complexity of the organization, and the inherent risk in its activity.

**Operating (O):** **4** **7d** There is evidence that the relevant indicator is in use and an output is being produced.

**Effective (E):** **4** **7e** There is evidence that the relevant indicator is achieving the desired outcome and has a positive safety impact.

Generally, *Present* and *Suitable* are used for initial approval or certification. *Operating* and *Effective* are expected to be found in a functioning SSP.

Due to the continuously changing and dynamic nature of aviation, during ongoing or subsequent assessments, the *Suitability* should be re-evaluated considering any changes to the State and its activities.

An item cannot be considered *Operating* or *Effective* if it is not *Present* and it cannot be considered as *Present* if it is not documented; documentation ensures consistent repeatable and systematic outcomes.

**What to look for:** **7a** 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 *Present, Suitable, Operating, 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.

### ***Level of Detail to Be Recorded***

It is important that the evaluator records evidence of the assessment. Evidence includes documentation, reports, and records of interviews and discussions. For example, for an item to be *Present*, the evidence is likely to be documented only, whereas the evaluation for an *Operating* item may involve evaluating records as well as face to face discussions with the organization's personnel.

### ***Scoring the SSP Assessment***

The main objective of the SSP Assessment Tool is to assess the SSP in terms of maturity and effectiveness in a consistent way, rather than to deliver a "score."

The SM ICG **does not** recommend that the SSP be scored, but should the regulatory authority decide to score the SSP Assessment across the State, the following important considerations are needed:

- Scoring should not be linear but weighted or even exponential so that a higher score is achieved for being *Effective* to encourage organizations to strive to achieve that level for their processes.
- Scoring **should not** be used as a *pass/fail* criterion but to help evaluate the maturity of the SSP as a benchmark against other organizations and to aid continuous improvement.
- Regulatory authorities should also be mindful as scoring may create the wrong behaviors in organizations that could undermine a positive safety culture.

### ***Training and 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.

All inspectors and their managers should be trained and competent prior to use of the tool. The training should include practical case study examples based on real SSP documentation and actual State events.

The tool should be used by State staff with training and competency in:

- SSP (based on the ICAO State Safety Management and SSO);
- National Aviation Safety Plan (NASP) – see ICAO Doc 10131;
- Differentiating between the NASP and the SSP;
- Interview techniques;
- Understanding of compliance and auditing;
- Understanding of risk management;
- 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).

It is recommended that as well as being trained to use the tool in the classroom environment, staff are provided additional on-the-job training during a live assessment to familiarize themselves with the tool and its practical use.

### ***Standardization***

It is important that the SSP Assessment Tool be used in a consistent manner. The team performing the SSP assessment should be diverse and represent all required oversight activities in a State. The evaluators should also develop standard procedures for inspector use of the SSP Assessment Tool. This will help identify inconsistencies in the approach, as well as additional training that may be required. The procedures should involve a combination of desktop reviews to assess the completed assessment tool and any follow up actions and 'on-the-job' observations to assess how well the SSP assessment was carried out.

### ***Evaluation Summary***

The tool has been designed to evaluate the maturity and effectiveness of the SSP in a standardized manner. In order to give the State an overall picture of its SSP performance, it is recommended that a concise assessment summary be published that reflects the level of progress achieved by the organization.

An example of an assessment summary is provided in Appendix 1.

## Appendix 1 – Example of an Assessment Summary

	<b>Initiating</b>	<b>Present and Suitable</b>	<b>Operating</b>	<b>Effective</b>	<b>Excellence<sup>5</sup></b>
<b>State Safety Program (SSP)</b>	The SSP is at the implementation stage.	All the main elements of the SSP are in place.	The systems and processes of the SSP are operating.	The SSP is working in an effective way and is striving for continuous improvement.	The State establishes, embraces, and shares its best practices.
<b>State Safety Risk Management</b>	State safety risk management processes are not fully developed.	A State safety reporting system(s) is in place and there is a process for how risks are assessed and managed.	State hazard and risk registers are being built up and risks are starting to be managed in a proactive manner.	The State is continuously identifying hazards, understands its biggest risks, and is actively managing them. This can be seen in their safety performance. Safety Risk Management is proactive.	Key personnel throughout the State are aware and understand the risks relative to their responsibilities and are continuously searching out new hazards and risks and re-evaluating existing risks.
<b>Safety Policy and Objectives</b>	Policies, processes, and procedures are not fully developed.	There are policies, processes, and procedures in place that detail how the SSP will operate.	There is a safety policy in place and senior management are committed to making the SSP work and is providing appropriate resources to safety management.	Senior management is clearly involved in the SSP and the Safety Policy sets out the organization’s intent to manage safety and is clearly evident in the day-to-day operations.	The State is a leader within the aviation system and embraces best practices.
<b>State Safety Assurance</b>	State Safety Assurance activities including safety performance indicators (SPIs) are not fully developed.	Initial SPIs linked to State safety objectives have been identified and there is a change management process in place.	The State has established SPIs that it is monitoring and auditing. The State is assessing its SSP and its outputs.	The State assures itself that it has an effective SSP and is managing its risk through audit, assessment, and monitoring of its safety performance.	The State is continuously assessing its approach to safety management and is continuously improving its safety performance and seeking out and embracing best practices.
<b>State Safety Promotion</b>	State Safety Promotion activities are not fully developed.	There is a State safety training program and the means to communicate safety information is in place.	The State has trained its personnel and has several mediums for Safety Promotion that it uses for passing on safety information.	The State puts considerable resources and effort into training its personnel and publicizing its safety culture and other safety information and monitors the effectiveness of its Safety Promotion.	In addition, the State provides training and Safety Promotion to its contracted service providers and assesses the effectiveness of its Safety Promotion.

<sup>5</sup> Although this SM ICG document builds on the “PSOE” maturity model, the ICAO SSPIA PQs use “present and effective for years and in continuous improvement” as a fifth maturity level.



# SM ICG SSP Assessment Tool

<b>State Authority:</b>	<b>Date of Last Assessment:</b>	
<b>SSP Revision:</b>	<b>Evaluator(s) (Name and Department):</b>	
<b>Scope of the Assessment:</b>	<b>Date of Assessment:</b>	<b>Assessment Reference:</b>

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## 1.1 STATE SAFETY PROGRAMME (ANNEX 19 CHAPTER 3.1)

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	1.1.1	The State has established an SSP that is commensurate with the size and complexity of the State's civil aviation system.						
	1.1.2	When delegated to another State, Regional Safety Oversight Organization (RSOO), or Regional Accident and Incident Investigation Organization (RAIO), the State retains responsibility for safety management-related functions and activities.						
Guidance	What to look for							
	<ul style="list-style-type: none"> <li>• Check the SSP document to ensure it:               <ul style="list-style-type: none"> <li>○ Describes all the elements of the SSP (in accordance with Annex 19).</li> <li>○ Is signed by senior management from all appropriate aviation regulatory organizations.</li> <li>○ Describes roles and responsibilities of all appropriate State aviation regulatory organizations.</li> <li>○ Is reviewed periodically for content and currency and updated as appropriate.</li> </ul> </li> <li>• Check SSP implementation (including updates to the SSP) to ensure:               <ul style="list-style-type: none"> <li>○ A gap analysis (based on the Standards and Recommended Practices [SARPs] in Annex 19 or annex updates) was performed and results are available.</li> <li>○ The gap analysis is reviewed periodically for content and currency.</li> <li>○ The formation of an implementation team, to include membership from pertinent State organizations (the team may be one person for a small State).</li> <li>○ An implementation plan that includes milestones and timeframes based on the SSP gap analysis.</li> <li>○ Senior management takes action to ensure the implementation plan is accomplished.</li> <li>○ Coordination amongst all appropriate State organizations.</li> </ul> </li> <li>• When a State delegates to a RSOO or RAIO, check that the:               <ul style="list-style-type: none"> <li>○ Relevant legal frameworks allow for this delegation.</li> <li>○ Responsibility for the delegated functions and activities is retained by the delegating State.</li> <li>○ Delegated functions and activities are clearly defined and documented.</li> <li>○ Competency requirements for performing the delegated functions and activities are clearly defined and documented.</li> <li>○ The State has a process to review and monitor the performance of the delegated entities.</li> </ul> </li> </ul>							
	Present	Suitable	Operating				Effective	
	The State established and documented an SSP in accordance with Annex 19. The SSP is documented and coordinated with all appropriate State aviation organizations.	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.	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.				The SSP document, gap analysis, and implementation plan are periodically reviewed for currency and content and updated as appropriate.	

## 1.2 STATE SAFETY POLICY, OBJECTIVES AND RESOURCES (ANNEX 19 CHAPTER 3.2)

### 1.2.1 PRIMARY AVIATION LEGISLATION (CE-1)

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
<b>Assessment</b>	1.2.1.1						
	1.2.1.2						
	1.2.1.3						
	1.2.1.4						
<b>What to look for</b>							
<b>Guidance</b>	<ul style="list-style-type: none"> <li>• Check that the aviation laws address:                             <ul style="list-style-type: none"> <li>○ State authority to regulate the aviation industry.</li> <li>○ State requirements and responsibilities consistent with the Convention on International Civil Aviation (to include applicable annexes).</li> <li>○ Oversight and management of civil aviation safety based on size and complexity.</li> <li>○ Enforcement of regulations through the relevant authorities or agencies.</li> <li>○ Access to aircraft, operations, facilities, personnel, and associated records, as applicable, of organizations performing an aviation activity.</li> <li>○ Periodic review for content and currency and updates as appropriate.</li> </ul> </li> <li>• Check that the enforcement policies address:                             <ul style="list-style-type: none"> <li>○ Conditions and measures under which the State carries out enforcement policies.</li> <li>○ Conditions under which punitive action is considered (e.g., illegal activity, negligence, or willful misconduct).</li> <li>○ Conditions and allowances for service providers to manage and resolve certain safety issues, within the context of an approved SMS.</li> <li>○ Promotion of behaviors consistent with a positive safety culture.</li> <li>○ Periodic review for content and currency and updates as appropriate.</li> </ul> </li> </ul>						
	<b>Present</b>	<b>Suitable</b>	<b>Operating</b>			<b>Effective</b>	
	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.	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.	The aviation industry is regulated consistent with its laws. The enforcement of regulations is performed by relevant authorities having access to regulated entities.			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		P	S	O	E	How it is achieved	Comments
<b>Assessment</b>	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.					
<b>What to look for</b>							
<b>Guidance</b>	<ul style="list-style-type: none"> <li>• Check that primary aviation legislation provides for the promulgation of specific operating regulations.</li> <li>• Check that specific operating regulations addresses: <ul style="list-style-type: none"> <li>○ National requirements emanating from the primary aviation legislation.</li> <li>○ Standardization of operational procedures, products, services, equipment, and infrastructures.</li> <li>○ Applicable ICAO Annexes and SARPs.</li> <li>○ Specific risks that exist in the State’s civilian aviation system.</li> <li>○ Guidance material that provides additional information and interpretation of the regulations (also check guidance material for consistency with above).</li> <li>○ Check the reviewing, authorizing, and notifying of differences to ICAO, as well as the periodic review of differences that have been previously notified.</li> </ul> </li> </ul>						
	<b>Present</b>		<b>Suitable</b>		<b>Operating</b>		<b>Effective</b>
	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.		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.		There is regulatory standardization of operations, procedures, products, services, equipment, and infrastructures throughout the aviation industry. ICAO is notified of differences to ICAO Annexes.		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)

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
1.2.3.1	The State established relevant authorities or agencies, as appropriate.						
1.2.3.2	The relevant authorities or agencies are supported by sufficient qualified personnel and are provided with adequate financial resources for the management of safety.						
1.2.3.3	The State authorities or agencies have stated safety functions and objectives to fulfil its safety management responsibilities.						
1.2.3.4	The State ensures that qualified personnel performing safety oversight functions are recruited and retained.						
1.2.3.5	The State uses a methodology to determine their staffing requirements for personnel performing safety oversight functions, considering the size and complexity of the aviation activities in their State.						
1.2.3.6	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.						
<b>What to look for</b>							
<ul style="list-style-type: none"> <li>• Check that relevant authorities or agencies: <ul style="list-style-type: none"> <li>○ Are established (considering the importance of functional independence).</li> <li>○ Have a process to determine staffing requirements to ensure sufficient qualified personnel (based on size and complexity).</li> <li>○ Have established objectives, functions, roles, and responsibilities (to include the relationships of such organizations).</li> <li>○ Have a process to determine the necessary resources for the management of safety, which is approved by senior management within the State.</li> <li>○ Take the necessary measures to ensure staff recruitment and retention including the remuneration and conditions of service.</li> <li>○ Ensure senior management has the authority and responsibility for the management of safety and the control of the necessary resources.</li> <li>○ Provide guidance to address ethics, personal conduct, and the avoidance of actual or perceived conflicts of interest.</li> <li>○ Periodically review the availability of necessary resources.</li> </ul> </li> </ul>							
<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
The State established and documented relevant authorities or agencies with stated safety functions and objectives.		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.			Authorities or agencies perform stated safety oversight functions, possess qualified personnel, and are provided with appropriate guidance and adequate financial resources.		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		P	S	O	E	How it is achieved	Comments
Assessment	1.2.3.7						
	1.2.3.8						
	1.2.3.9						
<b>What to look for</b>							
Guidance	<ul style="list-style-type: none"> <li>• Check for documentation (that identifies, defines, and documents SSP requirements, obligations, functions, and activities).</li> <li>• Check that the safety policy: <ul style="list-style-type: none"> <li>○ Is signed by senior management and communicated throughout the State</li> <li>○ Reflects the following senior management commitment: <ul style="list-style-type: none"> <li>• To provide the necessary resources (for the implementation and maintenance of the SSP).</li> <li>• To achieve the highest (possible) safety standards.</li> <li>• To continuous improvement of the SSP.</li> <li>• To the promotion of a positive safety culture periodically reviewed for content and currency and updated as appropriate.</li> </ul> </li> </ul> </li> <li>• Check that safety objectives consider: <ul style="list-style-type: none"> <li>○ Safety performance monitoring and measurement.</li> <li>○ The promotion of a positive safety culture in the aviation community.</li> <li>○ Promotion and communication of the safety objectives throughout the aviation community.</li> </ul> </li> </ul> <p>Periodic review for content and currency to ensure the objectives remain relevant and appropriate to the State.</p>						
	<b>Present</b>	<b>Suitable</b>	<b>Operating</b>			<b>Effective</b>	
	Requirements, obligations, functions, and activities regarding the establishment and maintenance of the SSP are identified, defined, and documented. Safety policy and objectives are established.	The established safety policy and safety objectives reflect management commitment and are based on the size and complexity of the aviation system.	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.			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		P	S	O	E	How it is achieved	Comments
<b>Assessment</b>	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.					
<b>What to look for</b>							
<b>Guidance</b>	<ul style="list-style-type: none"> <li>• Check for minimum qualification requirements for the technical personnel performing safety-related functions.</li> <li>• Check that the State can assess competency of its technical personnel.</li> <li>• Check that training is available to maintain and enhance the competence of technical personnel.</li> <li>• Check that the training includes both initial and recurrent training.</li> <li>• Check to ensure a methodology exists to document, review, and maintain training records for technical personnel.</li> <li>• Check that training programs equip technical personnel performing safety-related functions with skills to:               <ul style="list-style-type: none"> <li>○ Assess service providers' SMS.</li> <li>○ Evaluate service provider safety performance.</li> </ul> </li> <li>• Check that the training and qualification program is periodically reviewed for content and currency and updated as appropriate.</li> </ul>						
	<b>Present</b>		<b>Suitable</b>		<b>Operating</b>		<b>Effective</b>
	Minimum qualification requirements are established and documented, initial and recurrent training is provided, and training records are maintained for qualified technical personnel.		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.		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.		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		P	S	O	E	How it is achieved	Comments
Assessment	1.2.5.1						
	1.2.5.2						
<b>What to look for</b>							
Guidance	<ul style="list-style-type: none"> <li>• Interview technical personnel to ensure that they:                             <ul style="list-style-type: none"> <li>○ Can perform safety oversight functions in a standardized manner.</li> <li>○ Are provided appropriate facilities, equipment, and transportation to conduct safety oversight functions.</li> <li>○ Are provided guidance materials and procedures to conduct safety oversight functions in a timely manner.</li> <li>○ Are provided safety-critical information to conduct safety oversight functions.</li> </ul> </li> <li>• Check that technical guidance materials, procedures, and tools are provided to the aviation community and:                             <ul style="list-style-type: none"> <li>○ Ensure effective implementation of relevant regulations.</li> <li>○ Are provided in a timely manner to the aviation industry.</li> <li>○ Are periodically reviewed for content and currency and updated as appropriate.</li> </ul> </li> </ul>						
	<b>Present</b>	<b>Suitable</b>	<b>Operating</b>			<b>Effective</b>	
	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.	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.	Technical personnel perform safety oversight functions using adequate resources provided by the State. Technical guidance is provided on regulatory implementation.			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 (ANNEX 19 CHAPTER 3.3)

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

Indicators of compliance and performance		P	S	O	E	How it is achieved	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.							
Guidance	<b>What to look for</b>							
	<ul style="list-style-type: none"> <li>• Check that processes and procedures are documented to ensure that individuals and organizations meet established requirements.</li> <li>• Check that individuals and organizations meet requirements before they are allowed to exercise privileges of a license, certificate, authorization, or approval.</li> <li>• Check that the processes and procedures are periodically reviewed for content and currency and updated as appropriate.</li> </ul>							
	<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
	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. .		The processes and procedures for licensing, certificating, authorizing, or approving aviation activities are based on the size and complexity of the aviation system.			Individuals and organizations performing an aviation activity are meeting established requirements before they are allowed to conduct the relevant aviation activity.		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		P	S	O	E	How it is achieved	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.					
Guidance	<b>What to look for</b>						
	<ul style="list-style-type: none"> <li>• Check for SMS requirements for the following service providers:               <ul style="list-style-type: none"> <li>○ Approved training organizations, in accordance with Annex 1.</li> <li>○ Operators of airplanes or helicopters authorized to conduct international commercial air transport, in accordance with Annex 6.</li> <li>○ Approved maintenance organizations providing services to operators of airplanes or helicopters engaged in international commercial air transport, in accordance with Annex 6.</li> <li>○ Organizations responsible for the design or manufacture of aircraft, engines, or propellers in accordance with Annex 8.</li> <li>○ Air traffic service (ATS) providers in accordance with Annex 11.</li> <li>○ Operators of certified aerodromes in accordance with Annex 14, Volume I.</li> </ul> </li> <li>• Check for guidance material to industry that is related to the implementation of SMS based on the SMS framework in accordance with Annex 19.</li> <li>• Check that SMS regulations and guidance take into consideration the service provider's size and complexity.</li> <li>• Check that there is a process for acceptance of a service provider's or operator's safety performance indicators (ensure state-level risks are considered).</li> <li>• Check that service provider and operator safety performance indicators and targets are acceptable to the State.</li> <li>• Check for guidance to assess the adequacy and applicability of a service provider's or operator's process for developing safety performance indicators</li> </ul>						
	<b>Present</b>		<b>Suitable</b>		<b>Operating</b>		<b>Effective</b>
	There are documented State requirements for service providers listed in Annex 19 to implement an SMS.		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.		Service providers, listed in Annex 19 implemented SMS in accordance with the SMS framework. Service provider safety performance indicators are acceptable to the State.		The State's SMS requirements and acceptance of safety performance indicators and targets are periodically reviewed for content and currency and updated as appropriate.

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	1.3.2.3	The State of Registry established criteria for international general aviation operators of large or turbojet airplanes to implement an SMS.						
	1.3.2.4	The criteria established by the State of Registry addresses the SMS framework.						
Guidance	What to look for							
	<ul style="list-style-type: none"> <li>• Check for criteria for international general aviation operators of large or turbojet airplanes, in accordance with Annex 6, to implement an SMS.</li> <li>• Check that international general aviation operators, who are required to implement an SMS, addressed the SMS framework contained in Annex 19.</li> <li>• Check for guidance material provided to international general aviation operators related to the implementation of SMS.</li> <li>• Check that SMS regulations and guidance take into consideration the size and complexity of the operator.</li> <li>• Check that guidance materials exist for State personnel to assess the adequacy of the international general aviation operator's SMS.</li> <li>• Check that the State has a process for acceptance of international general aviation operators' SMS.</li> <li>• Check that the international general aviation operators' SMS are periodically reviewed and remain relevant.</li> </ul>							
	Present		Suitable			Operating		Effective
	There is documented criteria for international general aviation operators of large or turbojet airplanes to implement an SMS based on the SMS framework.		Criteria requiring international general aviation operators of large or turbojet airplanes to implement an SMS is based on the size and complexity of the aviation system.			General aviation operators of large or turbojet airplanes implemented a State-accepted SMS based on the SMS framework in Annex 19.		The State of Registry's SMS criteria for international general aviation operators of large or turbojet airplanes is periodically reviewed for content and currency and updated as appropriate.

### 1.3.3 ACCIDENT AND INCIDENT INVESTIGATION

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	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								
	<ul style="list-style-type: none"> <li>• Check that there is an accident and incident investigation authority and/or process in accordance with Annex 13.</li> <li>• Check that the independence of the accident and incident investigation authority/process from other government aviation organizations is maintained.</li> <li>• Check that the accident investigation authority has independence in the conduct of investigations and unrestricted authority over the investigation's conduct.</li> <li>• Check that accident and incident investigation authority/process objective is to prevent accidents and incidents and promote a positive and just safety culture.</li> <li>• Check for means to ensure appropriate safety measures are taken after safety recommendations are issued by the accident and investigation authority.</li> <li>• Check that the accident and incident investigation process is periodically reviewed to ensure it remains relevant to the State.</li> </ul>								
	Present		Suitable			Operating		Effective	
	There is an independent accident and incident investigation authority and/or process.		An independent accident and incident investigation authority and/or process is established based on the size and complexity of the aviation system.			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.		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

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
	1.3.4.1	The State established and maintains a process to identify hazards from collected safety data.							
	1.3.4.2	The State developed and maintains a process that ensures assessment of safety risks associated with identified hazards.							
Guidance	What to look for								
	<ul style="list-style-type: none"> <li>• Check for a detailed processes to identify, track, and monitor State-level hazards.</li> <li>• Check for a State process to assess safety risks.</li> <li>• Check that the State possesses personnel with expertise in safety risk management principles.</li> <li>• Check that the hazard identification and risk assessment processes are based on the size and complexity of the State’s aviation system. <ul style="list-style-type: none"> <li>○ The State has processes to prioritize safety risks based on the assessed likelihood and severity.</li> </ul> </li> <li>• The process to identify hazards and assess safety risk is periodically reviewed for content and currency and updated as appropriate.</li> </ul>								
	Present		Suitable			Operating		Effective	
	There are documented processes to identify hazards from collected safety data and the assessment of associated safety risks.		The process to identify safety hazards and assess safety risks is based on the size and complexity of the aviation system.			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.		The processes to identify hazards and assess safety risks are reviewed for content and currency and updated as appropriate.	

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

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
<b>Assessment</b>	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.						
<b>What to look for</b>								
<b>Guidance</b>	<ul style="list-style-type: none"> <li>Check for a process, with clearly defined objectives, to take appropriate actions to resolve safety issues that includes: <ul style="list-style-type: none"> <li>The types of actions that can be taken.</li> <li>Timeframes for corrective measures to be completed.</li> <li>Corrective measures that are tracked, monitored, and evaluated to ensure that service provider deficiencies are corrected.</li> <li>Requirements for service providers to address non-compliances and identify the root causes of the contributing factors for those non-compliances.</li> <li>Requirements for service providers to develop corrective actions that ensure non-compliances do not recur by addressing the root causes.</li> <li>Requirements for service providers to develop corrective actions that ensure the identified non-compliances are corrected in a timely manner.</li> </ul> </li> <li>Check that the process ensures all deficiencies and/or safety issues are addressed in a standardized manner.</li> <li>Check for a progressive approach of escalation to the actions the State takes, based on the severity of the findings.</li> <li>Check for a method to take more serious actions when the service provider does not respond appropriately to a request for corrective actions.</li> </ul>							
	<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
	There is a documented process to take appropriate actions to resolve identified safety issues in a timely manner.		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.			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.		The process to resolve identified safety issues is periodically reviewed for content and currency and updated as appropriate.

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
	1.3.5.4	The State has and maintains a process to manage safety risks.							
Guidance	What to look for								
	<ul style="list-style-type: none"> <li>• Check for a safety risk management process that is documented and maintained.</li> <li>• Check that the safety risk management process assesses root causes and underlying factors associated with risk.</li> <li>• Check that the safety risk management process includes risk management strategies (risk acceptance, risk control, risk avoidance, and/or risk control transfer).</li> <li>• Check for guidance material on the safety risk management process.</li> <li>• Check that the safety risk management process is reviewed for content and currency and updated as appropriate.</li> </ul>								
	Present		Suitable			Operating		Effective	
	There is a process to manage safety risks that includes risk management strategies.		Risk management processes are detailed in guidance material and are based on the size and complexity of the aviation system.			Safety risks are managed through assessment of root causes and underlying factors and the use of risk management strategies.		The process to manage safety risks is periodically reviewed for content and currency and updated as appropriate.	



## 1.4 STATE SAFETY ASSURANCE (ANNEX 19 CHAPTER 3.4)

### 1.4.1 SURVEILLANCE OBLIGATIONS (CE-7)

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
Assessment	1.4.1.1							
	1.4.1.2							
	1.4.1.3							
	1.4.1.4							
<b>What to look for</b>								
Guidance	<ul style="list-style-type: none"> <li>• Check for a surveillance process with clearly stated objectives and documented procedures.</li> <li>• Check that the surveillance processes:               <ul style="list-style-type: none"> <li>○ Define and plan inspections, audits, and monitoring activities on a continuous basis.</li> <li>○ Ensure aviation license, certificate, authorization, and approval holders meet established requirements and function at the level of competency and safety required by the State.</li> <li>○ Include the surveillance of personnel designated by the State/Authority to perform safety oversight functions on its behalf.</li> <li>○ Take into consideration the safety performance as well as the size and complexity of its aviation services.</li> <li>○ Are reviewed periodically for content and currency.</li> </ul> </li> </ul>							
	<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
	There are documented surveillance processes with clearly stated objectives and procedures.		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.			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.		The surveillance processes are periodically reviewed for content and currency and updated as appropriate.

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	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.						
Guidance	What to look for							
	<ul style="list-style-type: none"> <li>Check that the surveillance processes are detailed enough to ensure a standardized approach to: <ul style="list-style-type: none"> <li>Setting scope and frequency of surveillance activities based on collected safety data and other pertinent information.</li> <li>Utilization of different approaches of surveillance (inspection, audits, process review, surveys, etc.).</li> <li>Include both scheduled and unscheduled surveillance activities.</li> <li>Prioritization of surveillance activities based on service provider risk profiles, hazard identification, risk assessments, and previous surveillance outcomes.</li> <li>Measure service provider regulatory compliance with established standards.</li> <li>Assess the effectiveness of risk-based surveillance activities.</li> <li>Documenting and classifying surveillance findings of compliance and non-compliance.</li> <li>Communicating findings to service providers.</li> </ul> </li> <li>Check for a process to periodically review the safety performance of an individual service provider for content and currency.</li> </ul>							
	Present	Suitable	Operating			Effective		
	There are documented processes and procedures to prioritize surveillance activities towards areas of greater safety concern or need.	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.	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.			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		P	S	O	E	How it is achieved	Comments	
Assessment	1.4.2.1							
	1.4.2.2							
	1.4.2.3							
<b>What to look for</b>								
Guidance	<ul style="list-style-type: none"> <li>• Check for the necessary procedures to assess the safety performance of service providers.</li> <li>• Check the process for establishing and managing the Acceptable Level of Safety Performance (ALoSP).</li> <li>• Check that the State seeks to achieve the ALoSP through:               <ul style="list-style-type: none"> <li>○ Implementation of safety related SARPs.</li> <li>○ Implementation and maintenance of the SSP.</li> <li>○ Development and monitoring of safety performance indicators and targets showing that safety is effectively managed to the ALoSP.</li> </ul> </li> <li>• Check if guidance exists to assess the adequacy and applicability of the ALoSP.</li> <li>• Check that the ALoSP and associated safety indicators are appropriate and relevant to the size and complexity of the State’s aviation activities.</li> <li>• The ALoSP is periodically reviewed for content and currency and updated as appropriate.</li> </ul>							
	<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
	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.		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.			The State is achieving an ALoSP through the management of safety risks, resolution of safety issues, and improvement of the overall level of safety performance.		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 (ANNEX 19 CHAPTER 3.5)

### 1.5.1 INTERNAL COMMUNICATION AND DISSEMINATION OF SAFETY INFORMATION

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
Assessment	1.5.1.1						
	1.5.1.2						
<b>What to look for</b>							
Guidance	<ul style="list-style-type: none"> <li>• Check for processes to share and exchange safety information with relevant State aviation organizations and employees.</li> <li>• Check and interview individuals and employees of State aviation organizations for awareness of shared and exchanged safety information.</li> <li>• Check for a feedback process for State aviation organizations and employees to provide inputs regarding shared or exchanged safety information.</li> <li>• Check for a process to measure the effectiveness of safety information sharing and exchange with its relevant State organizations.</li> <li>• Check for State communication on SSP roles and interview pertinent State organizations and employees on their role in the SSP.</li> <li>• Check for senior management commitment to the SSP through active and visible participation.</li> <li>• The SSP is communicated so that state aviation organizations and employees are made aware of their contributions and obligations with regard to the SSP.</li> </ul>						
	<b>Present</b>	<b>Suitable</b>		<b>Operating</b>			<b>Effective</b>
	There is a documented process to promote safety awareness and the sharing and exchange of safety information with State organizations.	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.		State aviation organizations share and exchange safety information and communicate to all pertinent organizations and individuals their roles in the SSP			State processes that promote safety awareness and the sharing and exchange of safety information within the State 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		P	S	O	E	How it is achieved	Comments	
<b>Assessment</b>	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.						
<b>What to look for</b>								
<b>Guidance</b>	<ul style="list-style-type: none"> <li>• Check for processes that promote safety awareness and the sharing and exchange of safety information with the aviation community.</li> <li>• Check that the State facilitates the participation of the aviation community regarding safety information sharing and exchange opportunities.</li> <li>• Check that the process ensures safety information is communicated with the aviation community in a timely manner (e.g., web-based communication).</li> <li>• Check that the process ensures safety information is communicated to the general public.</li> <li>• Check that safety information is updated on a regular basis and is disseminated.</li> <li>• Check for the communication of a positive safety culture in the promotion of safety awareness and the sharing and exchange of safety information.</li> <li>• Check that the State identifies safety training that is accessible to the aviation community.</li> <li>• Check for participation in regional and global conferences, workshops, and training courses.</li> <li>• Check that the SSP document is available to the aviation community.</li> <li>• Check for a means to ensure the aviation community is aware of the SSP documentation.</li> <li>• Check that safety policy, enforcement policy, and aggregate safety indicators from the SSP are in the safety information communication and sharing process.</li> </ul>							
	<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
	There is a process to promote safety awareness and the sharing and exchange of safety information with the aviation community.		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.			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.		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 (ANNEX 19 CHAPTER 5.1)

### 2.1 SAFETY DATA COLLECTION AND PROCESSING SYSTEMS

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
<b>Assessment</b>	2.1.1							
	2.1.4							
	2.1.5							
<b>What to look for</b>								
<b>Guidance</b>	<ul style="list-style-type: none"> <li>• Check for SDCPS that collect:               <ul style="list-style-type: none"> <li>○ Mandatory and voluntary safety reports.</li> <li>○ Data/information from surveillance activities.</li> <li>○ Data/information from accidents and incidents.</li> </ul> </li> <li>• Check that Authorities with responsibilities to implement and maintain the SSP have access to relevant portions.</li> <li>• Check for legislation and processes that provide appropriate protection for the data (from disclosure) and the source of the data (from inappropriate action).</li> <li>• Check that data/information in different SDCPS are stored in a manner that facilitates analysis including potential cross-sector hazards.</li> </ul>							
	<b>Present</b>	<b>Suitable</b>	<b>Operating</b>			<b>Effective</b>		
	There are SDCPS to capture, store, aggregate, and enable the analysis of safety data and safety information.	The SDCPS contains a standardized taxonomy and is based on the size and complexity of the aviation system.	State authorities have access to SDCPS to enable the analysis of safety data and information to support their safety activities.			SDCPS and the standardized taxonomy are reviewed periodically for currency and content and updated as appropriate.		

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
	2.1.2	The State established a mandatory safety reporting system that includes the reporting of incidents.							
Guidance	What to look for								
	<ul style="list-style-type: none"> <li>• Check for a mandatory safety reporting system to include the reporting of incidents as part of its SDCPS.</li> <li>• Check for criteria for the type of mandatory reports to be submitted by service providers.</li> <li>• Check for the use of a standardized taxonomy (e.g., the Accident/Incident Data Reporting [ADREP] system).</li> <li>• Check that mandatory safety reports are stored in SDCPS in a manner that facilitates classification, analysis, and retrieval.</li> <li>• Check that mandatory safety reports are protected from inadvertent disclosure.</li> <li>• Check that mandatory safety reports are promptly submitted by relevant service providers when there is an incident.</li> <li>• Check that service providers' mandatory reports include sufficient information and details to allow for a detailed analysis.</li> <li>• Check for a process to periodically review the effectiveness of the mandatory reporting system.</li> </ul>								
	Present		Suitable			Operating		Effective	
	There is a mandatory safety reporting system that includes the reporting of incidents		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.			Mandatory and voluntary safety reports, data/information from surveillance activities, accidents and incidents are collected in SCDPS.		Mandatory safety reports and SDCPS are reviewed periodically for currency and content and updated as appropriate.	

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments
	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.						
Guidance	What to look for							
	<ul style="list-style-type: none"> <li>Check for a voluntary safety reporting system to include the reporting of incidents as part of its SDCPS. <ul style="list-style-type: none"> <li>Check for criteria for the type of voluntary reports to be submitted by service providers.</li> <li>Check for a standardized taxonomy (e.g., ADREP).</li> <li>Check that mandatory safety reports are stored in SDCPS in a manner that facilitates classification, analysis, and retrieval.</li> <li>Check that mandatory safety reports are protected from inadvertent disclosure.</li> <li>Check that mandatory safety reports are promptly submitted by relevant service providers when there is an incident.</li> <li>Check that service providers' mandatory reports include sufficient information and details to allow for a detailed analysis.</li> <li>Check for a process to periodically review the effectiveness of the mandatory reporting system.</li> </ul> </li> <li>Check for awareness in the aviation community of State voluntary reporting systems.</li> <li>Check and interview the aviation industry for trust in and supports for State voluntary safety reporting systems. <ul style="list-style-type: none"> <li>Check for a process to evaluate the effectiveness of the voluntary reporting system.</li> </ul> </li> </ul>							
	Present	Suitable	Operating			Effective		
	There is a voluntary safety reporting system, with documented processes that includes the reporting of incidents	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.	Service providers and the aviation community trust and support voluntary safety reporting. Voluntary safety reports are submitted promptly and contain sufficient information and details.			Voluntary safety reports and SDCPS are reviewed periodically for currency and content and updated as appropriate.		



## 2.2 SAFETY DATA AND SAFETY INFORMATION ANALYSIS

Assessment	Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
	2.2.1	The State establishes and maintains a process to analyze the safety data and safety information from the SDCPS and associated safety databases.							
Guidance	What to look for								
	<ul style="list-style-type: none"> <li>• Check for processes to analyze the safety data and safety information from the SDCPS and associated safety databases.</li> <li>• Check that the analysis performed by the State can identify systemic sector hazards not otherwise identified by individual service providers and operators.</li> <li>• Check that the analysis performed by the State can identify systemic cross-sector hazards not otherwise identified by individual sectors.</li> <li>• Check that hazards are analyzed to assess the level of risk associated with each hazard.</li> <li>• Check that the process includes both proactive and reactive methods of safety data analysis.</li> <li>• Check for a process to prioritize hazards based on risk.</li> <li>• Check to ensure hazards and are acted upon based on the prioritization of risk.</li> <li>• Check for processes to periodically review the analysis of safety data and safety information from SDCPS and associated databases for content and currency.</li> </ul>								
	Present		Suitable			Operating		Effective	
	There is a process to analyze the safety data and safety information from the SDCPS and associated safety databases.		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.			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.		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.	

## 2.3 SAFETY DATA AND SAFETY INFORMATION PROTECTION

Indicators of compliance and performance		P	S	O	E	How it is achieved	Comments	
Assessment	2.3.1							
	2.3.2							
	2.3.3							
Guidance	<b>What to look for</b>							
	<ul style="list-style-type: none"> <li>• Check national laws, regulations, and policies protecting safety data, safety information, and related sources to ensure:               <ul style="list-style-type: none"> <li>○ A balance is struck between the need to protect safety data, safety information, and related sources and the need to properly administer justice.</li> <li>○ The conditions under which safety data, safety information, and related sources qualify for protection are specified.</li> <li>○ Safety data and safety information is made available to the aviation community for the purpose of maintaining or improving aviation safety.</li> <li>○ The protection of safety data and safety information extends to mandatory and voluntary safety reporting systems.</li> </ul> </li> <li>• Check that, unless a principle of exception (in accordance with Appendix 3) applies, safety data or safety information is not used:               <ul style="list-style-type: none"> <li>○ For disciplinary, civil, administrative, or criminal proceedings against employees, operational personnel, or organizations and/or disclosure to the public.</li> <li>○ In a way different from the purposes for which they were collected.</li> </ul> </li> <li>• 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.</li> </ul>							
	<b>Present</b>		<b>Suitable</b>			<b>Operating</b>		<b>Effective</b>
	There are national laws, regulations, and policies protecting safety data, safety information, and related sources. The protection extends to mandatory and voluntary reporting systems.		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.			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.		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		P	S	O	E	How it is achieved	Comments
<b>Assessment</b>	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 consider the principles specified in Appendix 3.					
<b>What to look for</b>							
<ul style="list-style-type: none"> <li>• Check for measures by the State to encourage mandatory and voluntary safety reporting through SDCPS and other sources.</li> <li>• Check for the adjusting of applicable laws, regulations, and policies, as necessary, to facilitate the promotion of safety reporting.</li> <li>• Check for advance agreements between authorities, State bodies, and organizations responsible for the administration of justice that promote safety reporting.</li> <li>• Check for a process to periodically review the measures, facilitation, and advance agreements instituted by the State for currency and content.</li> </ul>							
<b>Guidance</b>	<b>Present</b>		<b>Suitable</b>		<b>Operating</b>		<b>Effective</b>
	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.		The process to encourage, facilitate, and promote safety reporting is based on the size and complexity of the aviation system.		State measures, facilitation, and advance agreements promote safety reporting. State laws are adjusted to promote a positive safety culture.		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		P	S	O	E	How it is achieved	Comments
<b>Assessment</b>	2.4.1						
	2.4.2						
<b>What to look for</b>							
<b>Guidance</b>	<ul style="list-style-type: none"> <li>• Check for processes by which the State forwards timely safety information in its SDCPS on identified safety matters to other interested States.</li> <li>• Check for agreements with other States on the level of protection and the conditions on which safety information will be shared (see Appendix 3).</li> <li>• Check for promotion of safety information sharing or exchange networks among users of the aviation system.</li> <li>• Check for the facilitation of sharing and exchange of safety information unless national law provides otherwise.</li> <li>• Check and interview aviation system users for safety information sharing or exchange networks.</li> <li>• Check for a process to review forwarding of safety information to other States and safety information sharing or exchange networks.</li> </ul>						
	<b>Present</b>	<b>Suitable</b>	<b>Operating</b>			<b>Effective</b>	
	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.	The processes to forward safety information and promote information sharing and exchange is based on the size and complexity of the aviation system.	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.			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.	