

SSP *Factsheet*



Planning and Conducting Surveillance Based on Risk Profiling and Performance Monitoring

Traditional safety oversight was established based on a set of prescriptive rules designed to assure safety. These rules were supported by a compliance-based oversight approach and established the foundation for the civil aviation system that delivers the safe aviation environment in which we operate today. Consequently, compliance to the rules as well as compliance-based oversight remain a “must.”

In recognition of the fact that the pace of change in the modern world can no longer be regulated by prescriptive rules alone, the traditional approach is complemented by ICAO Annex 19 (Safety Management), which provides a strategy to manage aviation safety risks, improve safety performance, and enhance the oversight by supplementing the compliance-based approach with risk-based and performance-based oversight methods.

Consequently, the SM ICG has developed three separate guidance documents that provide details in this regard.

SM ICG Related Documents



Sector Safety Risk Profiling at the State Level

<https://skybrary.aero/articles/sector-safety-risk-profiling-state-level>



Risk-Based and Performance-Based Oversight Guidance

<https://skybrary.aero/articles/risk-based-and-performance-based-oversight-guidance>



Safety Oversight Following the Implementation of SMS

<https://skybrary.aero/articles/safety-oversight-following-implementation-sms-0>

Risk-Based Oversight

Performance-Based Oversight

Safety Risk Profile

Sector Safety Risk Profiling at the State Level

In this paper you will find guidance addressing:

- The benefits of sector risk profiling in supporting the State Safety Programme (SSP) for risk management and safety oversight planning at the sector level
- How to develop a process for sector risk profiling, establishing sectors, identification and assessment of sector risks, evaluation of risk controls, and monitoring sector performance
- How to engage and communicate with external sector stakeholders
- How to document the sector risk profile, including examples

Risk-Based and Performance-Based Oversight Guidance

In this paper you will find guidance addressing:

- The meaning of the terms risk-based, compliance-based, and performance-based as applied to safety oversight
- How to develop an organizational risk profile, including the structure of the profile, the use of quantitative and qualitative indicators, the benefits of a common scoring scale, and the use of expert judgment to support the process
- How to analyze the results of an organization risk profile to support risk-based oversight planning
- Updating the organization risk profile based on feedback from oversight activities (such as audits and inspections)

Safety Oversight Following the Implementation of SMS

In this paper you will find guidance addressing:

- The benefits of a collaborative approach between State's oversight authorities and organizations with SMS in improving safety performance and fostering a positive safety culture
- Overview of the contribution of sector and organization risk profiling to oversight planning
- Detailed guidance on surveillance planning (frequency and scope) including initial and final preparation, regulator competencies, attitudes, and behaviors
- Detailed guidance on conducting oversight including assessing the SMS (compliance and performance), gathering evidence, dealing with multiple certificate holders, and following-up with the organization
- Detailed guidance on continuous improvement, documentation, and feedback, including change management; documenting outputs, including non-compliances, areas of good performance, areas for improvement, and emerging risks; and feedback to organizations and to organization risk profiles

Process for Planning and Conducting Oversight

This graphic demonstrates a process for planning and conducting oversight based on risk profiling.

