

SM ICG

State Safety Program (SSP) Assessment Tool



Safety Management

International Collaboration Group

SM ICG SSP Assessment Tool Guidance

Background and Purpose

This tool has been developed by the Safety Management International Collaboration Group (SM ICG) to be used for assessing a State Safety Program (SSP). Use of this tool is voluntary; however, it 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. It requires an interaction with all SSP stakeholders including face-to-face discussions and interviews with a cross section of people as part of the assessment. It has been designed to indicate the State's level of compliance with the International Civil Aviation Organization (ICAO) SSP Framework. It also attempts to integrate the SSP approach and the Eight Critical Elements (CE) of a Safety Oversight System, where applicable. It also has been developed to harmonize SSP implementation and assessment globally, thereby establishing a common standard for evaluating compliance and effectiveness of the SSP. Furthermore, the tool has also been designed to allow any State to use and adapt the tool to serve its own purposes based on the size and complexity of the State's aviation system. Rather than remove elements, States should define how they interpret each element within their own Civil Aviation systems.). This tool can also be used to assess or compare another State's SSP and serves as the basis for accepting a service provider SMS that has been approved by 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 desk top review of the documentation that focuses on assessing whether the expectations of compliance and performance are present and suitable. Once the desk top review has been satisfied, evidence should be collected to assess whether the expectations are met (present, operating, and suitable). 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 produces the desired result each time. The collection of evidence should normally be carried out by a team including 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 are throughout the organization. For example, determining the extent that the safety policy has been promulgated and understood by staff will require interaction with a cross-section of personnel.

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 SSP Framework is modified or as States mature and learn more about SSP.

Competencies

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

- SSP based on the ICAO SSP and State Safety Oversight Frameworks;
- Understanding of compliance and auditing;
- Interview techniques;
- Understanding of risk management;
- Appreciation of the difference between compliance and performance for SSP effectiveness; and
- Report writing techniques to allow narrative to be used to summarize the assessment.

It is recommended that staff are not only trained to use the tool in the classroom environment, but that they are provided additional training during a live assessment to familiarize themselves with the tool and its practical use.

Using the Tool (Instructions)

This tool evaluates the compliance and effectiveness of the SSP through a series of requirement questions. It also considers the Eight Critical Elements (CE) of a Safety Oversight System since there is commonality between the SSP Framework and the Eight Critical Elements (CE) of a Safety Oversight System. Thus, in this tool, SM ICG has taken a holistic view of a State's capabilities to manage safety within its aviation system, whereby both requirements of SSP and State Safety Oversight are considered in an integrated manner.

The tool was developed using 11 elements of the ICAO SSP Framework and the applicable Eight Critical Elements (CE) of a Safety Oversight System with the SSP Framework description, followed by requirement statements for the elements. For each element, a series of **expectations** for compliance and performance is listed. Each requirement should be reviewed to determine whether the expectations are being met and are present, suitable, operating and effective, using the definitions and guidance below, so that the overall effectiveness of the element can be justified and supported. Furthermore, the tool can be used by the State to record and document the assessment.

Applicability

This assessment tool can be used to assess any State's SSP. However, due consideration should be given to the size, nature, and complexity of the State's aviation system.

Definitions Used in the Tool

- **Present**

There is evidence that the requirement is in place and documented within the State's SSP.

- **Suitable**

The requirement is being met and is suitable given the size and complexity of the State's aviation system and the inherent risk in the system.

- **Operating**

There is evidence that the requirement is being met, is in use, and an output is being produced.

- **Effective**

There is evidence that the requirement is effective and achieving the desired outcome.

Note: For a requirement to be considered present, suitable, operating, and effective all the expectations must be met.

Evidence

Evidence includes documentation, reports, records of interviews, and discussions and is likely to vary for different requirements. For example, for an expectation to be present the evidence is likely to be documented only, whereas assessing whether it is operating may involve assessing records as well as face-to-face discussions with personnel.

The **How it is achieved** column should include summary statements and any references to documentation and records.

Verification

The **Verification** column is for recording any observations, conversations, records, and documents sampled.

Summary Comments

Once all requirements have been assessed, a judgment can be made on whether the overall effectiveness of the element has been achieved; this should be noted in the summary comments box.

Modifying the Tool

A State may adapt the terminology and tool to meet its own national requirements, but aligning to the SM ICG version may enable harmonization across States.

Developing Procedures

Each State will need to define procedures around the use of this tool, customized to its own organizational structure and approach to SSP.

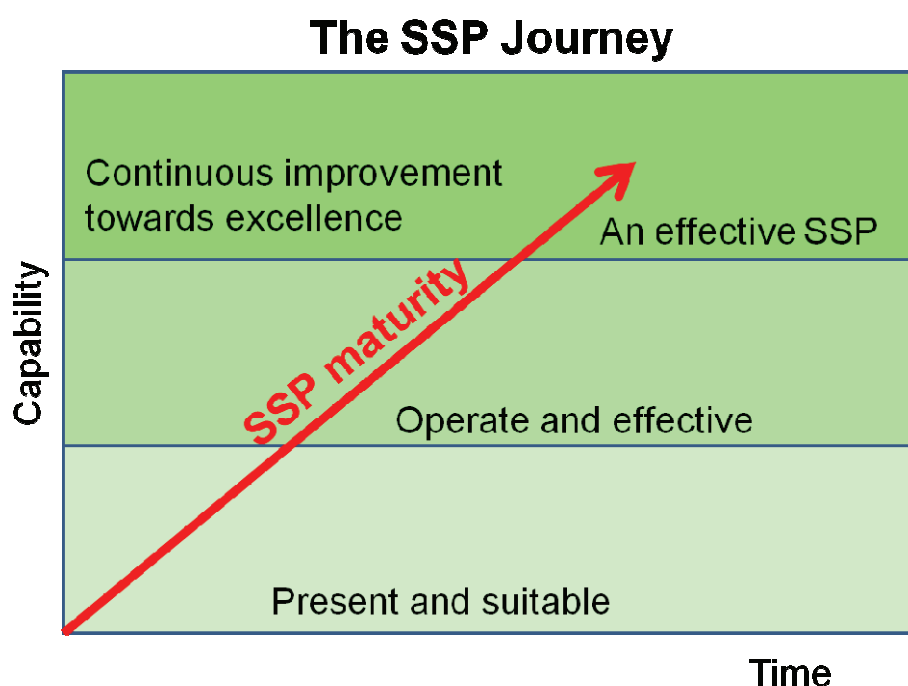
Complementary SM ICG Products

The tool should be used in conjunction with other SM ICG products located on SKYbrary at: [http://www.skybrary.aero/index.php/Safety_Management_International_Collaboration_Group_\(SM_ICG\)](http://www.skybrary.aero/index.php/Safety_Management_International_Collaboration_Group_(SM_ICG)).

The SSP Journey

For most States, SSP will take time to implement and several years to mature to a level where it is effective. The following diagram shows the different levels of SSP maturity as a State implements and develops its SSP. It also shows how the tool is used to assess the requirements against the State's SSP maturity.

The SSP Assessment Tool can be used in stages, looking initially for whether the key elements of an SSP are present and suitable. At a later stage, the SSP can be assessed for how well it is operating and effective. The State can always strive towards excellence as part of its continuous improvement programs and promote SSP excellence by including expectations for each requirement. The expectations for each requirement have been determined by the SM ICG from m experiences.



Overview of the ICAO State Safety Program Framework (Annex 19, Attachment A)

The State Safety Program should include documented processes for the following elements:

1. *State safety policy and objectives*
 - 1.1. State safety legislative framework
 - 1.2. State safety responsibilities and accountabilities
 - 1.3. Accident and incident investigation
 - 1.4. Enforcement policy
2. *State safety risk management*
 - 2.1. Safety requirements for service provider's SMS
 - 2.2. Agreement on service provider's safety performance
3. *State safety assurance*
 - 3.1. Safety oversight
 - 3.2. Safety data collection, analysis and exchange
 - 3.3. Safety data driven targeting of oversight on areas of greater concern or need
4. *State safety promotion*
 - 4.1. Internal training, communication and dissemination of safety information
 - 4.2. External training, communication and dissemination of safety information

Overview of the ICAO Eight Critical Elements of a State Safety Oversight (Annex 19, Appendix 1)

ICAO has identified and defined the following critical elements of a State's safety oversight system:

- CE-1.** Primary aviation legislation
- CE-2.** Specific operating regulations
- CE-3.** State civil aviation system and safety oversight functions
- CE-4.** Technical personnel qualification and training
- CE-5.** Technical guidance, tools and the provision of safety-critical information
- CE-6.** Licensing, certification, authorization and approval obligations
- CE-7.** Surveillance obligations
- CE-8.** Resolution of safety concerns

1. STATE SAFETY AND POLICY OBJECTIVES (SSP Component)

CE 1 – Primary Legislation

CE 2 – Operating Regulations

1.1 STATE SAFETY LEGISLATIVE FRAMEWORK (SSP Framework)

The State has promulgated a national safety legislative framework and specific regulations, in compliance with international and national standards, that define how the State will conduct the management of safety in the State. This includes the participation of State aviation organizations in specific activities related to the management of safety in the State, and the establishment of the roles, responsibilities and relationships of such organizations. The safety legislative framework and specific regulations are periodically reviewed to ensure they remain relevant and appropriate to the State.

EFFECTIVENESS is achieved when the State has promulgated a legislative framework and possesses a comprehensive set of safety regulations that are in compliance with international and national standards. Accountabilities and responsibilities are clearly defined and implemented. There is also evidence that regulations apply to all aspects of the civil aviation system and the Acceptable Level of Safety Performance (ALoSP) is maintained or improved.

INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How it is achieved	Verification
Requirement	Expectations						
1.1.1 Has the state promulgated a national safety legislative framework and specific technical regulations?	a) The legislative framework should provide the State with the necessary authority to proactively regulate the industry. b) Regulations should, as minimum meet requirements in ICAO Annexes. c) There is associated guidance material to provide additional information and interpretation of the regulatory framework.						
1.1.2 Has the State developed and implemented procedures for the periodic review and amendment of its regulations?	a) Procedures exist for reviewing regulations for currency and adequacy that includes: - Capturing and analyzing drivers that might promote regulatory change including ICAO, accident reports, emerging technologies, changes in the aviation system, etc; - Consulting with the industry; - Prioritization of those changes; and - Capturing the impact of regulatory change on the entire regulatory						

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
	structure. b) Processes and methods are in place to ensure that the safety requirements in respect to changes in the aviation system are being met. (Example a change in the Air Traffic Management (ATM) system.) c) Are the procedures efficient and do they produce results within the expected timelines. d) These procedures are documented and kept current.						
1.1.3	a) Procedures are documented. b) The procedure includes the identification of persons responsible for reviewing and authorizing the differences, and the person notifying ICAO of the differences. c) The outputs are documented and available for review.						
1.1.4	a) The record system or systems provides the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of SSP related records. (The State may have one or multiple record systems.) b) The records are retained and available for review.						
1.1.5	a) There are minimum knowledge and experience requirements for the technical personnel performing safety oversight functions. b) Appropriate training is available to maintain and enhance the competence of inspectors at the required level.						

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
	c) The training includes initial and recurrent (periodic) training. d) Appropriate processes are available to assess the adequacy of the inspector skill set.					
1.1 SUMMARY COMMENTS						

1.2 STATE SAFETY RESPONSIBILITIES AND ACCOUNTABILITIES (SSP Framework)

The State has identified, defined and documented the requirements, responsibilities, and accountabilities regarding the establishment and maintenance of the SSP. This includes the directives to plan, organize, develop, maintain, control, and continuously improve the SSP in a manner that meets the State's safety objectives. It also includes a clear statement about the provision of the necessary resources for the implementation of the SSP.

EFFECTIVENESS is achieved when there are clear lines of safety accountabilities throughout the entities responsible for maintaining and improving the SSP and the Accountable Executive and management team fully understand the risks faced by the State.

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
1.2.1	a) Has the State identified the SSP Placeholder organization as well as the Accountable Person for the administration and coordination of the SSP? b) The State has identified an Accountable/Responsible Executive at the appropriate level that has full control of resources to ensure successful implementation of the SSP. c) The Accountable/Responsible Executive is aware of his/her role in the SSP.					

INDICATORS OF COMPLIANCE + PERFORMANCE								
Requirement		Expectations	P	S	O	E	How it is achieved	Verification
1.2.2	Has the State appointed an SSP Implementation Team? (A team may be one person for a small States.) (As applicable)	a) The State has identified an SSP Implementation team that includes membership from all pertinent governmental organizations and is commensurate with the size and complexity of the States aviation system. b) The members of the team should possess appropriate knowledge, experience and competence as related to SSP implementation. c) The members of the team are aware of their role in the SSP implementation. (Note: The role of the implementation team will change once the SSP is implemented.)						
1.2.3	Has the State defined requirements, responsibilities, and accountabilities regarding the establishment and maintenance of the SSP?	a) The State has identified persons responsible and accountable for the implementation and maintenance of its SSP. b) The State has documented a process for maintaining the SSP. c) The SSP maintenance process is periodically reviewed and updated as necessary.						
1.2.4	Has the State completed a gap analysis and has a SSP Implementation Plan developed, which includes a timeframe for the implementation of actions and gaps as identified in its SSP Gap Analysis? (As	a) The State has developed an SSP gap analysis process. b) The State has performed an SSP gap analysis and results are available. c) The data from the SSP gap analysis has been analyzed. d) An implementation plan has been developed based on the SSP gap analysis. e) The implementation plan includes products, milestones, and responsibilities.						

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
						Verification
	applicable) f) Resources are allocated to address the gaps. g) The implementation plan and resources allocated to address the gaps are appropriate and adequate. h) The Accountable/Responsible Executive is responsible for the SSP and the implementation plan. i) The implementation plan is reviewed regularly by the management team and updated or modified as appropriate.					
1.2.5	Is there a documented statement about the provision of the necessary resources for the implementation, management, and maintenance of the SSP?					
	a) A document exists that identifies the resource requirements for SSP implementation, management and maintenance. b) The document is signed and is supported by the Accountable/Responsible Executive/Management Team. c) This document is periodically reviewed and updated by Accountable/Responsible Executive/Management Team as necessary.					
1.2.6	Does the [State] SSP Accountable Executive have control of the necessary resources required for the implementation of the SSP?					
	a) The State possesses a document that indicates that the Accountable/Responsible Executive has control of the financial and human resources required for the proper implementation of an effective SSP. b) There is evidence that the State allocates necessary resources for implementation of SSP. c) The State has mechanisms in place to determine the resources necessary and a document exists showing the					

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
	allocation of resources.						
1.2.7	Has the State defined the specific activities and accountabilities related to the management of safety in the State that each aviation regulatory organization under the SSP is accountable for?						
	a) There is evidence that the State analyzes its aviation system and identified key activities. b) There are appropriately defined safety accountabilities for personnel at levels of the organization. c) Safety functions at all organizational levels are clearly defined, comprehensive, and documented. d) Communication protocols are clear and effective for all levels of the organization. e) The document is comprehensive and based on the analysis of the aviation system.						
1.2.8	Does the State have a mechanism or platform for the coordination of SSP implementation and continuous monitoring activities involving relevant State regulatory and administrative organizations?						
	a) All State organizations that may be involved with the SSP have been identified. b) The State has developed a process for coordinating activities with all appropriate State organizations. c) The State documents the coordination among relevant State organizations. d) Coordination among the State's organizations is effective and adequate as indicated by the resolution of identified gaps. e) The State has a working compliance and monitoring system for coordination and facilitation of implementation of SSP among State organizations.						
1.2.9	Does the State SSP Accountable Person coordinate, as						
	a) The Accountable/Responsible Executive holds regular meetings with all appropriate State organizations involved						

INDICATORS OF COMPLIANCE + PERFORMANCE									
Requirement		Expectations		P	S	O	E	How it is achieved	Verification
	appropriate, the SSP activities of the different State aviation organizations?	with their SSP. b) Regular and adequate communication occurs between the Accountable/Responsible Executive and other appropriate State organizations. c) The SSP implementation plan and other activities progress and milestones are achieved. d) All pertinent organizations are aware of their role in the SSP.							
1.2.10	Has the State established a safety policy?	a) There is a safety policy that includes a commitment towards achieving the highest safety standards and is based on the SSP. b) The safety policy includes a commitment to observe all applicable legal requirements providing appropriate resources and defining safety as a primary responsibility of all Managers. c) The safety policy actively encourages voluntary reporting of hazards, incidents, and safety issues internally and externally. d) The safety policy states the State's intentions, management principles, and commitment to continuous improvement in the safety level. e) There is commitment by senior management to develop and improve the SSP. f) A disciplinary policy has been defined that clearly identifies the conditions under which punitive action would be considered (e.g. illegal activity, negligence, or willful misconduct). g) There is a statement expressing that employees are bound by a code of							

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
	conduct. h) There is evidence of decision making, actions and behaviors that reflect a positive safety culture. i) There is a safety policy signed by the Accountable/Responsible Executive. j) The Accountable/Responsible Executive and the senior management team promote and demonstrate their commitment to the safety policy through active and visible participation in the SSP. k) There is a process and evidence that the safety policy is reviewed periodically to ensure it remains current. l) The safety policy is communicated to all personnel with the intent that they are made aware of their individual contributions and obligations with regard to Safety. m) There is a process and evidence that the safety policy is communicated to employees and they are aware of their obligations under the safety policy.					
1.2.11 Has the State initiated a unified SSP document as part of the SSP implementation plan to describe its SSP framework components and elements?	a) The SSP is appropriate for the size and complexity of the State's aviation system. b) There is a comprehensive SSP document describing how that State meets the ICAO SSP Framework. c) This document is reviewed by and includes inputs from all stakeholders within the government. d) This document is clear and concise. e) The SSP document is signed by the Accountable/Responsible Executive.					

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
	f) The Accountable/Responsible Executive and the senior management team promote and demonstrate their commitment to the SSP. g) There is a process and evidence exists that the SSP document is communicated to employees. h) The State has established a process to store, archive and protect all documents relating to the SSP. i) The SSP document is readily accessible to employees. j) There is process to assure that the SSP is periodically reviewed and updated as necessary. k) This review should ensure that the SSP is working effectively, consider changes in the aviation system and assure the Acceptable Level of Safety Performance is maintained.					
1.2.12	If the authority delegates its duties to other Civil Aviation Authority (CAA) divisions, State bodies, Contracting States, regional organizations, private agencies or individuals, then have the delegated tasks been clearly defined and requirements for competency been established?					
	a) There are legal mechanisms for the delegation. b) The procedures for delegation are clearly documented. c) The State has documented appropriate accountability and responsibility within the delegation policy. d) Competency requirements for delegated entities are documented and readily available to delegates and appropriate personnel. e) The State has established a process to review and monitor the delegated entities. f) Minimum qualifications and experience					

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
	required for individuals receiving delegation are documented.						
1.2 SUMMARY COMMENTS							

1.3 ACCIDENT AND INCIDENT INVESTIGATION (SSP Framework)

The State has established an independent accident and incident investigation process, the sole objective of which is the prevention of accidents and incidents, and not the apportioning of blame or liability. Such investigations are in support of the management of safety in the State. In the operation of the SSP, the State maintains the independence of the accident and incident investigation organization from other State aviation organizations.

EFFECTIVENESS is achieved when there is evidence that accidents and incidents are investigated thoroughly and recommendations are made that contribute to the overall safety of the system. There is also clear evidence of the independence of the accident and incident investigation process.

INDICATORS OF COMPLIANCE + PERFORMANCE									
Requirement		Expectations		P	S	O	E	How it is achieved	Verification
1.3.1	Has the State established, as part of the management of safety, an independent accident and incident investigation process, the sole objective of which is the prevention of accidents and	a) The State has an accident and investigation body and/or process that complies with ICAO Annex 13. b) The State maintains the independence of the accident and incident investigation organization/process from other government aviation organizations. c) There is evidence that the objective of the accident and incident							

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
incidents, and not the apportioning of blame or liability?	investigation process is to prevent accidents and incidents, and not the apportioning of blame or liability. d) The State has established means to ensure that appropriate safety measures are taken after safety recommendations have been issued by a civil aviation safety investigation authority.						
1.3 SUMMARY COMMENTS							

1.4 ENFORCEMENT POLICY (SSP Framework)

The State has promulgated an enforcement policy that establishes the conditions and circumstances under which service providers are allowed to deal with, and resolve, events involving certain safety deviations, internally, within the context of the service provider's safety management system (SMS), and to the satisfaction of the appropriate State authority. The enforcement policy also establishes the conditions and circumstances under which to deal with safety deviations through established enforcement procedures.

EFFECTIVENESS is achieved by promulgation of enforcement policies that establish conditions and circumstances under which service providers are allowed to deal with certain safety deviations internally. There is evidence that the enforcement policy is applied in appropriate manner and exceptions to the enforcement policy promote behaviors consistent with robust safety culture.

INDICATORS OF COMPLIANCE + PERFORMANCE								
Requirement		Expectations	P	S	O	E	How it is achieved	Verification
1.4.1	Has the State promulgated an enforcement policy?	a) The enforcement policy establishes the conditions and circumstances to deal with safety deviations. b) The enforcement policy is documented						

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
	c) The enforcement policy establishes the conditions and circumstances under which service providers are allowed to deal with, and resolve events involving certain safety issues internally, within the context of the service provider's SMS. d) There is evidence that the enforcement policy is applied in appropriate manner and exceptions to the enforcement policy promote behaviors consistent with robust safety culture.						
1.4 SUMMARY COMMENTS							

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Requirement	
2.1.1	

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	Verification
	b) The State provides guidance material to industry related to the implementation of SMS. c) SMS regulations and guidance take into consideration the size and complexity of the service providers. d) SMS regulations and guidance material are periodically reviewed to ensure they remain relevant and appropriate to the service providers. e) SMS regulations are integrated and compatible with existing safety regulations.					
2.1 SUMMARY COMMENTS						

2.2 AGREEMENT ON THE SERVICE PROVIDER'S SAFETY PERFORMANCE (SSP Framework)

Agreement on the service provider's safety performance - The State has agreed with individual service providers on the safety performance of their SMS. The agreed safety performance of an individual service provider's SMS is periodically reviewed to ensure it remains relevant and appropriate to the service providers.

EFFECTIVENESS: Safety performance measures are positively improving service provider performance.

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	Verification
2.2.1 Has the State agreement on the service provider's safety	a) The State possesses a process for acceptance of the service provider's process for developing safety performance indicators.					

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
	performance?						
2.2.2	Has the State individually agreed/accepted service providers' performance indicators?	a) Guidance exists for State personnel to assess the adequacy and applicability of the service provider's process for developing safety performance indicators. b) There is evidence that safety performance indicators are commensurate with the scope and complexity of the service provider's operational context.					
2.2.3	Are the agreed safety performance indicators periodically reviewed by the [State] to ensure they remain relevant and appropriate to the service provider?	a) A process and evidence exists that safety performance indicators are periodically reviewed by the State to ensure that they remain relevant and remain appropriate to the service provider. b) Agreed performance is consistent with the risk areas contained in the national safety plans.					
2.2 SUMMARY COMMENTS							

3. STATE SAFETY ASSURANCE (SSP Component)

CE 3 – State's Civil Aviation System and Safety oversight Functions

CE7 – Surveillance Obligations

CE8 – Resolution of Safety Concerns

3.1 SAFETY OVERSIGHT (SSP Framework)

The State has established mechanisms to ensure effective monitoring of the eight critical elements of the safety oversight function. The State has also established mechanisms to ensure that the identification of hazards and the management of safety risks by service providers follow established regulatory controls (requirements, specific operating regulations, and implementation policies). These mechanisms include inspections, audits, and surveys to ensure that regulatory safety risk controls are appropriately integrated into the service provider's SMS, that they are being practiced as designed, and that the regulatory controls have the intended effect on safety risks.

EFFECTIVENESS is achieved when the State has developed and implemented effective mechanisms to ensure the eight critical elements are controlled and managed. There is a means to measure the effectiveness of the State's compliance with the Eight Critical Elements of a Safety Oversight System.

INDICATORS OF COMPLIANCE + PERFORMANCE									
Requirement		Expectations		P	S	O	E	How it is achieved	Verification
3.1.1	Has the State established a formal oversight program* to ensure satisfactory compliance by service providers with State safety regulations and requirements? *Certification, service, and surveillance	a) The State legislation identified the authority responsible for the safety oversight of service providers and provides all the necessary means to execute their safety oversight tasks. b) An oversight system exists and procedures are documented and objectives are clearly stated. c) The oversight system encompasses the Eight Critical Elements of a Safety Oversight System as documented in ICAO Annex 19, Appendix 1. d) Accountability for oversight activities is at the Management level. e) The inspector workforce is adequate, competent, and trained. f) The State ensures that personnel performing safety oversight							

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
	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. g) Procedures are detailed enough to ensure a standardized approach including procedures for: 1. Setting scope of oversight activities; 2. Setting scope of oversight activities; 3. Utilization of different approaches of oversight (inspection, audits, process review, etc.); 4. Measuring regulatory compliance; 5. Assessing the effectiveness of service provider's overall SMS; 6. Documenting and classifying surveillance findings of compliance and non-compliance; and 7. A means to communicate findings to service providers. h) The program includes a review process to ensure the validity of the surveillance findings and the quality of the surveillance activity.					
3.1.2	Has the State developed a process to take appropriate corrective measures to resolve identified	a) The process is documented and the objective clearly stated. b) The process ensures that all deficiencies and/or safety issues are addressed in a standardized manner.				

INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How it is achieved	Verification
deficiencies and safety issues resulting from the oversight system?	Expectations c) The corrective measure process includes a progressive approach to the actions the State takes, which is based on the severity of the findings. d) Program contains, as a minimum, the following: 1. The types of actions that can be taken; 2. Timeframes for corrective measures to be completed; 3. Corrective measures that are tracked and evaluated to ensure that any service provider deficiencies are corrected; 4. Requirements for service providers to identify root causes and contributing factors for identified non-compliances and those non-compliance that are addressed; 5. Requirements for service providers to develop corrective actions that ensure non-compliances do not recur by addressing the root causes; 6. Requirements for service providers to develop corrective actions that ensure the identified non-compliances are corrected in a timely manner; and 7. A process that exists for the State to take more serious actions when the service provider does not respond						

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
	appropriately to a request for corrective actions.					Verification
3.1.3	Does the State oversight system ensure periodic assessment of all approved organizations?	a) All approved organizations are subject to the State's oversight program. b) All organizations have a defined surveillance frequency. c) Surveillance is planned and carried out. d) The authority has the necessary tools to record its surveillance plan. e) Management accountability is appropriate to ensure that the surveillance program is delivered. f) The surveillance program includes both planned and unplanned activities.				
3.1.4	Does the authority conduct oversight of tasks delegated to other CAA divisions, State bodies, contracting States, regional organizations, private agencies or individuals?	a) A process exists to allow for delegation. b) A list and agreement of all delegated tasks is available. c) There is evidence that delegated tasks and individuals performing these tasks are overseen. The results are documented. d) There is evidence that deficiencies are addressed.				
3.1.5	Does the State have sufficient human resources to carry out its oversight functions?	a) There is a methodology for determining resource needs. b) Resources are appropriate for the size and complexity of the aviation system of the State. c) Minimum qualifications and experience are established for personnel.				

	associated safety risks that may not be captured by a mandatory incident reporting system?	storage, and protection of voluntary reported safety data. c) Criteria have been established for the type of data to be provided into the voluntary reporting system. d) A mechanism exists to evaluate the effectiveness of the voluntary reporting system. e) The results of voluntary reporting are used in the identification of deficiencies and safety concerns and their resolution.						
3.2.3	Has the State established mechanisms to ensure the capture and storage of data on hazards and safety risks at both the individual and aggregate State level?	a) There are processes for the capture and storage of other data relating to various aspects of the SSP including data from: 1. Oversight/surveillance; 2. Internal reviews; 3. Industry data; 4. Other States data; and 5. Voluntary reporting systems.						
3.2.4	Has the State established mechanisms to develop information from the stored data and to promote the exchange of safety information with service providers and/or other States, as appropriate?	a) Processes exist to analyze the collected data to identify trends and hazards in the system. b) The hazards are analyzed to assess the level of risk associated with the hazard. c) Processes exist to promote exchange of safety information within the State, service providers and other States.						
3.2.5	Has the State established an Acceptable Level of Safety Performance (ALOSP)?	a) The State possesses a process for establishing an ALOSP. b) The ALOSP and associated safety indicators are appropriate and relevant to the scope and complexity of the State's aviation activities. c) The State possesses a process for monitoring the ALOSP.						

		d) The ALoSP is communicated, reviewed periodically, and updated. e) Assessments of safety levels are carried out using validated safety targets and thresholds on a regular basis, and safety recommendations/directives are issued when necessary. f) The State possesses a process to ensure that it meets validated safety targets.						
3.2 SUMMARY COMMENTS								

3.3 SAFETY DATA DRIVEN TARGETING OF OVERSIGHT OF AREAS OF GREATER CONCERN OR NEED (SSP Framework)

The State has established procedures to prioritize inspections, audits, and surveys towards those areas of greater safety concern or need, as identified by the analysis of data on hazards, their consequences in operations, and the assessed safety risks.

EFFECTIVENESS: The State has a data collection mechanism that provides the information required to adjust its oversight to areas of greatest need. Data is available to demonstrate that the intervention has worked or is needed.

INDICATORS OF COMPLIANCE + PERFORMANCE						
Requirement	Expectations	P	S	O	E	How it is achieved
3.3.1	Has the State developed procedures to prioritize inspections, audits, and surveys towards those areas of greater safety concern or need?					
	a) Surveillance planning is based on collected safety data and other pertinent information. b) There are documented processes and procedures that include, as a minimum: 1. Methods for prioritizing surveillance based on safety risk profile; 2. A standardized method for establishing an acceptable frequency for surveillance exists; and 3. Evaluation criteria for assessing the effectiveness of risk based oversight activities. c) Processes exist for establishing and monitoring an acceptable safety level.					
3.3 SUMMARY COMMENTS						

4.0 STATE SAFETY PROMOTION (SSP Component)

CE4 - Technical Personnel Qualification and Training

CE5 – Technical Guidance, Tools and the Provision of Safety Critical Information

4.1 INTERNAL TRAINING, COMMUNICATION AND DISSEMINATION OF SAFETY INFORMATION (SSP Framework)

The State provides training and fosters awareness and two-way communication of safety-relevant information to support, within the State aviation organizations, the development of an organizational culture that fosters an effective and efficient SSP.

EFFECTIVENESS is achieved when the State has implemented effective safety promotion tools, including training and awareness.

INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How it is achieved	Verification
Requirement	Expectations						
4.1.1	Has the authority developed a formal training program detailing what type of training should be provided to personnel?	a) A training policy exists that identifies training requirements (including SMS and SSP) and frequency for relevant personnel. b) A training program exists and should consist of: 1. Initial training; 2. Recurrent or update training; 3. Specialized training, as applicable; and 4. On the Job Training (OJT). c) The training policy and program are reviewed and updated periodically. d) A personnel training record keeping system exists. e) Personnel competencies and qualifications are established and are effective in attracting talent. (Additional criteria for training qualification are addressed in Requirement 1.1.5.					

INDICATORS OF COMPLIANCE + PERFORMANCE							
Requirement	Expectations	P	S	O	E	How it is achieved	Verification
4.1.2 Does the State maintain a mechanism for the consolidation, communication, and sharing of safety information amongst its regulatory and administrative organizations involved in the SSP?	a) The State maintains a process to share safety information with its relevant organizations and employees. b) Evidence exists that the State is sharing safety information with its organizations and employees. c) Evidence exists that employees are aware of shared safety information and a feedback process exists for employees to provide inputs regarding this information.						
4.1 SUMMARY COMMENTS							

4.2 EXTERNAL TRAINING, COMMUNICATION AND DISSEMINATION OF SAFETY INFORMATION (SSP Framework)

The State provides education and promotes awareness of safety risks and two-way communication of safety-relevant information to support, among service providers, the development of an organizational culture that fosters an effective and efficient SMS.

EFFECTIVENESS: The industry is well educated in respect to safety and is an active participant with the State in driving State safety forward.

INDICATORS OF COMPLIANCE + PERFORMANCE		P	S	O	E	How it is achieved	Verification
Requirement	Expectations						
4.2.1	Does the State facilitate the continuing education, communication, and sharing of safety information with and amongst its service providers?	a) A process exists to ensure safety information is communicated with the industry in a timely manner (e.g., web based). b) Safety information is updated on a regular basis and is disseminated. c) There are mechanisms to conduct promotion to the industry and general public. d) There is a process to evaluate the effectiveness of the communication to ensure that it has reached its intended audience. e) A process exists for sharing performance and trends. f) The authority ensures that education/training is provided to its service providers on the applicable legislation and regulations.					
4.2.2	Do State regulatory organizations participate in regional and global aviation safety information sharing and facilitate the participation of their respective service providers in the same?	a) Evidence exists that the State participates in regional and global aviation safety information and exchange activities. b) Evidence exists that the State shares information with the industry about safety information sharing opportunities.					
4.2.3	Is there a formal process for the external dissemination of regulatory documents and	a) A process exists for external dissemination of regulatory documents and information to the					

INDICATORS OF COMPLIANCE + PERFORMANCE		P S O E					How it is achieved	Verification
Requirement	Expectations	P	S	O	E			
	information to service providers and a means of assuring the effectiveness of this process?							
4.2.4	Is the SSP document and its associated safety policy, enforcement policy, and aggregate safety indicators included in the State's safety information communication and sharing process?							
4.2 SUMMARY COMMENTS								

This document was developed by the Safety Management International Group (SM ICG). The purpose of the SM ICG is to promote a common understanding of Safety Management System (SMS)/State Safety Program (SSP) principles and requirements, facilitating their application across the international aviation community.

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 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 Federal Office of Civil Aviation (FOCA) of Switzerland, the Finnish Transport Safety Agency (Trafi), Japan Civil Aviation Bureau (JCAB), the United States Federal Aviation Administration (FAA) Aviation Safety Organization, Transport Canada Civil Aviation (TCCA) and the Civil Aviation Authority of United Kingdom (UK CAA). Additionally, the Civil Aviation Department of Hong Kong (CAD HK), the International Civil Aviation Organization (ICAO), and the United Arab Emirates General Civil Aviation Authority (UAE GCAA) are observers 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 organizations such as ICAO and civil aviation authorities that have implemented or are implementing SMS and SSP

The SM ICG welcomes any feedback on the evaluation tool or its application. For further information regarding the SM ICG or feedback on the evaluation tool please contact:

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