ATTACHMENT F - FRAME WORK FOR THE
STATE'S SAFETY PROGRAMME

Introduction

This attachment introduces a frame work for the implementation and maintenance of a State's safety programme by a Civil Aviation Authority (CAA). The frame work consists of four components and ten elements, outlined hereunder. A brief description of each element is presented.

1. State's safety policy and objectives
   1.1 CAA safety standards
   1.2 CAA safety responsibilities and accountabilities
   1.3 Enforcement policy

2. State's safety risk management
   2.1 Safety requirements for service providers SMS
   2.2 Approval of service providers acceptable levels of safety

3. State's safety assurance
   3.1 Safety oversight
   3.2 Safety data collection, analysis and exchange
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4. State's safety promotion
   4.1 Internal training, communication and dissemination of safety information
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The attachment also provides a mapping between each element of a State's safety programme and the critical elements (CE) of a State's safety oversight system, as included in Annex 6 – *Operation of Aircraft*, Part I, Appendix 5, and in the *Safety Oversight Manual, Part A* (Doc 9734). While the CEs and the elements of a safety programme do not exactly fit, the mapping is based on the primary role of each CE *vis-à-vis* the related element of a State's safety programme.

> *Note. – Within the context of this attachment the term "service provider" designates any organization providing aviation related services. The term includes approved training organizations, aircraft operators, maintenance organizations, organizations responsible for type design and/or assembly of aircraft, air traffic service providers and aerodrome operators, as applicable.*

1.   State's safety policy and objectives

1.1   CAA safety standards

The State has promulgated a national legislative frame work and specific regulations to ensure compliance with international and national standards, and that define how the Civil Aviation Authority (CAA) will oversee the management of safety in the State. This includes the CAA's participation in specific activities related to the management of safety in the State, and the establishment of the roles, responsibilities, and relationships of organizations in the system. The safety standards are periodically reviewed to ensure they remain relevant and appropriate to the State (CE-1, *Primary aviation legislation*; CE-2, *Specific operating regulations*).

1.2 CAA safety responsibilities and accountabilities

The State has identified and defined the CAA's requirements, responsibilities and accountabilities regarding the establishment and maintenance of the State's safety programme. This includes the directives to plan, organize, develop, control and continuously improve the State's safety programme in a manner that meets the State's safety needs. It also includes a clear statement about the provision of the necessary human and financial resources for the implementation of the State's safety programme (CE-3, *State civil aviation system and safety oversight function*).

1.3 Enforcement policy

The State has promulgated an enforcement policy that allows service providers to deal with, and resolve safety deviations and minor violations internally, within the context of the service provider safety management system (SMS), to the satisfaction of the authority, while dealing with gross negligence and willful deviations through established enforcement procedures (CE-2, *Specific operating regulations)*.

2. State's safety risk management

2.1 Safety requirements for service providers' SMS

The CAA has established the controls which govern how service providers will identify operational hazards and manage safety risks. This includes the requirements, specific operating regulations and implementation policies for service providers' SMS. The requirements and specific operating regulations are periodically reviewed to ensure they remain relevant and appropriate to the service providers (CE-2, *Specific operating regulations;* CE-4*, Technical personnel qualification and training;* CE-6*, Licensing, certification, authorization and approval obligations)*.

2.2 Approval of service providers' acceptable levels of safety

The CAA has individually agreed on, and approved, acceptable levels of safety with service providers. These acceptable levels of safety are commensurate to the complexity of individual service provider's specific operational contexts and the availability of individual service provider's resources to address safety risks. The agreed acceptable levels of safety are expressed by multiple safety indicators and safety targets, never by a single one, as well as by safety requirements. The agreed acceptable levels of safety are periodically reviewed to ensure they remain relevant and appropriate to the service providers (CE-8, *Resolution of safety concerns)*.

3. State's safety assurance

3.1 Safety oversight

The CAA has established mechanisms to ensure that the identification of operational 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 providers' SMS, that they are being practiced as designed, and that the regulatory controls have the intended effect on safety risks (CE-7, *Surveillance obligations)*.

3.2 Safety data collection, analysis and exchange

The CAA has established mechanisms to ensure the capture and storage of data on operational hazards and safety risks at the State's level. The CAA has also established mechanisms to develop information from the stored data, and promote the exchange of safety information with service providers and/or other States as appropriate (CE-8, *Resolution of safety concerns*).

3.3   Safety data driven targeting of oversight on areas of greater concern or need

The CAA 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 operational hazards and safety risks areas (CE-8, *Resolution of safety concerns*).

4.   State's safety promotion

4.1   Internal training, communication and dissemination of safety information

The CAA provides training, awareness, and two-way communication of safety relevant information to support, within the CAA, the development of a positive organizational culture that fosters the development of an effective and efficient State's safety programme (CE-4, *Technical personnel qualification and training*; CE-5, *Technical guidance, tools and the provision of safety critical information*).

4.2   External training, communication and dissemination of safety information

The CAA provides education, awareness of safety risks and two-way communication of safety relevant information to support among services providers the development of a positive organizational culture that fosters safe practices, encourages safety communications and actively manages safety with the same attention to results as financial management (CE-4, *Technical personnel qualification and training*; CE-5, *Technical guidance, tools and the provision of safety critical information*).