SOUTH AFRICA

CIVIL AVIATION AUTHORITY

Keeping you safe in the sky

The Republic of South Africa

STATE AVIATION SAFETY PROGRAMME

2022 Review
2nd Edition

AUTHORIZATION PAGE

The State Aviation Safety Programme is a living document. If, as a result of development in or due to an amendment to the scope and functions of the applicable legislation and international standards and recommended practices, changes occur that will necessitate revision to this Programme, it must be amended.

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CONTENT

Foreword

An acceptable level of aviation safety is non-negotiable, whatever crises the global and national aviation industry may be experiencing, and as a signatory state to the Chicago Convention of7 December 1944, which established the International Civil Aviation Organization (ICAO), South Africa subscribes to ICAO's Standards and Recommended Practices (SARPs), amongst others dealing with aviation safety risks.

The State Safety Programme (SSP), which is intended to manage aviation safety and risks, provides a solid framework for the State and all service providers in terms of the relevant safety responsibilities and safety management systems. The Department of Transport strives to ensure regulated, safe and secure air transport through various aviation bodies such as the South African Civil Aviation Authority(SACAA).

Civil aviation safety is central to the mission of the SACAA. This remains equally true in unprecedented times such as the global COVID-19 pandemic, that is showing signs of lifting; and aviation safety remains paramount at this time, as the industry is attempting to restart the growth of the aviation sector.

The quality of the collaboration and cooperation of the vast network of entities legislated to ensure aviation safety in South Africa is manifested by the track record of the country's scheduled airline operators, which for over thirty years have experienced no fatal accidents. Nevertheless, continued vigilance remains the priority of all role players, to maintain this record of safety and to improve the accident record of the general aviation sector; specifically by the more recent implementation of the General Aviation Safety Strategy of the SACAA.

STATE SAFETY POLICY

South Africa is committed to the following objectives:

a. Continuous improvement of the level of safety performance:

The level of safety performance is aimed at benefitting the domestic and international aviation community, through the advancement and improvement of the state safety programme (SSP) and safety management systems (SMSs)

Objectives

- Reduce accidents in the general aviation sector through the General Aviation Safety Strategy (GASS).
- Reduce international High-Risk Category (HRC) precursor events;
- Effectively implement the SSP and SMS; and
- Ensure Civil Aviation Safety Plan (CASP) implementation.

b. Promote and maintain a positive safety culture in civil aviation activities in South Africa:

Progressively develop a positive safety culture in both stakeholders responsible for the SSP implementation and the aviation industry to ensure healthy engagements and free flow of safety data and safety information.

Objectives

- Develop and implement a safety culture;
- Improve industry collaboration and engagements; and improve safety data and safety information collection.

c. Comply with all applicable regulatory requirements:

Continuously assess applicable national and international requirements and advance the implementation thereof to improve compliance and safety performance.

Objective:

- Transpose/promulgate regulations in line with applicable prescripts.

d. Ensure adequate capacity of necessary resources to deliver safe aviation products and services:

Ensure allocation of sufficient financial and human resources for safety management and oversight. Ensure that staff are equipped with appropriate skills, knowledge and expertise to discharge their safety oversight duties.

Objectives:

- Attract, develop, reward and retain a diverse and talented workforce;
- Build a workforce with the required skills to function in the ever-changing world of aviation;
- Implement interventions to develop leadership capacity and capabilities for leading in the new world of work; and
- Foster employee wellbeing through sound health and safety, and wellness initiatives.

e. Ensure that safety is a primary responsibility of all technical personnel:

Ensure that staff members, including managers, performing duties related to safety are aware of their functional responsibilities related to the fulfilment of safety objectives and are trained and have the proper knowledge and experience, in accordance with established requirements to enable them to carry out their responsibilities.

Objective:

- Provide induction and recurrent training on the SSP and SMS.

f. Ensure that safety is understood, implemented and maintained at all levels:

Ensure collaboration with industry partners to continuously invest in educating and promoting safety at all levels.

Objectives:

- Conduct industry workshops on promotion of safety; and
- Promote collaboration in management of safety.

g. Promote the use of a safety reporting system:

Encourage the reporting of safety issues and inform personnel of the disciplinary policy applied in the case of safety events or safety issues that are reported.

Objectives:

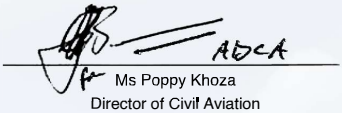
- Promote safety campaign; and
- Ensure compliance with the enforcement manual/policy (SMS enforcement).

h. Ensure the application of the protection of safety data and safety information as reflected in the regulations:

Further aggregate published data to ensure further protection of the sources of data. Ensure that safety data is used for the intent it was collected for, which is the maintenance and improvement of safety.

Objectives:

- Uphold regulations for safety data and safety information protection;
- Ensure sources of data are not subjected to enforcement action on the basis of reported information; and develop a data governance framework/policy



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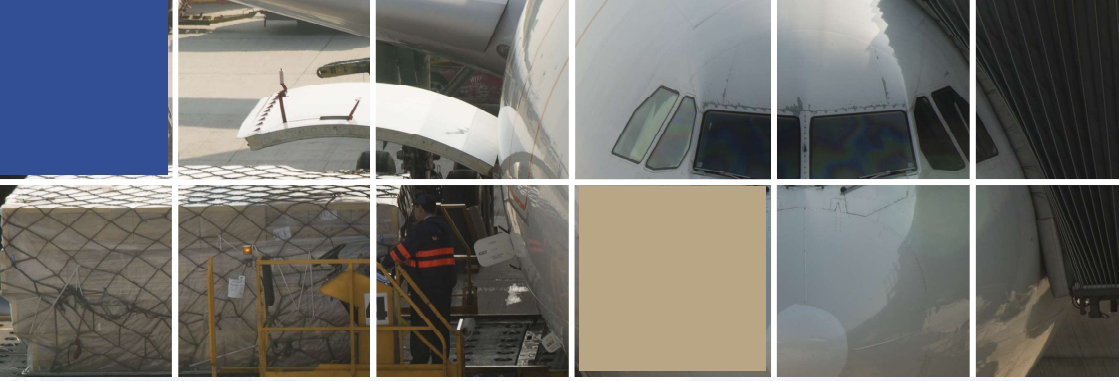

ABBREVIATIONS AND ACRONYMS

ACSA	Airports Company South Africa
AIID	Accident and Incident Investigation Division
AIG	Accident Investigation Group
ATMP	Air Traffic Management Procedures
ASIP/B	Air Safety Investigation Panel/Board
AOC	Air Operator Certificate
AMO	Aircraft Maintenance Organisation
ANSP	Air Navigation Service Provider
AO	Airport Operator
ATNS	Air Traffic and Navigation Services Company
CARs	Civil Aviation Regulations
CARCOM	Civil Aviation Regulations Committee
CASP	Civil Aviation Safety Plan
CATS	Civil Aviation Technical Standards
CS	Consistency and Standardisation Department
DCA	Director of Civil Aviation
DFE	Designated Flight Examiners
DoT	Department of Transport
ECCAIRS	European Co-ordination Centre for Accident & Incident Reporting Systems
GASI	General Aviation Safety Initiative
GASP	Global Aviation Safety Plan
HRC	High Risk Category
ICASA	Independent Communications Authority of South Africa
ICAO	International Civil Aviation Organization
ILF	Industry Liaison Forum
IT	Information Technology
MOSP	Master Oversight and Surveillance Plan
NASCOM	National Airspace Committee
NASC	National Aviation Security Committee
NASP	National Aviation Security Programme
PEL	Personnel Licensing Department
PMA	Parts Manufacturing Approval
RASP	Regional Aviation Safety Plan
RPAS	Remotely Piloted Aircraft System
SACAA	South African Civil Aviation Authority
SAMSA	South African Maritime Safety Authority
SEIs	Safety Enhancement Initiatives
SASAR	South African Search and Rescue
SARPs	Standards and Recommended Practices
SAWS	South African Weather Service
SMS	Safety Management System
SSP	State Safety Programme
SSPIMC	State Safety Programme Implementation and Monitoring Committee
SRM	Safety Risk Management
SPIs	Safety Performance Indicator(s)
TGM	Technical Guidance Material

INTRODUCTION

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INTRODUCTION

Aviation safety is of paramount importance to the sustainability of the civil aviation industry. Aviation activities are growing steadily, and the industry is becoming more complex. At the top of the International Civil Aviation Organization (ICAO) agenda is the management of aviation safety to ensure growth and sustainability.

To meet safety management demands, ICAO introduced Annex 19, which is dedicated to safety management to reinforce the role played by states in managing safety at the state level, stressing the concept of overall safety performance in all domains and in coordination with service providers.

ICAO Annex 19 requires contracting states to establish a State Safety Programme(SSP) to manage aviation safety and risks.

The South African aviation SSP is the programme used to ensure the effectiveness of the South African aviation system and ensure the management of safety across all stakeholders. An SSP is defined as an integrated set of regulations and activities aimed at improving safety. The SSP document provides detail on relevant legislation, systems and processes that support the South African aviation safety system.

The CASP demonstrates implementation of the safety systems as documented in the SSP document.

The Civil Aviation Act, 2009 (Act No. 13 of 2009) was amended to enable the establishment of the SSP.

Furthermore, the Minister of Transport promulgated Part 140 of the South African Civil Aviation Regulations (CARs), 2011, which, together with the supporting Technical Standards (SA CATS), mandates service providers to establish and maintain a Safety Management Systems (SMS).

The SACAA is working closely with the industry to foster safety and a just culture to facilitate the implementation of the SMSs. The SMS is implemented by the industry, and the role of the SACAA is to provide an enabling environment for effective implementation. The SACAA therefore monitors and assesses the effectiveness of the SMS. The Director of Civil Aviation (as the Accountable Executive) ensures the coordination of all safety management programmes through the SSP in partnership with the Department of Transport.

The table below demonstrates the SSP relationship with other domestic and international aviation safety publications:

	SAFETY PLANNING	SAFETY MANAGEMENT PROTOCOL
GLOBAL	Global Aviation Safety Plan (GASP), Global Air Navigation Plan	PAO Annex 191CAO Doc
REGIONAL	Regional Aviation Safety Plan (RASP), ETF Regional Air Navigation (AFI Plan)	
NATIONAL	Civil Aviation Safety Plan (CASP), National Airspace Master Plan	State Safety Programme

The CASP demonstrates our commitment to continuously improve aviation safety in South Africa. It is implemented through defined Safety Enhancements Initiatives (SEIs) to achieve safety goals. The CASP is executed by outputs of the SSP's safety risk management activities and international developments as outlined in the GASP and other international documents. It demonstrates how South Africa intents to meet GASP and RASP (AFI) requirements.

The implementation of SSP is monitored by the SSP Implementation and Coordination Committee (SSPIMC). The SSPIMC consists of stakeholders from multiple entities, including the Department of Transport. The Committee is chaired by the SSP Accountable Executive, namely the Director for Civil Aviation. The SSP document is reviewed every three years and is updated as necessary by the SSPIMC.
The SSP is established, integrated and implemented in accordance with the eight ICAO critical element of the state safety oversight system and the four components of the SSP as directed by the ICAO Safety Management Manual (SMM).

This alignment is reflected in the following table:

CHAPTER 1 State Safety Policy, Objectives and Resources	**CE – 1** **Primary Aviation Legislation** Section 1	**CE – 3** **State System and Function** Section 1.1.4	**CE – 5** **Technical Guidance tools and provision of safety critical information** Section 1.3
	CE – 2 **Specific Operating Legislation** Section 1.1.2	**CE – 4** **Qualified Technical Personnel** Section 2.3.1	
CHAPTER 2 State Safety Risk Management	**CE – 6** **Licensing, Certification Authorisation and Approval Obligations** Section 2.1	**Accident and Incident Investigation** Section 2.3.1	**Management of Safety Risks** Section 2.6.1
	Safety Management Obligations Section 1.4.1.1	**Hazard Identification and Safety Assessment** Section 2.5.3	**CE – 8** **Resolution of Safety Issues** Section 2.6
CHAPTER 3 State Safety Assurance	**CE – 7** **Surveillance Obligations** Section 3.1.1	**State Safety Performance** Section 3.2	
CHAPTER 4 State Safety Promotion	**Internal Communication and Dissemination of Safety Information** Section 4.1.1	**External Communication and Dissemination of Safety Information** Section 4.1.2	

CHAPTER 1

State Safety Policy, Objectives and Resources

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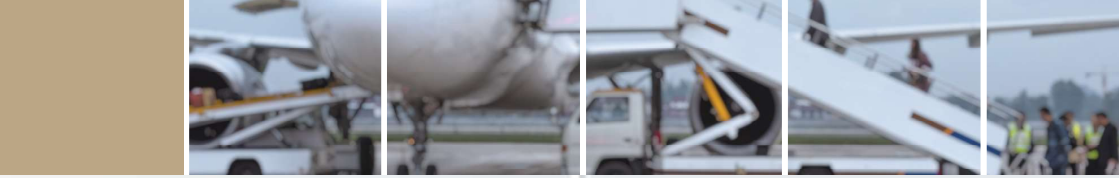


CHAPTER 1 : State Safety Policy, Objectives and Resources

1. Aviation Legislative Framework

1.1. Primary legislative system(Critical Element 1)

South Africa is required to promulgate comprehensive and effective aviation law, commensurate with the size and complexity of its aviation activity, and consistent with the requirements contained in the Convention on International Civil Aviation (the Convention), to enable the oversight and management of civil aviation safety and the enforcement of regulations through the relevant authorities or agencies established for that purpose.

Article 43 of the Convention established the International Civil Aviation Organization (ICAO). The objectives of ICAO are to develop the principles and techniques of international air navigation, and to foster planning and development of international air transport to ensure its safe and orderly growth in order to meet the needs of the people of the world for the safe, regular, efficient and economical air transportation (Article 44 of the Convention).

Therefore, aviation safety has been and remains the highest objective of the ICAO.

South Africa, as a signatory to the Convention and in accordance with Article 37 of the Convention, is collaborating with other member states in securing the highest practical degree of uniformity in regulations, standards, procedures and organisation in relation to aircraft, personnel, airways and auxiliary services in all matters in which such uniformity will facilitate and improve air navigation.

The Civil Aviation Act, 2009, defines the roles, duties and responsibilities of the Minister of Transport and the Civil Aviation Authority(SACAA).

1.1.1. South African aviation legislation

The South African legislative system is made up of, at the highest level, the Constitution of the Republic of South Africa, 1996, followed by primary legislation (Acts of Parliament) and secondary legislation (subordinate legislation such as Regulations and Technical Standards).

The Minister of Transport promulgates the Civil Aviation Regulations (CARs) by proclamation in the Government Gazette, and a list of such Regulations can be found on the SACAA website caa.co.za), and the Director of Civil Aviation approves Technical Standards to enable the SACAA to perform its oversight function and comply with ICAO Standards and Recommended Practices (SARPS), which are also published on the SACAA website.

The SACAA is responsible for implementing the Civil Aviation Act, 2009 (Act No. 13 of 2009), the CARs, 2011, and the South African Civil Aviation Technical Standards (SA CATS).

1.1.2. Specific operating legislation (Critical Element 2)

South Africa's primary aviation legislation is supported by aviation safety regulations and supporting legislation to provide specific operating regulations in relation to airspace, air services, air navigation, civil aviation, civil aviation safety, and safety investigation. The operating regulations address the State's obligations under the Chicago Convention relating to aircraft registration and airworthiness, air operator certification and surveillance, and provision of air navigation services and aerodromes.

1.1.3. Adoption and transposing of the ICAO SARPs

In order to facilitate the implementation of the ICAO SARPs, South Africa has established a process to transpose the SARPs into CARs. The CARs Committee (CARCom) is a body established in terms of the Civil Aviation Act to facilitate the development of the CARs; the Committee comprises members from the aviation industry, civil aviation authorities and air navigation service providers. Industry regulation and oversight functions are carried out in terms of the CARs and SA CATS..

ACT OR LEGISLATION	INTENTION OF THE ACT	ADMINISTRATION ENTITY
Air Services Licensing Act 1990 (Act No. 115 of 1990)	Intends to provide for the establishment of an Air Service Licensing Council; for the licensing and control of domestic air services; and for matters connected therewith	Department of Transport
Air Traffic and Navigation Services Company Act 1993 (Act No. 45 of 1993)	Intends to provide for the establishment of an organisation responsible for the maintenance of air navigation infrastructure and the provision of air traffic services and maintenance.	Air Traffic and Navigation
Airports Company Act 1993 (Act No. 44 of 1993)	Provides for the establishment of an organisation responsible for maintenance, management, control and operation of aerodromes.	South African Civil Aviation Authority
Carriage By Air Act. 1946 (Act No. 17 of 1946)	Give effect to a Convention for the unification of certain rules relating to international carriage by air; to make provision for applying the rules contained in the said Convention, subject to exceptions, adaptations and modifications, to carriage by air which is not international carriage within the meaning of the Convention; and for matters incidental thereto.	South African Civil Aviation Authority ASIP/B (AIID)
Civil Aviation Act 2009 (Act No. 13 of 2009)	Provide for the control and regulation of aviation within the Republic; including the establishment of the CAA, the Accidents and Incidents Investigation body and their functions which includes the SSP.	Department of Transport (Aviation, Rail and Maritime)
Convention on International Interests in Mobile Equipment Act, 2007 (Act No. 4 of 2007	Enact the convention on international interest on mobile equipment and the protocol to the convention on international interest in mobile equipment on matters specific to aircraft equipment into law; and to provide for matters connected herewith.	South African Civil-Aviation Authority
Convention on the International Recognition of Rights in Aircraft Act, 1993 (Act No. 59 of 1993)	Provide-for the application in the Republic of the Convention on the International Recognition of Rights in Aircraft; to make special provision for the hypothecation of aircraft and shares in aircraft; and to provide for matters connected therewith.	South African Civil-Aviation Authority
South African Maritime and Aeronautical Search And Rescue Act, 2002 (Act No. 44 of 2002)	Incorporate the International Convention on Maritime Search and Rescue, 1979, and Annex 12 to the Convention on International Civil Aviation, 1944, into South African law; to establish the South African Maritime and Aeronautical Search and Rescue Organisation; and to provide for matters connected therewith.	Department of Transport Air Traffic and Navigation Services
National Aviation Security Plan	The NASP is designed to meet the international standards and recommended practices contained in Annex 17 to the Convention on International Civil Aviation, 1944 (Chicago Convention), as well as related aviation security provisions found in other annexes.	South African Civil Aviation Authority
South African Civil Aviation Authority Levies Act, 1998 (Act No. 41 of 1998)	Intends: to provide for the imposition of levies by the South African Civil Aviation Authority; and to provide for matters connected therewith.	South African Civil Aviation Authority
South African Weather Service Act, 2001 (Act No. 8 of 2001 as amended)	To establish a juristic person to be known as the South African Weather Service; to determine its objects, functions and method of work; to prescribe the manner in which it is to be managed and governed; to regulate its staff matters and financial affairs; and to provide for matters connected therewith.	South African Weather Service

1.1.4. State System and Functions (Critical Element 3)

1.1.4.1. Responsibilities and accountabilities

A State is expected to establish relevant authorities or agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources for the management of safety. Further to that, the State's authorities or agencies shall have stated safety functions and objectives to fulfil their safety management responsibility. In South Africa, the Minister of Transport under the transport ministry is responsible for civil aviation matters which includes safety. Below are the agencies/entities responsible for civil aviation safety in South Africa. **The table below is reflect.**

AGENCY OR ENTITY	ACT OF PARLIAMENT	PURPOSE	ICAO ANNEX
Meteorological Authority	Established through South African Weather Service Act, 2001 (Act. No 8 of 2001)	Regulate aeronautical meteorological service provided in terms of Annex 3.	ICAO Annex 3
International Air Services Council	Established by the International Air Services Act, 1993 (Act No. 60 of 1993)	Regulate the economic licensing of South African operators performing international air operations in terms of Annex 6.	ICAO Annex 6
Regulating Committee	Established by section 11 of the Airports Company Act, 1993 as an economic and service standard regulator for ASCA and ATNS. This is a national requirement and is not required in terms of any ICAO.	Economically regulate the Airports Company South Africa and Air Traffic and Navigation Services to ensure that the companies do not abuse their monopolistic power and that the companies maintain the required level service standards in their operations.	
SACAA	Established by the Civil Aviation Act, 2009	Oversee safety and security of all provisions	ICAO Annexes 1, 2, 4, 5, 6, 7, 8, 11, 14, 15, 16, 17, 18, 19
ASIP/AIID	Established by the Civil Aviation Act, 2009	Investigate accidents	
ICASA	Established by the Independent Communications Authority Act, 2000 (Act No. 13 of 2000)	Issue licences to communications providers and radio stations	
SERVICE PROVIDERS			
Department of Transport	The Department of Transport	Uphold responsibility for facilitation (Annex 9), Search and Rescue (Annex 12) and for Accident and Incident Investigation (Annex 13) in terms of a Ministerial Order	ICAO Annexes 9 and 12
SAWS	Established through the South African Weather Service Act, 2001 (Act No. 8 of 2001)	Uphold responsibility for meteorological service provision in terms of Annex 3.	ICAO Annex 3
ACSA	Established in terms of the Airports Company Act, 1993 (Act No. 44 of 1993)	Uphold responsibility for service provision in terms of Annexes 10 and 14.	ICAO Annexes 10 and 14
ATNS	Responsibilities defined in the Air Traffic and Navigation Services Company Act, 1993 (Act No. 45 of 1993)	Provide service in terms of Annexes 10, 11 and 15.	ICAO Annexes 11 and 15

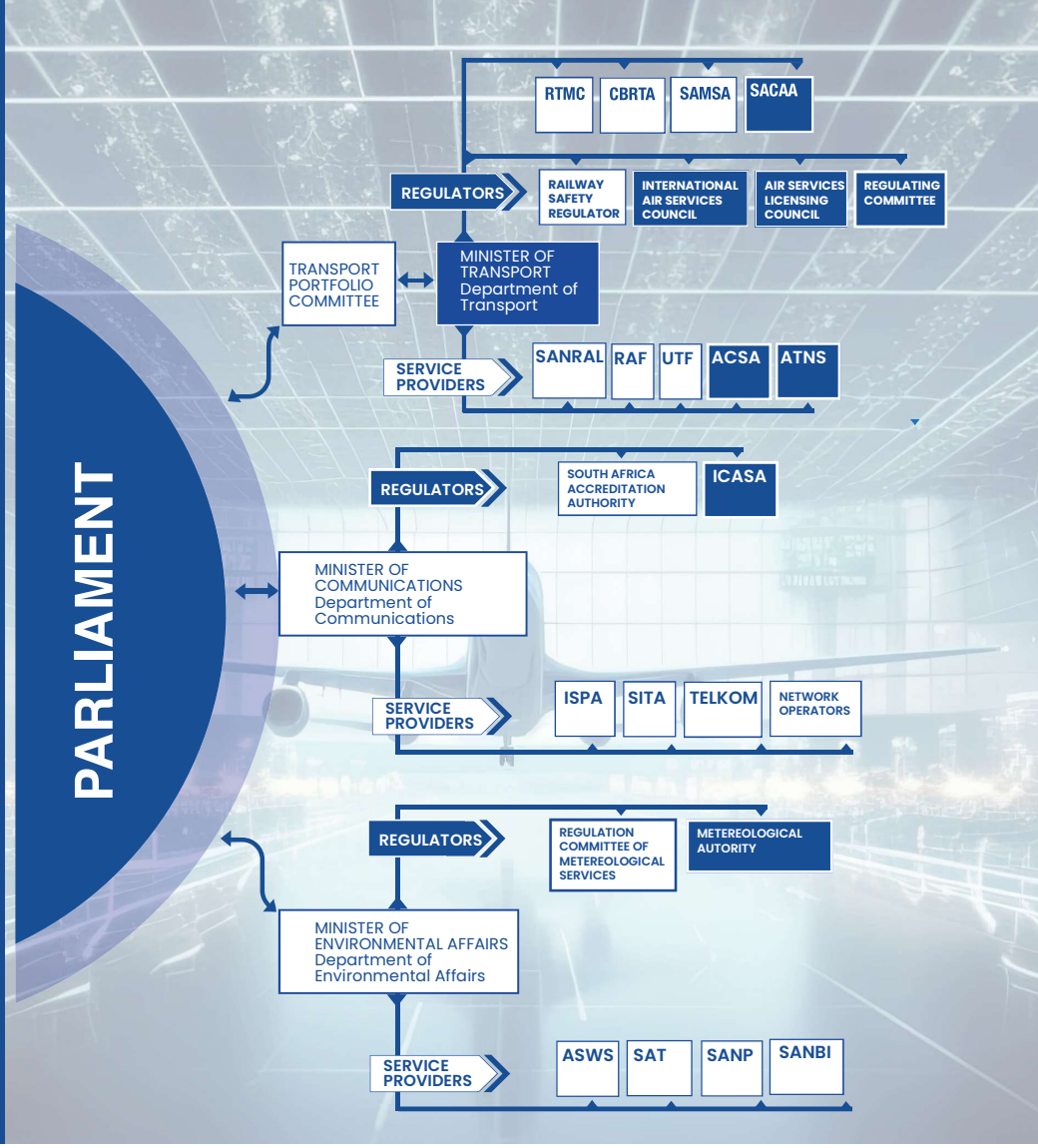


Diagram 1: The relationship between aviation agencies and ministries

ABBREVIATIONS

Department of Environmental Affairs

SAWS	South African Weather Service
SAT	South African Tourism
SANP	South African National Parks
SANBI	South African National Biodiversity Institute

Department of Communication

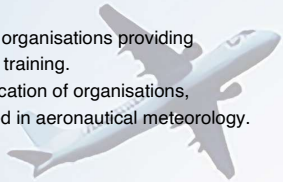
ISPA	Internet Service Providers Association
ITA	Information Technology Agency
TELKOM	Telephone Communications
ICASA	Independent Telecommunications South Africa

Department of Transport

SANRA	South African National Roads Agency
RAF	Road Accident Fund
UTF	Urban Transport Fund
RTMC	Road Traffic Management Corporation
CBRTA	Cross-border Road Transport Agency
SAMSA	South African Maritime Safety Authority
ATNSC	Air Traffic & Navigation Services Company
ACS	Airports Company of South Africa
SACAA	South African Civil Aviation Authority

1.1.4.2. Responsibilities of the Meteorological Authority

a. Determine meteorological services to be provided to serve the needs of civil air navigation within the Republic of South Africa.
b. Determine standards governing the provision of meteorological service for civil air navigation within the Republic of South Africa.
c. Certify organisations involved in the provision of meteorological service for civil air navigation on behalf of the State.
d. Determine standards in respect of qualifications, competencies and education of meteorological personnel providing service for civil air navigation in accordance with the requirement of World Meteorological Organisation (WMO).
e. Issue, confirm, suspend or withdraw certificates relating to meteorological service provision, qualifications, competencies and education of meteorological personnel providing service for civil air navigation. Determine standards for the certification licensing of personnel involved in aeronautical meteorological services, and issue certificates for such personnel.
f. Determine standards for the siting, operation, calibration and maintenance of the automatic meteorological observing systems at aerodromes and issue the necessary approvals for compliance with these standards.
g. Determine standards for aeronautical meteorological training and certify organisations providing aeronautical meteorological training as well as persons conducting such training.
h. Advise the Director on any matter connected with the operation or certification of organisations, aerodromes or equipment or the certifying licensing of personnel involved in aeronautical meteorology.



1.1.4.3. Responsibilities of the Department of Transport (SASAR)

The primary responsibility and accountability in search and rescue rest with the Government as signatory to the relevant international search and rescue conventions. The Department of Transport is the custodian and champion of search and rescue services in South Africa. Search and rescue administration rests with the Department, assisted by the SASAR executive and management committees. The Department therefore has the overall responsibility to planning, establishing, organising, stating, equipping, managing and overseeing the search and rescue system or programme. The Directorate: Search and Rescue within the establishment of the Department renders administrative and secretariat duties to the SASAR organisation.

1.1.4.4. Civil-military air traffic management

The Minister of Transport remains responsible for giving effect to the provisions of the Chicago Convention, and for the standards and recommended practices contained in the relevant Annexes to the Convention, particularly regarding the establishment of civilian airspace and related airspace matters. This will be executed in coordination with the Minister of Defence and Military Veterans to ensure that strategic national security needs are met.

1.1.4.5. South Africa's system and safety oversight functions

South Africa takes a collaborative approach to aviation safety activities across all agencies in delivering an effective SSP. South Africa's SSP consists of two levels of meetings: strategic and working groups. Both levels draw together the agencies responsible for aviation policy, regulation and sen/ice provision, as well as industry participants and subject matter experts.

1.1.5. SSP governance and administration arrangements

The SSPIMC, comprising the SACAA, AIID, DoT and MET coordinates the implementation and subsequent management of the SSP amongst themselves. This coordination mechanism ensures that the development, periodic review, policy-making and decision-making related to SSP activities - such as the safety policy, safety indicators, enforcement policy, safety data protection and distribution policy, SMS regulatory requirement, and SSP review and internal findings - are carried out in an integrated and coordinated manner. The SSP Accountable Executive acts as coordinator of the mechanism.

Please see Diagram 2 that follows:

Diagram 2: Implementation and subsequent management of the SSP

SSP STREAMS

STATE AVIATION SAFETY PROGRAMME

Work Streams

State Safety Policy Resources and Objectives	State Safety Risk Management	State Safety Assurance	State Safety Promotion	RBO	PBO	Other Projects	Auditing

Leads

SM:LEG	SM:OPS	SM:AIR	SM:CSD	RBO Project	PBO Project	SM:OPS	M:ICS

Members and Stakeholders

SM:GEN / HR	SM: AIR	SM:PEL	SM:Comms	SM:OPS	SM:OPS	DoT	MET
DoT	SM:AIID	SEM:AGA	DSM:PEL	SM:SRO	SM:SRO	SM:Strategy	SM:INTERNAL
SM AVSEC	SM:DG	SM:ANS	DSM:HR	RBO Project Leader	SM:AGA/ANS	SM:GA	Risk Specialist
SAR	SM:AvMed	SM:AIID	SM:GA	SM:AIR	SM:AIR	PMO Programme Managers	SAR
MET		Risk Specialist		ORG PM Specialist	OBG PM Specialist	ORG PM Specialist	DoT
						SM:CSD	OA/CSD

Sub Programmes (As Identified by Leads)

Manager Quality Control / SM:Consistency and Standardzation

NCMC / Deputy NCMC

As identified with co-opted members

Notes

- Meeting with Accountable Exec and Committee Chairperson (Every 6 months for EXCO Feedback)
- SSP Full Committee - (Quarterly Meetings)
- Programme Leads (Monthly Meetings or once in 2 months)
- Sub Programmes (Monthly or as identified)

1.1.5.1. Safety responsibilities and accountabilities of the SSP

The SACAA as regulator is responsible and accountable for the safety oversight of civil aviation activities. To that effect, the Minister of Transport being cognisant of the requirements, responsibilities and accountabilities regarding the establishment, implementation and maintenance of the SSP for South Africa has designated the function of the development, implementation and maintenance of the SSP to the Director of Civil Aviation. **In terms of the SSP, the Director is accountable for the following functions:**

a. Development of safety standards determined through strategic, industry consultative, and business processes;

b. Endorsement of notification to SACAA staff, consultants, contractors and industry service providers that inform on the SACAA's Safety Policies, the SSP and safety standards;

c. Allocation of appropriate resources to develop, maintain, support and review the SSP;

d. Establishment of a reporting chain and mechanism for safety issues;

e. Encouragement of SACAA staff, consultants, contractors and industry service providers to participate in the development and implementation of the SSP and SMS within the industry;

f. Alignment of the SACAA's other operational policies with the SSP;

g. Development of general rulemaking and specific operational policies that build upon safety management principles, based on a comprehensive analysis of the SACAA system;

h. Consultation with the aviation industry on issues regarding regulatory development;

i. Supporting the management of safety through an effective safety reporting and communication system;

i. Effective interaction with service providers on the resolution of safety concerns;

j. Ensuring that sufficient resources are allocated within the safety oversight authority and personnel have the proper skills and are trained for discharging their responsibilities;

k. Conducting of oversight activities supported by analyses and prioritised resource allocation based on safety risks;

j. Compliance with and, wherever possible, exceeding international safety requirements and standards;

l. Promotion and education of the aviation industry on safety management-concepts and principles;

m. Oversight of the implementation of the SMS within the aviation industry;

n. Ensuring that all activities under oversight are performed and achieved to the highest safety standards;

o. Establishment of systems for the protection of safety data colleJion and processing systems (SDCPSs), where people are encouraged to provide essential safety-related information on hazards and thereby ensure a continuous flow and exchange of safety management data between the SACAA and service providers;

p. Establishment and measurement of safety performance against safety performance indicators and safety performance targets;

q. Development of an enforcement policy that ensures that no information derived from any SDCPS established under the SSP or SMS will be used as the basis for enforcement action unless gross negligence or wilful deviation is detected as per Part 185 of the CARs.

To support delivery on the above-mentioned responsibilities, the Director appoints SMS technical officers under the direct supervision of the Manager: Quality Control and Accident/Incident Investigation and Review within the Consistency and Standardisation Department.
To further develop and facilitate the implementation and maintenance of the SSP, the Director established the SSPIMC. The main function of this committee is to facilitate and manage the implementation of the SSP. The SSP Committee consists of representatives from all operational divisions of the SACAA and the Department of Transport.
The SACAA's approach is to integrate the management of the SSP into the current processes of SACAA. The current scope of existing SACAA safety committees is reviewed and expanded to incorporate appropriate SSP activities.

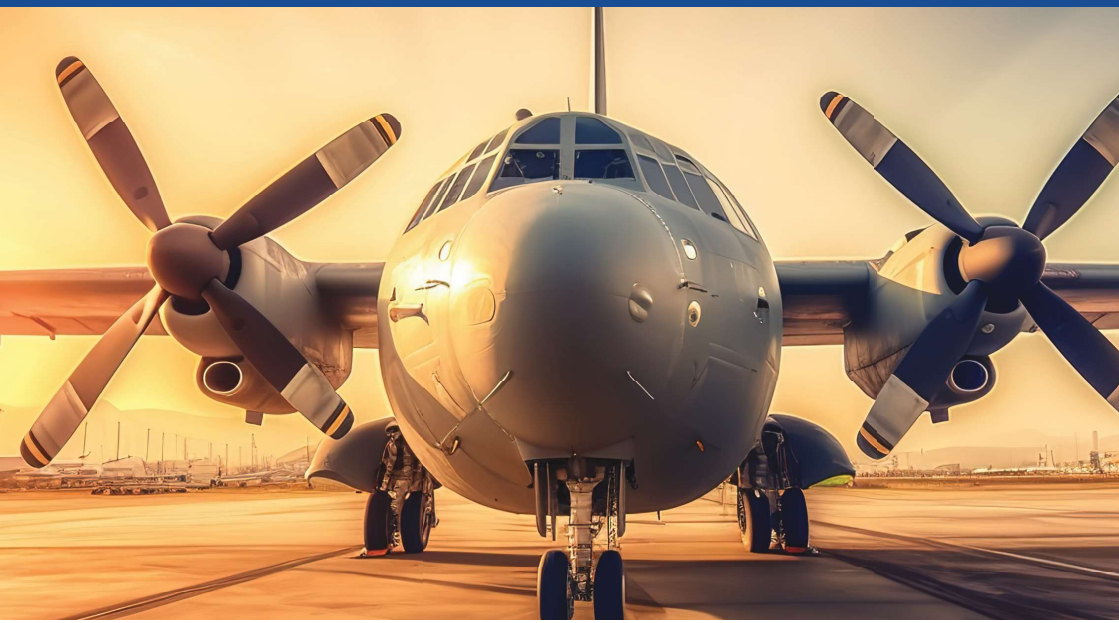
1.1.5.2. SSP Aviation Safety Organisations

The SACAA provides the resources necessary for the establishment and operation of the SSP. The SSP consists of the following agencies/stakeholders:

- the Department of Transport;
- the SACAA; and
- the Meteorological Authority

1.1.5.3. Coordination within the aviation safety system of South Africa

Overall safety performance in South Africa requires an integrated and collaborative approach, which is essential for SSP implementation and operation.
South Africa has established the following groups to coordinate among the organisations that are part of the SSP. These coordination groups will improve cooperation and coordination among the regulatory and administrative bodies of the State in terms of safety, efficiency and capacity



COMMITTEE / FORUM	PURPOSE	CHAIRED BY
State Safety Programme Implementation and Monitoring Committee (SSPIMC)	To effectively plan, coordinate and oversee the implementation of the SSP and SMS in consultation with the Department of Transport. The Committee will further address the SSP and SMS matters arising within the SACAA and the aviation industry with particular reference to the requirements of ICAO Annex 19, SMS Part 140 under the CARs of 2011, as amended	SACAA - Director of Civil Aviation
State Safety Programme Action Group (SSPAG)	This group of experts will assist the State in the collection, analysis of data and the identification of hazards and risks, together with the company analyst — to be appointed. The technical group will bring in technical expertise from all functional/operational areas. The outcome of the group activities will be the identification of hazards, data analysis and the identification of relevant safety performance indicators from collected safety data. The SSPAG will report its findings and recommendations to the SSPIMC for decision-making.	SACK Nominated Manager
Air Space Safety Work Group (ASSWG)	The AS-WG comprises experts from the SACAA and industry airspace SMEs, to advance the agenda of airspace safety and eradicate safety events that are dominated by airspace causal factors such as airspace Infringements, near misses, mid-air collisions and other pertinent airspace safety compromising causes. The AS-WG intends to engage regularly to proactively, preemptively and predictively identify, assess and promote safety threats and significant safety concerns as per ASP implementation approach — with the express purpose of formulating proposals about airspace safety promotion, advancement, preventions, interventions and improvements to the SSPIMC.	As per nomination
Human Factor Safety Work Group (HF5-WG)	As a sub-group to the ASP Committee, as supported by the SACAA ASP Implementation Plan, the HFS-WG will comprise expert role-players from the industry and the SACAA to engage regularly to pro-actively, preemptively and predictively identify, assess and promote awareness of safety threats and significant safety concerns that derive from human factors.	As per nomination
Human Factor Safety Work Group (HF5-WG)	An interactive group of expert role-players, stakeholders and interested and affected parties within the SACAA, the aviation industry and incumbent organisations, the HSG will engage regularly to proactively, preemptively and predictively identify and assess threats and significant safety concerns, with the express purpose of formulating proposals about preventions, interventions and improvements to the DCA.	As per nomination
Flight Data Analysis Work Group (FDA-WG)	The Flight Data Analysis Group will be a sub-group to the ASP Committee as supported by the SACAA ASP Implementation Plan. The Flight Data Analysis Group will comprise expert role-players from the industry and the SACAA Flight Operations Department (FOD and CS) engaging regularly to proactively, preemptively and predictively gather and analyse flight data for promotion of safety in the form of data-driven solutions	As per nomination
Runway Safety Work Group	As subgroup that requires all key stakeholders to cooperate in a collaborative manner. This is intended to serve as a reference for aerodrome operators, air traffic services organisations, commercial air operators, organizations representing the general aviation community, the regulatory authority, meteorological services and other stakeholders interested in improving runway safety.	As per nomination

Industry Liaison Forum	The Industry Liaison Forum is a forum where the SACAA engages with the industry on different issues relating to aviation, e.g. regulations, safety and security issues, new developments that will involve the industry, and feedback from the Authority on its operations. The forum consists of different associations and organisations representing the aviation industry.	DCA
National Airspace Committee (NASCOM)	NASCOM has been established in terms of Regulation 11.05.1 of the CARs, 2011 to provide a forum where the regulators and organisations that provide services in the national airspace as well as the users of such airspace can consider the usage of such airspace. NASCOM must ensure that such airspace adequately protects any flight procedures designed for such airspace	CAA — Executive: Gawie
Civil Aviation Regulations Committee (CARCom)	CARCom has been established in terms of section 157(1) of the Civil Aviation Act, 2009. The members of CARCom are constituted in terms of section 157(2)(a) — (c) of the Civil Aviation Act, 2009. CARCom acts as an advisory body in respect of the introduction, amendment or withdrawal of regulations and technical standards (section 157 (1) (a) to (d)), as well as with regard to "any matter relating to civil aviation, including any matter referred to it by the Director."	DCA — appointment

1.1.5.4. Memoranda of Understanding (MOUs)

South Africa coordinates safety matters among its regulatory and administrative bodies through formal arrangements called memoranda of understanding (M0Us). M0Us are aimed at ensuring that the responsibilities and communication protocols are clearly coordinated among the relevant organisations.

The content of the MOUs between regulatory and administrative bodies of South Africa is briefly described below:

INSTRUMENT IN PLACE	AIM
MOU between the National Nuclear Regulator and the SACAA	To promote cooperation, good conduct, participation, integration and coordination between the parties in the monitoring and control of nuclear hazards transportation by air
Implementation Protocol between the SACAA and Department of Agriculture, Land Reform and Rural Development (DALRRD)	To coordinate actions regarding the production, '' publication and updating of the World Aeronautical Charts
Memorandum of Agreement between the SACAA and the Independent Communications Authority of South Africa (ICASA)	ICASA designates to the SACAA the function to oversee and conduct the examinations of proficiency and to issue radiotelephony certificates on behalf of ICASA or in lieu of such certificates, endorse pilot licences to authorise the use of radio apparatus on board aircraft.
Ministerial Order to be implemented by SACAA and AIID	Issued in terms of section 100(1) (b) of the Civil Aviation Act as an interim for the management of aircraft accident and incident investigation. The Order determines that the investigation of aircraft accidents and incidents in South Africa will be undertaken by the AIID, which shall report functionally to the Department of Transport and administratively to the DCA. The Ministerial Order remains in force until the relevant portions of the Civil Aviation Act regulating aircraft accident and incident investigation are in force.

1.1.5.5. AIID

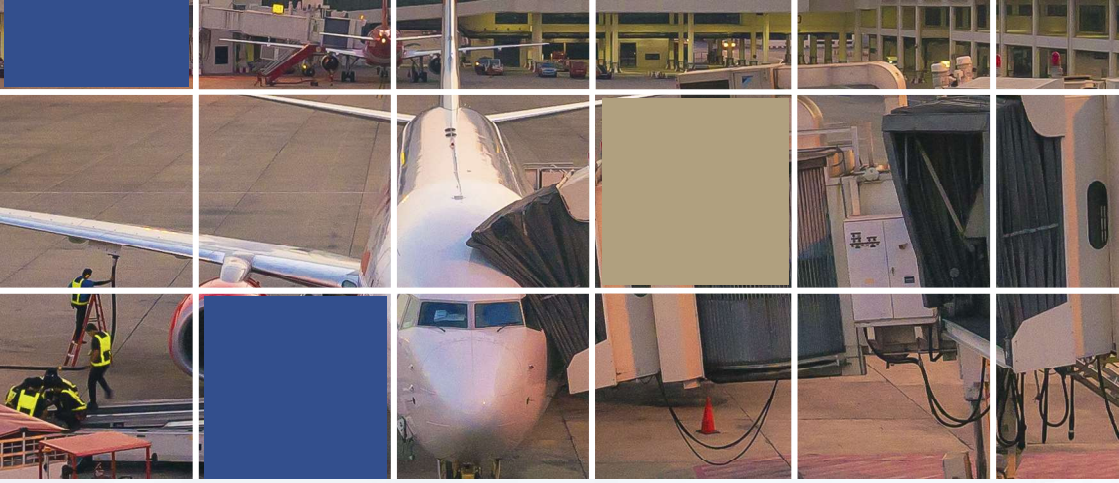
To promote cooperation, good conduct, participation, integration and coordination between the parties in the monitoring and control of nuclear hazards transportation by air.
To coordinate actions regarding the production, '' publication and updating of the World Aeronautical Charts
ICASA designates to the SACAA the function to oversee and conduct the examinations of proficiency and to issue radiotelephony certificates on behalf of ICASA or in lieu of such certificates, endorse pilot licences to authorise the use of radio apparatus on board aircraft.
Issued in terms of section 100(1) (b) of the Civil Aviation Act as an interim for the management of aircraft accident and incident investigation. The Order determines that the investigation of aircraft accidents and incidents in South Africa will be undertaken by the AIID, which shall report functionally to the Department of Transport and administratively to the DCA. The Ministerial Order remains in force until the relevant portions of the Civil Aviation Act regulating aircraft accident and incident investigation are in force.
The AIID has established M0Us with other accident investigation authorities. M0Us foster cooperation and mutual assistance between the parties in implementing the provisions of Annex 13 to the Chicago Convention, with each party striving to overcome difficulties that may arise due to differences in languages, cultures, legislative systems, geographical locations or any such differences. The M0Us express the AIID's understanding of the parties with respect to cooperation and assistance in the field of civil aircraft accident and serious incident investigations. The parties work together to ensure that a competent investigation is conducted in accordance with procedures and Article 26 of the Chicago Convention, Annex 13 to the Chicago Convention and incidental ICAO-associated procedures.

1.1.5.6. State agency staffing requirements

Each entity is responsible for delivering on their legislative requirements to their respective Minister(s). This includes ensuring the agency is sufficiently organised and staffed with qualified personnel capable of providing aviation safety oversight.

1.1.6. Delegation of safety oversight functions and activities

South Africa is able to conduct all safety oversight activities effectively and does not delegate any specific safety oversight functions to another organisation or state.



1.2. Qualified Technical Personnel (Critical Element 4)

South Africa is required to establish minimum qualification requirements for the technical personnel who perform safety-related functions, and to provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level. Additionally, South Africa must implement a system for the maintenance of training records for technical personnel in accordance with ICAO standards and recommended practices.

1.2.1. Initiatives to maintain qualified technical personnel

South Africa ensures that all technical personnel tasked with safety oversight responsibilities (inspectors and investigators) are suitably qualified, experienced and competent to perform the range of complex tasks required of them. Each agency responsible for technical personnel performing safety oversight (SACAA, AIID and Met Authority) establishes a minimum qualification requirement, provides the necessary training, and assesses against competency requirements. The minimum qualification requirements are detailed in the position descriptions of inspectors and investigators for each entity.

South Africa has implemented a training programme and plan for all its personnel, with special emphasis on the technical training of safety personnel, including SMS oversight. The training programme of the SACAA for its safety personnel comprises initial, on-the-job, recurrent and specialised training. This includes a comprehensive induction programme for newly employed inspectorate personnel, covering generic training in human resource management, audits, systems and tools, regulatory environment, and the SSP and SMS.

All the investigators of AIID must complete their aviation accident and incident investigation training programme. In addition to the technical skills and industry experience required to fulfil their functions, all investigation personnel also complete the required safety management training (SSP/SMS).

The AIID supports additional opportunities for professional development, which allows the staff to maintain their technical qualifications, acquire knowledge and experience in emerging technologies and practices, and follow tertiary studies in areas relevant lo accident and incident investigation functions.

1.3. Technical Guidance, Tools and Provision of Safety Critical Information (Critical Element 5)

South Africa is required to provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardised manner. South Africa is also expected to provide technical guidance to the aviation industry on the implementation of relevant regulations.

1.3.1. South Africa's efforts in the provision of technical guidance, tools and provision of safety- critical information

The top priority of the SACAA is to maintain and improve aviation safety. This is achieved through a series of strategies and initiatives to provide technical guidance, resources and information for strengthening the capacity of personnel.

The safety principles of the SACAA underline the importance of the commitment of government and industry organisations to the provision of resources for safety management and oversight, and of personnel training to acquire the skills and experience required to fulfil their proficiently.

The SACAA and AIID develop and keep the safety-related guidance material and work aids for inspectors, investigators and technical personnel up to date. Likewise, they develop and keep the guidance material for the industry updated.

Technical guidance material can be found at www.caa.co.za.

Technical policies, procedures and work instructions related to the provision of safety functions are governed by an ISO 9001:2015 (International Organization for Standardization) certified quality management system (QMS). The OMS ensures that relevant technical personnel have access to current standardised information that meets aviation safety requirements.

1.3.2. Communication of safety-critical information

To foster safety in the aviation operational environment, the South African aviation framework supports the timely and efficient provision of safety-critical information to industry participants. This includes processes and procedures to support the immediate provision of Notices to Airmen (NOTAMs), efficient issuance of Airworthiness Directives (ADs), and effective updates to the Aeronautical Information Publications (AIP).

1.3.3. State Emergency Response Plan

South Africa has a search and rescue plan in place that is equivalent to the National Aviation Disaster plan **(search and rescue plan),** to respond to events that impact, or have the potential to impact, aviation safety in South African- administered airspace or territory or involving South African-registered aircraft outside of South African- administered airspace or territory. Further to that, t**he SACAA has a Business Continuity Management Framework** for disasters or extended disruption to civil aviation activities, including incidents such as earthquakes or floods. Each SSP stakeholder (Met Authority and the DoT) runs its own business continuity plan.

These plans complement the **South African National Disaster Management Plan** administered by the government.

1.3.4. State Safety Goals, Targets and Indicators

South Africa's safety goals are derived from the aviation challenges and priorities presented in the NASP. These are based on current and emerging trends shown through detailed analysis of data collected by each of the aviation entities. The safety goals represent the desired outcome that South Africa's NASP and SSP aim to achieve. Each safety goal has associated safety performance indicators and safety performance targets used to measure South Africa's performance in relation to the safety goal. In addition, each safety goal has a series of safety enhancement initiatives (SEIs) and actions South Africa intends to undertake to improve State safety performance. Considered together, the safety goals are each designed to contribute towards an overall acceptable level of safety performance for South Africa. Further information on South African's safety goals, targets and indicators, including the current goals, targets, indicators and acceptable level of safety performance, is available in the NASP.

CHAPTER 2

State Safety Risk Management

2022 Review
2nd Edition

CHAPTER 2: State Safety Risk Management

2. State Safety Risk Management

State safety risk management (SRM) is a key component of the SMS that includes hazard identification, risk assessment, risk mitigation and safety risk acceptance. It is important to recognise that this function is a continuing activity, because hazards, risk assessment and the effectiveness of safety risk mitigation change over time.

The modern safety management approach requires a systemic approach to safety management, covering organisational structures, policies and procedures —the SMS approach. Risk management in the aviation industry of south Africa is a responsibility shared by the industry and the aeronautical organisations of South Africa: SACAA and AIID. It is important for the aviation industry and these State aviation organisations to work in a collaborative manner to obtain the best safety outcomes.

The SSP recognises the need to make the transition to a systems-based approach to safety oversight, together with risk-based surveillance (RBS). This change puts more responsibility on sen/ice providers and changes the way in which the SACAA performs safety oversight and monitoring functions.

Aviation safety hazard identification and risk management involve a tiered process in which systems and risk information can be added to high-category levels, ending in an assessment of the overall risk level throughout the aviation industry. The SACAA uses a common risk management framework to ensure an approach that is consistent with safety management.

South Africa is developing the CASP based on this process. This plan will identify the risks existing in the system and the treatment applied by the State to risk management.

The risk management system under the risk-based surveillance programme of South Africa will consist of the following risk management levels:

- regulatory risk management;
- risk management based on oversight outcomes;
- sector profile risk management;
- industry profile risk management;
- system profile risk management; and
- the CASP of South Africa.

AIID, in its independent accident and incident investigation role, recognises risk management requirements. Upon determining the severity of the safety issues identified during an investigation, AIID assesses the implications of systemic risks and recommends the appropriate safety actions to mitigate the risks identified.

2.1. Licensing, Certification, Authorisation and Approval Obligations (Critical Element 6)

The Republic of South Africa has established an authorisation scheme for safety-critical activities that involve the granting by SACAA of licences, certificates, authorisations and/or approvals to industry personnel and service providers.

These authorisation schemes act as the initial risk control to assure service providers and industry participants that they have achieved the required standards to operate safely within the aviation system. Details on South Africa's regulatory structure including licencing and certification requirements are available at www.caa.co.za.

The SACAA has further developed **a Safety and Security Oversight Policy** to be used by all SACAA staff members responsible for the implementation and execution of safety and security oversight functions. This policy has been developed to provide guidance on issues relating to the certification, renewal and surveillance of certified approval or prospective approval holders. The policy is further aligned to the eighth Critical Element of ICAO Safety and **Security Oversight methodology.**

2.1.1. Personnel licensing

The SACAA is responsible for issuing a range of licences, permits and approvals to allow individuals to conduct certain aviation activities. Individuals are required to adhere to the South African CARs when engaging in such activities.

2.1.2. Certification

The SACAA has established a certification system (comprising airworthiness standards, regulations and procedures) for the certification of aircraft, aviation equipment and maintenance organisations.

2.1.3. Air Operators

Operators who intend to conduct commercial air transport (charter or regular public transport), aerial work or flight training for commercial purposes in South Africa are required to possess an appropriate **Air Operator Certificate** (AOC). An AOC permits an operator to conduct and manage aviation activities. Air Operators are required to adhere to South African civil aviation laws when engaging in aviation-related activities within the scope of their certification.

2.1.4. Maintenance organisations

The SACAA issues Aircraft Maintenance Organisation (AMO) approvals as certification for organisations that maintain aircraft. Aircraft and/or aeronautical products for passenger transport operations are required to be maintained by organisations approved under CARs Part 145— Approved Maintenance Organisations. South Africa has implemented a clear and comprehensive airworthiness system to ensure that aircraft are safe for operations and that they support the safety of the travelling public. South Africa's regulatory requirements for aircraft are classified as either certification/airworthiness requirements or aircraft registration requirements as defined in the CARs. The specific airworthiness requirements are captured in Part 21 of the CARs.

2.1.5. Aerodromes

South African certification requirements for aerodromes are determined by the nature of flight procedures associated with the specific aerodrome. Aerodrome certification, and technical and operational requirements are detailed in the CARs Part 139—Aerodromes. South African aerodromes are categorised as either certified/licensed or registered aerodromes.

An aerodrome must be certified where there is a terminal instrument flight procedure for the aerodrome and the procedure is not only for use in specialised helicopter operations. Aerodromes that are not certified are registered and not subject to formal regulatory oversight. It is mandatory for pilots to land at certified/licensed or registered aerodromes only.

2.1.6. Flight Simulator Training Devices (FSTDs)

South Africa qualifies FSTDs for use to train flight crew to gain the necessary experience to meet licensing or rating outcomes. FSTDs are approved in accordance with the CARs Part 60— FSTDs.

2.1.7. Aviation Training Organisations (AT0s)

South African AT0s and their courses that support licensing outcomes for the personnel graduating into the aviation industry are required to be certified by the SACAA.

2.1.8. Air Navigation Service Providers (ANSPs)

ATNS is South Africa's primary civilian ANSP. ATNS has regulatory approval to provide air traffic services. South Africa has certified three other ANSPs to provide an Aerodrome Control/Information Service.

2.1.9. Approval process

The SACAA is responsible for issuing certificates, licences, registrations and permits as provided for in section 73(1)(c) of the Civil Aviation Act, 2009 (Act No. 13 of 2009). The issuing of certificates, licences, registrations and permits is conducted in accordance with the requirements of the applicable provisions of the CARs, 2011, and associated Technical Standards. The process of evaluating applications for approval follows the prescribed requirements. The SACAA issues Technical Guidance Material, which is made available to members of the industry (Technical Guidance Material - www.caa.co.za).

2.2. Obligations of the SMS

South Africa has established the requirements for SMS implementation in various sectors of the aviation industry. The SACAA has issued the requirements in CARs Part 140 for SMS implementation by the following civil aviation service providers:

A holder an of ATO approval (excluding DTOs) issued in terms of CARs Part 141 that is exposed to safety risks related to the operation of aircraft when providing their services;

- A holder of an AOC issued in terms of CARs Parts 93, 121, 127, 128, 135, 136, 137 or 138;
- A holder of an AMO approval issued in terms of CARs Part 145 providing services for commercial operators and ATOs;
- An organisation responsible for manufacture of aircraft, engines or propellers approved in terms of CARs Part 148;
- An organisation responsible for type design approved in terms of CARs Part 147;
- A holder of an ATSU approval issued in terms of CARs Part 172.
- A holder of a category 4 or higher aerodrome licence issued in terms of CARs Part 139 where commercial activities take place;
- A holder of a procedure design organisation approval issued in terms of CARs Part 173;
- An organisation handling or conveying dangerous goods by air in terms of CARs Part 92;
- International general aviation operators of large or turbo jet airplanes; and
- A holder of an operating certificate issued in terms of CARs Part96 conducting commercial operations.

Additionally, the SACAA requires that a holder of an Electronic Services Organisation approval issued in terms of CARs Part 171 and a holder of an ROC implement SMSs as prescribed by the SACAA.

2.2.1. SMS framework

An approval holder's SMS framework comprises the following four components and twelve elements as minimum requirements for implementation:

ACT/LEGISLATION	INTENTION OF THE ACT
1 Safety policy and objectives	1.1 Management commitment and responsibility
	1.2 Safety accountabilities
	1.3 Appointment of key safety personnel
	1.4 Coordination of emergency response planning
	1.5 SMS documentation
2 Safety risk management	2.1 Hazard identification
	2.2 Safety risk assessment and mitigation
3 Safety assurance	3.1 Performance monitoring and measurement
	3.2 The management of change
	3.3 Continuous improvement of the SMS
4 Safety promotion	4.1 Training and education
	4.2 Safety communication

SMS requirements are documented in CARs Part 140 and SA-CATS 140. Applicable technical guidance material to support implementation of SMSs is published and reviewed periodically.

2.2.2. Agreement of service provider's safety performance

In terms of the SMS requirements stipulated in CARs and SA-CATS, each service provider shall establish, maintain and adhere to an SMS that is suitable (in line with the SMS framework) to the operations it is authorised to conduct under its approval privileges.

An important element of a mature safety management oversight system is agreement between the safety regulator and service providers on key performance indicators and expected level of performance to be achieved. In South Africa, this level of performance is in part judged by how a service provider performs against its SMS. Oversight of an SMS is included in the SACAA's audit programme for those approval holders who are mandated to have one.

The achievement of these targets will be overseen by inspectors through normal oversight processes. Annual oversight of the SMS and the safety performance targets will be conducted in accordance with Master Surveillance Plans.

The SACAA inspectors will maintain an open communication channel with service providers. Contraventions will be dealt within accordance with the current safety oversight and enforcement policies and practices. The SACAA inspector responsible for the oversight of the service provider can engage in dialogue with the operator with the objective to agree on proposed corrective measures and an action plan that adequately addresses the identified deficiencies.

The SACAA is responsible for determining a national target (acceptable level) for safety that will be communicated and published to all stakeholders. Stakeholders will be expected to contribute to the achievement of this target by aligning their own targets to this target.

Feedback about achievement of targets will be collected, processed, analysed and provided on an annual basis for use within the SACAA.

2.3. AIID

As signatory state to the Chicago Convention (ICAO), South Africa is required to establish a process to investigate accidents and incidents in accordance with ICAO Annex 13(Aircraft Accident and Incident Investigation), in support of the management of safety in the State.

2.3.1. South Africa's initiatives into accident and incident investigation

The AIID is the authority office responsible for implementing the provisions of CARs Part 12 by the State to comply with the provisions of Annex 13 concerning the reporting and independent investigation of accidents, serious incidents and incidents related to the operation of aircraft that occur in South Africa, and for participating in the investigation of accidents and other occurrences involving aircraft of South Africa registered in other States. Reported occurrences and investigation results are sent to ICAO in accordance with the provisions of CARs Part 12.

According to the provisions of CARs Part 12, to comply with the provisions of Annex 13, the AIID will also, upon request, provide assistance and/or cooperation to member States of the South African Accident Investigation Group (AIG) Regional Cooperation Mechanism (ARCM) and to other States for the conducting of investigations through the provision of investigation expertise and technical facilities.

The AIID is responsible for investigating all accidents and serious incidents and significant safety incidents related to the operation of aircraft, to the extent necessary and pursuant to the provisions of CARs Part 12, in order to determine, if possible, the causes and/or contributing factors, and, where applicable, formulate safety recommendations. Likewise, the AIID will provide the SSP with safety information on the results of trend analyses of accidents, serious incidents, and significant incidents related to the operation of aircraft.

The sole objective of accident and incident investigation by the AIID is to prevent future accidents and incidents and not to apportion blame or liability.

The reports of all investigations conducted by the AIID are made public. For purposes of an investigation conducted by the AIID, early identification of safety matters within the context of air transport is fundamental. The AIID in a dated letter sent to the responsible authorities, including those of other States, at any phase of the investigation of an accident or incident, will recommend all the preventive measures it deems should be adopted promptly to improve aviation safety.

The AIID prefers to encourage the appropriate organisation(s) to adopt proactive safety measures to address safety issues. However, the AIID may use its authority to make a formal safety recommendation at any time or at the end of an investigation, according to the level of risk associated to a safety issue and the scope of the corrective measures to be undertaken by the appropriate organisation.
When the AIID issues safety recommendations, these will focus on clearly describing the safety issues of concern instead of providing instructions or opinions on a preferred method for their solution.
Regarding equivalent foreign AIG organisations, the AIID has no authority to require compliance with its recommendations. It is up to the equivalent foreign AIG body to whom the recommendations are addressed to assess the cost and benefits of their implementation. More information on the AIID can be found at www.caa.co.za.

2.4. Hazard Identification and Safety Risk Assessment

Aviation safety systems rely on timely, precise and informative reports on safety incidents and occurrences. The availability of appropriate safety intelligence on what is happening with aviation safety systems permits the identification of trends, the resolution of repetitive issues, and measurement and proper response to risks within the aviation system of South Africa.
As required by legislative responsibilities, the SACAA and AIID collect and maintain various records related to accidents, incidents and other safety data.
In the interest of aviation safety, safety information (processed safety data) is shared among regulatory and administrative organisations of South Africa through the European Co-ordination Centre for Accident and Incident Reporting Systems(ECCAIRS) between the SACAA and AIID; this is done by Information Technology department, who does the exchange of safety information every six months between the AIID ECCAIRS and SACAA ECCAIRS repository.
South Africa encourages a positive reporting culture whereby all industry stakeholders are willing to report any incident that occurs and any error made. In accordance with the 'just culture' approach, individuals report incidents and errors; they are not prosecuted or punished except in those cases in which their actions have been deliberate, reckless or clearly negligent.

2.4.1. Reporting of accidents, serious incidents, incidents, hazards and latent conditions

The SACAA is responsible for collecting and analysing safety data on accidents, serious incidents, incidents and latent conditions related to aircraft operations. In this capacity, the SACAA manages the collected reports through mandatory and voluntary reporting systems. Reporting may be immediate or on a routine basis, in accordance with the regulations and published guidelines. Inappropriate safety procedures, failure to comply with requirements and errors may be considered as latent conditions.

2.4.2. Mandatory safety security reporting system: Centralised Occurrence Reporting System

The Centralised Occurrence Reporting System (CORS), established in accordance with CARs Part 140, collects information on occurrences that jeopardise or might jeopardise aviation safety and security. The collected data provides information on real or potential safety hazards and deficiencies. The information is used for identifying safety and security issues that must be addressed in order to improve aviation safety and security in South Africa. Information of the CORS can be found at www.caa.co.za.
In accordance with Annex 13 to the Chicago Convention, AIID provides ICAO with data on accidents, serious incidents and incidents through the Accident/incident Data Reporting System (ADREP).

2.4.3. Voluntary safety and security reporting systems

2.4.3.1. Whistleblowing

South Africa encourages a positive reporting culture where all industry participants are encouraged to willingly disclose any fraud and corruption matters. South Africa is committed to ethical, moral and lawful business conduct, which is the responsibility of all Stakeholders within the aviation industry. With this commitment, South Africa encourages all stakeholders concerned to report unlawful behaviour through an independently managed Fraud Hotline, to report without fear of victimisation, occupational detriment and or reprisal. Whistle blowing is guided by the whistle blowing policy framework.

In addition, there is a Centralised Occurrence Safety and Security System to report incidents that occur and any mistakes that may have occurred, to enhance and empower the industry with real experiences and collect data for analysis, interpretation and knowledge sharing. Therefore, South Africa's enforcement policy supports all the tip- off lines with consequence management tools. It is, however, consistent with a 'just culture' approach, whereby matters are not prosecuted or punished except in cases where an action was wilful, reckless or grossly negligent.

The protection of safety data and information, as well as of their related sources, is the first priority of this system. This is referred to in the CARs Part 140.

2.4.3.2. Centralised Occurrence Reporting System (CORS)

South Africa has established the CORS (as the voluntary safety reporting system) that allows any individual who has an aviation safety concern to report to:

- the AIID when the concern is related to the operation of aircraft; and
- the SACAA when the concern is not directly related to the operation of aircraft.

The protection of the reporter's identity is a primary element of the scheme. The CORS is a voluntary and confidential aviation self-reporting system that provides protection from administrative action, or from paying a fine as the result of an Infringement Notice, in certain circumstances. The scheme was established under the CARs, Part 140.

2.4.3.3. Safety Data Collection and Processing System (SDCPS)

South Africa has established the SDCPS for capturing, storing, aggregating and allowing for the analysis of safety data and information. This system consists of various databases that centralise the information in the safety database.

The SDCPS refers to processing and reporting systems, safety and security databases, information exchange systems and recorded information, and comprises the following systems:

A. Centralised Occurrence Reporting System (CORS)

CORS uses the ECCAIRS as platform and ADREP taxonomy for:

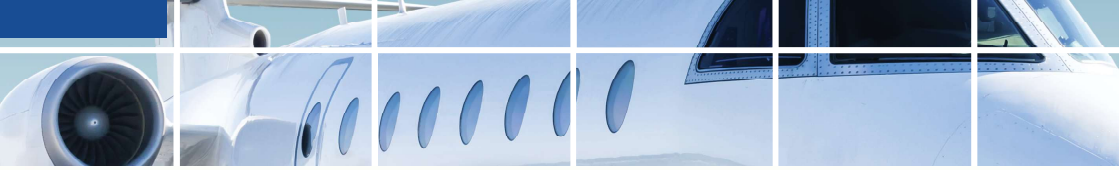
- Mandatory safety and security reporting;
- Voluntary safety and security reporting;
- Accident and incident investigation data and information; and
- Data and information concerning safety investigations conducted by the SACAA and AIID.

B. EMPIC

- Data and information resulting from safety oversight activities conducted by the SACAA
- Data and information concerning safety investigations conducted by the SACAA

C. Manual data analysis system

- Excel application is also used to analyse safety data.



2.5. Availability of Data and Information on Aviation Occurrences

The AIID makes available to the public the following information on aviation occurrences:

- Accident and incident final reports;
- Preliminary accidents reports;
- Interim statements; and
- Occurrence logs and accident and incident stats.

The information provided by the AIID is available at www.caa.co.za.

2.5.1. Data analysis and reporting

The AIID, in addition to reporting occurrences as required by Annex 13 to ICAO through the ADREP reporting system, also provides safety information to for analysis and development of trend indicators to the South African AIG Regional Cooperation Mechanism (ARCM) and to other States for the conduction of investigations.

2.5.2. AIID

In addition to the independent 'no blame' investigation of aviation accidents and serious incidents and other incidents related to the operation of aircraft, the AIID contributes to air transport safety enhancement in South Africa through the recording, analysis and investigation of Accident and incidents.
AIID will pursue its objective of identifying relevant safety issues instead of providing prescriptive solutions. This approach will enable South Africa to take measures to identify the most suitable means to address safety issues. AIID also conducts specific investigation activities and produces reports that allow for a more in-depth analysis of specific types of occurrences or trends. This activity provides national and international entities with safety studies and promotes the adoption of measures to improve safety systems and operations.

2.5.3. SACAA

The SACAA maintains updated information on all regulatory safety activities it carries out. Among its main activities, the SACAA plans and executes the annual oversight programme directed to aeronautical personnel, and service and aeronautical material providers that have been granted a licence, certification, authorisation or approval. The findings of the oversight programme are collected in a safety database, which permits follow-up through their resolution, as well as hazard identification and safety risk assessment. Risk management of findings allow for the identification of trends of greater concern. Based on this information, the SACAA increases oversight to prevent recurrence and to reduce and control risks to an acceptable level of safety.

2.5.4. Safety data and information analysis coordination group (SDIACG)

South Africa envisages establishing a safety data and information analysis group. This group will consist of the representatives of the regulatory and administrative bodies of South Africa involved in the collection and analysis of safety data and information. It will include data analysts of the SACAA, AIID and other bodies that have incorporated a hazard identification and risk management database into their safety systems. This group will propose to the SSPIMC the State priorities, objectives, goals indicators and alert levels. Its main function will be to:

- Facilitate the exchange and analysis of safety data and information among regulatory and administrative bodies of the State, with the purpose of maintaining and improving aviation safety; and identify joint safety analysis projects that use the combined capacities of the SACAA, AIID and the Meteorological Authority to produce results for the benefit of aviation safety.

2.5.4.1. Safety coordination groups

The exchange and analysis of safety data through safety coordination groups help maintain sound relationships among stakeholders and allow for the sharing of safety data, investigation efforts, coordinated analyses, and the formulation of mitigation plans among these parties to improve aviation safety.

South Africa has established the following safety coordination groups:

- Commercial Aviation Group —aircraft (work in progress);
- Commercial Aviation Group — helicopters (work in progress);
- GA/RA Liaison Group;
- General Aviation Group — helicopters (work in progress);
- Agricultural Aviation Group;
- Aerial Work Group (work in progress);
- Flight Training School Group;
- Remotely Piloted Aircraft Systems (RPAS) Group;
- Airworthiness Group;
- Air Navigation Services (ANS) Group; and
- Aerodromes (AGA) Group

2.6. Safety Risk Management

South Africa is required to establish mechanisms for the resolution of safety issues. Therefore, the State should develop and maintain a process to manage safety risks.

2.6.1. South Africa's initiatives in managing safety risk

One of the functions of the SACAA in accordance with CARs is to regulate safety of civil aviation operations within the territory of South Africa and the operation of aircraft of South Africa outside its territory, by means that include the development of effective oversight strategies to ensure compliance with aviation safety requirements.

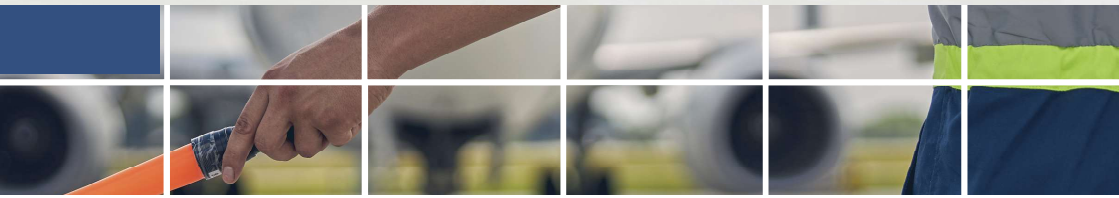
South Africa will establish an aviation hazard register that identifies risks, controls, indicators and actions. This register will be coordinated and maintained by the SSPIMC. Hazards may include information from non- compliances identified by the SACAA, reported safety events, negative safety trends, and results from accident and incident investigations.

The register will monitor a range of indicators to ensure that risks remain within the agreed acceptable tolerances. The register will review risks that exceed tolerances and identify controls and actions for implementation. The intent is for these initiatives to subsequently be placed in the CASP. SSPIMC will also review risks that consistently fall below the acceptable risk threshold to identify opportunities where controls may be removed. Identified safety risks may have been either previously identified with existing controls in place, or not yet considered and without existing controls in place.

Where safety concerns relate to risks that have previously been identified and are controlled through various instruments that may include regulations, consideration will be given to the effectiveness of the current control(s) and the compliance of an individual or organisation with the control.

Risk controls that are found to be ineffective will be modified or further controls implemented as necessary where individuals or organisations are not complying with aviation safety regulatory requirements.

In managing newly identified aviation safety risks, SSP entities will seek to develop and document suitable risk mitigation or control strategies. These strategies will mitigate risk through the implementation of legislative or supporting controls.



This is a primary regulatory function that South Africa must perform in the interest of safety and in accordance with its obligations under the Chicago Convention — Paragraphs 2.5.3 and 2.5.4 refer to the 'regulatory philosophy' and the 'manual on compliance measures'.

The regulatory philosophy will establish the principles governing the SACAA approach to the performance of its regulatory functions and the exercise of its regulatory authority in an SSP/SMS environment. In turn, the manual on compliance measures describes the compliance processes to ensure compliance with aviation safety requirements. This manual describes to the industry and to the public the opportunities available for service providers and the civil aviation administration to work together in the resolution of a broad range of safety-related concerns without the need to initiate formal corrective action.

The regulatory philosophy of SACAA, enacted in 1998, sets forth the principles concerning the performance of its regulatory functions and the exercise of its regulatory powers.

The manual on compliance measures of SACAA describes the compliance processes to make sure that aviation safety requirements are met. According to the regulatory philosophy of SACAA, the manual on compliance measures has been updated in order to clearly describe to the industry and to the public the opportunities that a service provider and the SACAA have for working towards resolving a broad range of safety concerns without the need to initiate formal coercive actions.

When not required to do so, the holders of an authorisation are still encouraged to use an SMS that includes corrective and preventive mitigation measures, through an internal reporting system to address safety deficiencies. The regulatory philosophy of the SACAA and the 'just culture principles' contained therein will increasingly govern the key elements of the enforcement policy of the SACAA, and will clarify the circumstances under which safety information may or may not be used and the sources of such information that can be protected from punitive action. The manual on compliance measures of the SACAA is available at www.caa.co.za.

2.7. Resolution of Safety Concerns (Critical Element - 8)

South Africa is required to use a documented process to take appropriate action, up to and including enforcement measures to resolve identified safety issues. The State shall also ensure that identified issues are resolved in a timely manner through a system that monitors and records progress, including actions taken by individuals and organisations performing an aviation activity in resolving such issues.

2.7.1. South Africa's initiatives in resolving safety issues

The SACAA initiates independent surveillance or investigation activities for identified non-compliance related to aviation safety, in accordance with its Enforcement Manual. The Enforcement Manual outlines processes for ensuring compliance with aviation safety regulations. These processes clearly outline the opportunities available to an operator to work with the SACAA to rectify issues.

The SACAA is empowered through the Civil Aviation Act 13 of 2009, to implement enforcement measures should a serious safety concern not be resolved in an effective or timely manner.

Safety concerns relating to reported safety events, negative safety trends and safety recommendations stemming from the outcomes of accident and incident reports will be risk-assessed by the SSPIMC and entered into the hazard register and CASP as necessary. The SSPIMC monitors safety indicators to ensure the effective implementation of required controls and actions. Where implementation is not seen to be effective, the SSPIMC will review assigned controls, actions and associated data to determine alternative options to resolve the safety concern.

CHAPTER 3

State Safety Assurance

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3. State Safety Assurance

3.1. Safety Performance Monitoring and Measurement

Approval holders are required to develop and maintain the means to verify their safety performance and to validate the effectiveness of safety risk controls. The approval holder's safety performance is verified in reference to the safety performance indicators and safety performance targets of their SMSs in support of their safety objectives.

South Africa is required to implement documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively assure that aviation licence, certificate, authorisation and approval holders continue to meet established requirements. These includes the surveillance of personnel designated by the SACAA to perform safety oversight functions on its behalf.

Safety oversight based on an SMS approach relies on a mutual responsibility and accountability philosophy rather than on a prescriptive approach aimed exclusively at regulatory compliance. This increases the responsibility of service providers that have daily control over maintaining a safe operational environment, focusing on safety throughout the structures, policies and procedures of the organisation. However, the AIID continues to play a fundamental role in quality assurance of the safety system of South Africa.

3.1.1. Surveillance Obligations (Critical Element 7)

Various agencies undertake inspections, audits and other monitoring activities to proactively safeguard compliance within the South African aviation system. Agencies have established and implemented effective and sustainable surveillance programs relevant to their operations.

Surveillance programs include plans that detail specific surveillance activities, their time frame and scope. The time frame and frequency of surveillance activities are risk based and scalable to the type and size of the operation, and take into consideration published guidance from ICAO.

Detailed guidance methodology, procedures and tools related to preparation, conduct, reporting and follow-up are available to inspectors at each agency. The SACAA details this in its Safety and Security Oversight Policy. The Safety and Security Oversight Policy with associated oversight manuals of the SACAA can be found at SACAA electronic platforms and as well as at www.caa.co.za. The oversight programme is reviewed and updated periodically.

Inspectors are required to ensure their assessment provides the best chance for the operator to demonstrate compliance. Inspectors are to ensure assessments are fair, flexible, valid and reliable. Evidence collected during surveillance activities must meet the rules of evidence, in that it must be valid, sufficient, authentic and current.

3.1.2. SACAA

The SACAA oversight components include:

- Trained and skilled technical personnel, with specific training in SMSs;
- Procedures and documented guidance material for acceptance and oversight of the associated safety processes;
- Licensing, certification, authorisation and approval; and
- Oversight activities, including scheduled and unscheduled audits and inspections, data collection and exchange, analysis, workflow management and information management.

The SACAA has expanded in accordance with the main ICAO categories through the development of an aviation sector profile for South Africa to also include flight instruction, airworthiness management, infrastructure and services.

The main objective of oversight is to determine whether an approval holder is complying with its obligations under the CARS 2011 and the regulations. The SACAA adopts a risk- and systems-based approach that uses product control as needed, to assess risk mitigation and the level of compliance by approval holders.

Oversight provides an assessment of the capacity of the approval holder to manage its safety risks and its willingness to comply with the legislation, including compliance with an SMS if necessary. Oversight can be scheduled or unscheduled, it can be conducted based on opportunity, or at random, or cover all aspects of the aviation industry. This oversight approach seeks to encourage the development of approval holder systems and provide guidance to the aviation industry for a better understanding of its safety responsibility.

3.1.3. Meteorological Authority

The Meteorological Authority has a responsibility to fulfil the obligation of the State under Article 28 of the Chicago Convention by ensuring that aeronautical meteorological services and related facilities provided in support of the safety, efficiency and regularity of international civil air navigation in South Africa comply with applicable national and international standards.

The Meteorological Authority conducts safety oversight activities over aeronautical meteorological service provision as part of the SSP. These activities are scheduled and performed annually. Unscheduled safety oversight activities may be conducted when safety data/information within the SMSs show that unsafe conduct and/or practices may exist within the system.

The scope of the Meteorological Authority's oversight activities extends to the providers of aeronautical meteorological services, suppliers of meteorological equipment, aeronautical meteorological training organisations and personnel providing meteorological service for civil air navigation.

3.1.4. Safety data collection for data-driven decision-making (D3M)

Safety data collected by the SACAA and AIID is reviewed, analysed and reported regularly in order to identify trends and emerging safety issues; this is also utilised to assist in addressing existing safety issues. Part of the main function of the SACAA is to monitor safety performance and identify safety trends and risk factors, taking into account the evolution of international safety. Another key function of the SACAA is the collection of safety data through the mandatory and voluntary safety reporting systems of South Africa in its areas of responsibility.

3.1.5. Oversight of domestic operators

The oversight conducted by the SACAA allows for prioritisation of oversight activities based on known information and focuses on assessing how effective an approval holder is in managing safety risks in its implemented systems.

The Safety and Security Oversight Policy of the SACAA and the Master Surveillance Plan (MSP) detail the schedule of audits, based on a series of indicators.

The SACAA has established monthly meetings of the oversight priority review group at its safety oversight offices with a view to planning and prioritising oversight based on identified safety risks.

3.1.6. Oversight of foreign operators

In accordance with the commitments of South Africa as an ICAO contracting state, the SACAA conducts assessment and oversight, including operator ramp inspections, on foreign passenger and cargo operators that provide scheduled and non-scheduled services to and from South Africa. This oversight is carried out in accordance with the Safely and Security Oversight Policy and other approved published guidelines.

3.1.7. Accidents and Incidents Investigations Division

The AIID investigates aviation accidents and incidents and collects safety data through the CORS of South Africa. The AIID uses this data to determine the prevalence of certain types of occurrences in different types of aviation operations, and proactively monitors emerging safety trends. Upon monitoring trends, it communicates safety issues and takes measures to prevent accidents.

Proactive monitoring of trends is a process based on safety information whereby all occurrences are reviewed to see if there are significant changes that might indicate a bigger problem. Potential issues are monitored by the SACAA. The SACAA and other agencies that are part of the SSP also receive the M0Rs via the CORS. The accountable executives of the aforementioned agencies implement mitigation measures to minimise perceived safety concerns. These trends may also indicate the need for the AIID to focus on certain types of occurrences for investigation purposes. The AIID regularly publishes reports of accidents, serious incidents and incidents that are directly related to the operation of aircraft.

3.2. State Safety Performance

The SACAA has established a mechanism to ensure effective monitoring of the implementation of the eight critical elements of the safety oversight system in order to monitor its effective implementation.

As the critical elements of safety oversight do not in themselves constitute safety risk controls, SACAA technical inspectors are responsible for auditing the successful and effective implementation of the SMS by the industry participants and overseeing SMSs through scheduled audits. During audits, both compliance with the regulations and achievement of safety performance as defined in the SMS are verified. The latter is achieved through monitoring the ability of the industry to achieve its agreed safety targets.

Inspectors will not only verify compliance with legal requirements, which now include SMSs, but will now review and assess the certificate holder's ability to achieve their agreed safety targets. Safety performance indicators and targets will be proposed by the certificate holder and have to be accepted by the SACAA.

South Africa monitors and measures the holistic safety performance of the aviation system through the analysis of safety data and information presented to the SSPIMC. Emerging safety concerns are identified during this analysis and are used to inform decisions regarding controls and their effectiveness. This analysis is used to identify emerging safety concerns and inform decisions on the safety goals, indicators and targets that are developed for inclusion in the CASP to measure overall State safety performance.

In support of South Africa's safety goals, the CASP defines a series of Safety Enhancement Initiatives (SEIs) and associated actions, designed to improve State safety performance. The SSPIMC is responsible for monitoring and tracking SEIs and actions. Actions may be assigned to a specific SSP working group.

In order to define its indicators, South Africa will establish a clear link amongst the low-probability/high-severity lagging Safety Performance Indicators (SPIs), the precursor events (high probability/low severity) and the leading SPIs. Further, South Africa will define the low-probability/high-severity lagging SPIs prior to determining the precursor SPIs or the leading SPIs. The definition of a precursor SPI (high-probability/low-severity indicator) in relation to a more serious occurrence or condition (low-probability/high-severity indicator) ensures a clear correlation between the two. South Africa will develop its indicators in its civil aviation safety plan in such a way as to align the higher risk areas of the State with the different sectors of the aviation industry.

3.2.1. Acceptable Level of Safety Performance (ALoSP)

In order to determine and update the ALoSP of South Africa, the effectiveness of the following four components has been taken into account:

- SSP implementation by the State;
- SMS implementation by service providers;
- Safety risk management in the aviation system of the State and the associated SPIs; and
- Implementation by the State of the standards and recommended practices (SARPs) of the Annexes to the Convention on International Civil Aviation.

South Africa reviews each of these elements through its aviation safety system.

3.2.2. The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)

South Africa applies a national systemic and coordinated approach to aviation safety management. Through the office of the DCA, a forum has been established to monitor and provide assurance on State USOAP CMA matters; this is guided by the National Continuous Monitoring Coordinator (NCMC) team procedure General Operations 008 and is composed of representatives from the National Department of Transport, the SACAA, and the Meteorological authority. The team is called the ICAO USOAP CMA Task team. To discharge its functions, this team meets on a bimonthly basis to feedback on progress achieved. The functions are directed through an annual State USOAP CMA activity schedule developed by the NCMC team and approved by the DCA on an annual basis. The schedule is geared towards ensuring the achievement of State USOAP CMA obligations.

3.2.3. ICAO compliance section

The ICAO compliance section derives its mandate from ICAO Doc. 9735, where responsibilities of the NCMC are outlined. From that, ICAO Compliance Specialists (ICS) is responsible for auditing, uploading and maintaining the South African responses and supporting evidence to the ICAO On-Line Framework (OLF). The responses on the OLF include Compliance Checklists (CCs), Electronic Filing of Differences (EFOD), Protocol Questions (PQs), State Aviation Activity Questionnaires (SAAQs) for safety, and Corrective Action Plans (CAPs) to address Findings and Recommendations (F&Rs). This section also manages internal and external (international) ICAO audits.

The current South African Effective Implementation (EI) is above average, and can be accessed through the following link: https://portal.icao.int/space/Paqes/USOAP-Table.aspx.

3.2.4. State management of change

South Africa has developed procedures to support the management of change at a State level. Implementing a change management process is important to allow the State to proactively identify the impact of change in its aviation system. South Africa plans and executes proposed State-level changes via a structured and defined methodology.

State changes, either planned or unplanned, that may impact South Africa's ability to fulfil its regulatory obligations or impact safety management capabilities are managed under the SSP framework. The impact of planned changes on the existing civil aviation system are considered prior to implementation and risks are identified for mitigation. All SSP changes are required to be considered by the SSPIMC. Changes can be classified as organisational, regulatory or operational and may include:

- Reorganisation of State aviation authorities (including downsizing);
- Changes in defined SSP processes;
- Changes in the regulatory environment, such as changes in existing State safety policies, programmes, and regulations;
- Changes in the operational environment, such as introduction of new technologies, infrastructure, equipment and services; and
- Rapidly changing industry (expanding, contracting and morphing) and its potential impact on the State oversight and performance monitoring capabilities.

3.2.5. Regulatory change

South Africa consults relevant government agencies, commercial organisations, industrial and consumer groups, bodies representing the aviation industry, and the public on all proposed safety regulatory changes. Public consultation typically includes:

- Discussion papers during the regulatory development stage;
- Draft regulations; and
- Summaries of consultation following consideration by the sub-committees and work groups.

All submissions provided prior to and within the public consultation period will be considered. All consolidated appropriate changes shall then finally be considered before the CARCOM prior to the proposed rule being submitted to the responsible Minister for approval.

3.2.6. Organisational change

SSP organisational changes are endorsed and overseen by the SACAA and other related stakeholders. The SACAA employs the RACI (Responsible, Accountable, Consulted and Informed) method to identify relevant stakeholders that will be affected by the proposed changes. The ADKARO methodology is employed to manage change. Management agencies that are directly impacted by the change are encouraged to be actively involved in the planning and implementation of the change. Agencies that are not directly impacted by the change must be informed of the change and associated activities.

3.2.7. Operational changes

Operational changes within the SSP environment may necessitate responses from SSP agencies, such as reorganising an agency's structure or improving its capability in order to effectively manage any associated risks.

3.2.8. Other changes

Where changes do not impact other SSP stakeholders or relate to an existing risk control, an SSP agency will freely implement changes within their respective areas of responsibility in accordance with agency procedures. Where the change impacts policy or procedures documented in the SSP, then the agency making the change should notify the SSPIMC to ensure the change can be appropriately documented. Each agency will ensure that the impact of a planned change on the broader SSP and other SSP agencies is considered through their management of change.

3.2.9. Continuous Improvement

South Africa utilises the Deming Model (Plan/Do/Check/Act cycle) to continuously improve the SSP and aviation system through regular reviews of the SSP and implementation of a NASP and Air Traffic Management Procedures (ATMPs).

CHAPTER 4

State Safety Promotion

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4. State Safety Promotion

ICAO requires that a State promote safety awareness and the sharing and exchange of safety information to support the aviation industry within the State and abroad, to foster and develop a positive safety culture and an effective SSP.

4.1. South Africa's Initiatives Towards the Promotion of Aviation Safety

Safety promotion is critical in supporting the core operational objectives in South Africa's SSP. All South African aviation agencies play a role in aviation safety promotion. Safety promotion in South Africa is enhanced through employee training, communication and dissemination of safety information to ensure an effective State safety culture.

4.1.1. Internal communication and dissemination of safety information

South Africa's aviation agencies offer a range of mandatory and recommended safety awareness training opportunities with a view to keep all relevant staff informed and aware of emerging safety concerns. SSP and SMS awareness training has been developed and is accompanied by educational and awareness campaigns through other communication touchpoints, such as agencies' learning management systems, email newsletters and internal advertising.
The SACAA and AIID, under the Department of Transport, are regularly in contact concerning accident and incident investigations, safety activities, shared training opportunities and requests for information.

4.1.2. External communication and dissemination of safety information

The SACAA conducts a series of safety education and promotion activities with a view to keeping the aviation industry and public informed and aware of emerging safety concerns
The SACAA has an active group of aviation safety advisors to provide assistance and advice to the industry.
The SACAA also publishes industry support tools such as manuals and guidance materials.
In addition, the SACAA hosts safety education and promotion activities and the material produced at these engagements on the SACAA website: www.caa.co.za.

4.1.3. AIID

The AIID communicates and disseminates safety information, including information drawn from the results of its investigations, and safety research and analysis. The AIID publishes investigation and research reports publicly on the website, delivering targeted safety messaging to the aviation industry.
The AIID also highlights the safety concerns derived from investigation findings and from occurrences reported by the industry and makes recommendations to prevent reoccurrence. The AIID does not aim to establish blame or liability.

4.1.4. Department of Transport

The DoT shares information with the public using media platforms available depending on the subject issue.
The following are media platforms and houses used:

- SABC (radio and television);
- other privately owned media houses;
- ENCA;
- NewzRoom Afrika;
- community media (radio and newspapers);
- social media platforms of the Department (Facebook, Twitter and Instagram); and
- the DoT website.

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