Civil Aviation Authority
of Fiji

State's Safety Programme
Fiji

18/10/12

Published by:
Civil Aviation Authority of Fiji
Private Mail Bag, NAP 0354
Nadi International Airport
Fiji
www.caaf.org.fj

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Copy number: Electronic Copy

This manual is subject to the amendment service: ☑Yes ☐No

Date of Effectiveness: **18/10/12**

RECORD OF AMENDMENT

Amend. No	Subject	Section/ Page	Date
1	Enforcement Policy	Page 13	06/10/15

EXECUTIVE SUMMARY

(a) The State Safety Programme includes a regulatory framework and activities within the State to ensure the discharge of the State's obligations under the Chicago Convention.

(b) The Civil Aviation Act 1976, Civil Aviation Authority Act 1979, Civil Aviation (Reform) Act 1999, Air Navigation, Regulations (ANRs) and Standards Documents lay the foundation for Civil Aviation Requirements in Fiji. These requirements provide a sound, simple, cohesive legal framework which is, wherever practicable, consistent and compliant with the Annexes to the Convention and suited to the level of aviation activity within the State.

(c) The Standards Document comprise a stand-alone system of regulation that largely eliminates the need for constant cross-reference to the ICAO Annexes.

(d) In legal terms, the Standards Documents are the means by which compliance with the legislation may be demonstrated. They are also the means by which the Chief Executive of the Civil Aviation Authority of Fiji can be satisfied as to the basis for the issue, renewal or maintenance of a license, certificate, approval or other aviation documents.

(e) All amendments to the Civil Aviation Laws and Standards will be the subject of a full consultation exercise.

(f) There shall be a Civil Aviation Authority of Fiji Safety Plan which shall include any variations to cover local needs.

(g) By these means Fiji Government can be assured, and demonstrate as required, that Fiji aviation industry is meeting the agreed international standards and that the regulatory oversight of the industry is adequate.

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Netava Waqa
CHIEF EXECUTIVE

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DEFINITIONS & ABBREVIATIONS

For the purposes of this document:

State Safety Programme means an integrated set of regulations and activities aimed at improving safety.

Safety performance indicator is a measure (or metric) used to express the safety performance in a system.

Safety performance target is the desired level of safety performance. A safety performance target comprises one or more safety performance indicators, together with desired outcomes expressed in terms of those indicators.

Note: ICAO Doc.9859 *Safety Management Manual* describes safety performance indicators and safety performance targets within the concept of an "acceptable level of safety". This concept is used to express safety expectations under a performance-based approach that is designed to complement regulatory compliance.

Safety requirements (initiatives) are the steps that need to be taken to achieve the safety performance targets. They include the operational procedures, technology systems and programmes to which measures of reliability, availability, performance and/or accuracy can be specified.

Service Providers refers to any organization providing aviation services. The term includes approved training organizations, aircraft operators, and maintenance organizations, organizations responsible for type design and/or assembly of aircraft, air traffic services providers and certified aerodrome operators, as applicable.

A **hazard** is any situation or condition that has the potential to cause damage or injury.

Risks are the potential adverse consequences of a hazard, and are assessed in terms of their severity likelihood.

When risks have been assessed, **mitigation** is then needed: either to eradicate the hazard, or to reduce the severity or likelihood of the risks.

Abbreviations

ADREP	Accident/Incident Data Reporting
CAAF	Civil Aviation Authority of Fiji
ANRs	Air Navigation Regulations
CE	Chief Executive (CAAF)
DCA	Director of Civil Aviation
ECCAIRS	European Co-ordination Centre for Aviation Incident Reporting Systems

PART I – GENERAL

1 GENERAL

1.1 Purpose of this document

(a) Section 3(1) (i) of the Civil Aviation Act, and Section 14 (3) requires the establishment of a State Safety Programme in Fiji.

(b) ICAO Doc 9859 *Safety Management Manual,* paragraph 6.3.1 and 6.4.1 state:

Annexes 1, 6, 8, 11, 13 and 14 to the Chicago Convention include the requirement for States to establish a State Safety Programme (SSP), in order to achieve an Acceptable Level of Safety in civil aviation.

The acceptable level of safety (ALoS) to be achieved (by an SSP) shall be established by the State.

(c) This safety programme will cover SMS concepts for continuous safety improvement across all functional areas within the aviation industry where it can be possibly applied.

Therefore, the purpose of this document is to demonstrate:

- Compliance with the requirements in the Laws of Fiji pertaining to Civil Aviation.
- compliance by the CAAF with the SARPs of ICAO;
- that the CAAF has conducted gap analysis comparing the State's Safety Programme (SSP) requirements against the existing resources in the State (see SSP Gap Analysis in **Appendix – A**);
- that the CAAF has developed the State's Safety Programme (SSP) and its implementation plan based on the results of the SSP gap analysis (see SSP Implementation Plan in **Appendix – B**);
- the regulatory framework, thereby enabling visible linkage between the national regulatory planning and oversight and an operator's/service providers SMS;
- the integration of the diverse, multidisciplinary safety regulatory activities into a coherent whole, as illustrated in the diagram in **Appendix - C;**
- that adequate provisions are being made for the safety regulation of the aviation system within the jurisdiction of the State and that the State is meeting the requirements of the larger global aviation system;

- that regulatory, oversight and enforcement functions are in place;
- that risk-based resource allocations approach for all regulatory functions (proactively targeting regulatory attention on known areas of high risk) is adopted;
- that the CAAF has established performance monitoring for safety regulatory functions (licensing, certification, enforcement, etc.);
- that acceptable levels of safety for aviation within the State are being set and achieved, and expressed in terms of safety performance indicators and safety performance targets;
- that the CAAF has established hazard identification programme through the implementation of:
  - Mandatory occurrence reporting system;
  - Voluntary (non-punitive) incident reporting system;
  - Confidential Reporting;
  - 24 Hour reporting Telephone 0800 6725299.
- that the CAAF has established active and passive safety promotion programmes to assist operators and to make safety information broadly accessible (including safety database, trend analysis, monitoring of best industry practices, etc.);
- that the CAAF has established national safety monitoring programmes (trend monitoring and analysis, safety inspections, incident investigations and safety surveillance);
- that the CAAF has established regular regulatory safety audits to ensure compliance by all operators and service providers; and
- that the State has a system of managing accident investigation independent from regulatory authority and a competent incident investigation capabilities

1.2 Background

(a) Fiji is a signatory to the Convention on International Civil Aviation (the Chicago Convention) and, therefore, agrees to comply with the Standards and Recommended Practices (SARPs) published by the International Civil Aviation Organization (ICAO) in the Annexes to the Convention.

(b) The CAAF is entrusted with the responsibility of safety regulation of all aspects of civil aviation, including the licensing of personnel and the certification of aircraft, commercial airports, air transport operators and air navigation service providers.

(c) The Civil Aviation Act requires the establishment of a State Safety Programme.

(d) Civil Aviation Authority of Fiji is responsible for regulatory oversight of all aviation activities within the State and of aircraft on Fiji Civil Aircraft register wherever they may be.

(e) The CAAF has the responsibility for ensuring that it's financial and human resources are sufficient to support the establishment and the continued sustainability of the State Safety Program.

1.3 State's Safety Programme Gap Analysis

(a) The CAAF is responsible for the implementation of a safety programme in order to achieve an acceptable level of safety for the activities performed by the industry operators and service providers. The State Safety Programme (SSP) is an integrated set of regulations and activities aimed at improving safety.

(b) The implementation of an SSP requires the CAAF to conduct an analysis of its safety system to determine which components and elements of an SSP are currently in place and which components and elements must be added or modified to meet the implementation requirements. This analysis is known as gap analysis, and it involves comparing the SSP requirements against the existing State civil aviation system, requirements and the resources of the CAAF.

(c) The guidelines for the SSP gap analysis provided in checklist format in **Appendix – A,** provides information to assist in the evaluation of the components and elements that comprise the ICAO SSP framework and to identify the components and elements that will need to be developed. Once the gap analysis is complete and documented, it will form the basis of the SSP implementation plan.

(d) The gap analysis form included in **Appendix – A** can be used as a template to conduct a gap analysis. Each question is designed for a "yes" or "no" response. A "yes" answer indicates that the State already has component or element of the ICAO SSP framework in question incorporated into its safety system, whether it matches or exceeds the requirement. A "no" answer indicates that a gap exists between the component/element of the ICAO SSP framework and the safety system in the State.

1.4 State's Safety Programme Implementation Plan

Based on the result of the SSP gap analysis the SSP implementation plan is developed by the CAAF and which is provided in the **Appendix – B**.

1.5 Document Control

(a) This is the State's Safety Programme (SSP) required under *ICAO Annexes 1, 6, 8, 11, 13 and 14* to meet the obligation of Fiji. The copy of the SSP will be made available to all regulatory staff having safety oversight responsibilities by the *Civil Aviation Authority of Fiji.*

(b) Changes to this document will be achieved by a controlled amendment service in conformity with the CAAF Manual Standards.

(c) It is the function and responsibility of the Chief Executive of the Civil Aviation Authority of Fiji to review the document at least annually to ensure the relevance and currency of all Legislation, Regulations, Standards and Information etc.

1.6 Distribution and Control of the SSP Document

CAAF Policy under the Control of Documents is not to provide printed copies but to make all documents electronically available through the Intranet to CAAF staff and through CAAF website to the industry. A Master Copy will be available with the CAAF Document Control Officer.

PART – II
STATE'S SAFETY PROGRAMME

2 STATE'S SAFETY POLICY AND OBJECTIVES

2.1 Safety Policy

The management of civil aviation safety is one of the major responsibilities of the Civil Aviation Authority of Fiji (CAAF). CAAF is committed to developing, implementing, maintaining and constantly improving strategies and processes to ensure that all aviation activities that take place under its oversight comply with both national and international standards and meet or exceed the acceptable level of safety performance.

The holders of Fijian aviation documents shall be required to demonstrate that they adequately reflect an SMS approach to their management of safety. The expected result of this approach is improved and sustained safety management, and safety practices, including hazard identification, risk assessment, remedial action and safety reporting within the civil aviation industry.

In CAAF, all levels of management and inspectorate staff are accountable for the delivery of the highest level of safety performance within Fiji, starting with the Chief Executive. This is reflected in the CAAF Corporate Mission Statement and Values.

Fiji's commitment is to:

a) develop general rulemaking and specific operational policies that build upon safety management principles, based on a comprehensive analysis of the State's aviation system;

b) consult with all segments of the aviation industry on issues regarding regulatory development;

c) support the management of safety in the State through an effective safety reporting and communication system;

d) interact effectively with service providers in the resolution of safety concerns;

e) ensure that within the Civil Aviation Authority of Fiji, sufficient resources are allocated and personnel have the proper skills and are trained and competent for discharging their responsibilities, both safety related and otherwise;

f) conduct both performance-based and compliance-oriented oversight activities, supported by analyses and prioritized resource allocation based on safety risks;

g) comply with and, wherever possible, exceed international safety requirements and standards;

h) promote and educate the aviation industry on safety management concepts and principles;

i) oversee the implementation of SMS across all section and disciplines in the Aviation industry organisations;

j) ensure that all activities under CAAF'S oversight system achieve the highest safety standards;

k) establish provisions for the protection of safety data, collection and processing systems (SDCPS), so that people are encouraged to provide essential safety-related information on hazards, and there is a continuous flow and exchange of safety management data between CAAF and operators/service providers;

l) establish and measure the realistic implementation of our SSP against safety indicators and safety targets which are clearly identified; and

m) promulgate an enforcement policy that ensures that no information derived from any SDCPS established under the SSP or the SMS will be used as the basis for unreasonable enforcement action, except in the case of gross negligence or willful deviation.

This policy must be understood clearly by every employee of the CAAF who, shall regulate himself/herself in view of this policy at all times when performing the assigned tasks or any activities related to the Civil Aviation Authority of Fiji.

Netava Waqa
CHIEF EXECUTIVE

(This policy was approved by the Civil Aviation Authority of Fiji on 26th August 2010 and hence forms part of the Staff Rules and Administrative Procedures)

2.2 CAAF Safety Standards

CAAF has promulgated a national legislative framework and specific regulations and Standards to ensure compliance with international and national requirements. The framework defines the Safety Standards and how the Civil Aviation Authority of Fiji (CAAF) will oversee the management of safety in Fiji. This includes the CAAF's participation in specific activities related to the management of safety in Fiji, and the establishment of the roles, responsibilities, and relationships of organizations in the system. The safety standards are periodically reviewed to ensure they remain relevant and appropriate to Fiji.

2.3 Safety Regulatory Framework – Objectives and Criteria (See diagram in Appendix – D)

The regulatory framework meets the following objectives or criteria:

(a) To ensure that Fiji's safety regulatory regime meets the International Civil Aviation Organisation 8 Critical Elements of a safety oversight system (**see Appendix–E**). Effective implementation of the Critical Elements demonstrates that CAAF is **'fit for the purpose' as this state's** safety regulatory body.

(b) Legislative system in Fiji comprises three tiers:

- the primary aviation legislation: in this case the Civil Aviation Act, (CAA) and Civil Aviation Authority of Fiji Act (CAAFA); Civil Aviation (Reform) Act (CARA).
- the secondary legislation: the operating Air Navigation Regulations (ANRs);
- The Standards: Standards Document (SD).

(c) Additional Requirements and Information are implemented in the form of Aviation Safety Information – Aeronautical Information Circular (AIC) and Fiji Airworthiness Notices.

(d) The advisory materials are published in the AIC and forms part of the AIP and Fiji Airworthiness Notices forms part of the aircraft maintenance and airworthiness standards.

(e) The regulatory framework enables the fulfillment of the obligations of Fiji under the Chicago Convention within the State. More detailed information about the legal framework may be found at CAAF Website: www.caaf.org.fj

(f) The regulatory framework provides consistency and compliance with the Annexes to the Convention wherever practicable.

(g) The regulatory framework gives effect to, or enables, the application of Standards suitable for Fiji.

(h) The 3 tier regulatory framework provides a sound legal framework and the flexibility for the adoption of Safety standards in a timely manner.

(i) The regulatory system comprises a stand-alone system of regulation that largely eliminates the need for constant cross-reference to the ICAO Annexes.

(j) The regulatory framework suits the level of aviation activity in Fiji.

(k) The regulatory provisions use ICAO terminology and definitions wherever possible.

2.4 Civil Aviation Act

The Civil Aviation Act, Civil Aviation Authority of Fiji Act and Civil Aviation (Reform) Act are the primary legislations that provide the authority to implement other statutory instruments in the area of civil aviation within Fiji.

2.5 Regulations

(a) The Air Navigation Regulations are secondary i.e. subsidiary legislation.

(b) The CAAF has, in recent years, made a series of amendments to update the ANRs to include all changes to ICAO Annexes and SARPS. *A complete re-write and modernizing of the ANRs is now in progress to harmonise the format numbering and content of the ANR with globally accepted standards using the NZ CAR's as basis.*

(c) It is important to note that the CAAF is given a wide variety of discretionary powers under the ANRs to grant certificates, licences and approvals of various kinds.

2.6 Standards Document – Compulsory (CAAF requirements)

(a) The basic philosophy underlying the SD's - Compulsory is to have a package of requirements/standards that forms a means of compliance with the ICAO SARPs that is consistent with the legislation in force.

(b) Where this is a State responsibility, the means of ensuring that aspects of the State civil aviation system comply with ICAO SARPs, e.g. MET, SAR.

(c) The CAAF is required to produce the means of compliance to enable the CAAF to be satisfied that applicants for, or holders of, licenses, certificates and approvals meet their legal obligations. The CAAF has the authority to publish implementing standards section *14*

(3) (b) of the Civil Aviation Authority Act as amended.

(c) The Standards Documents - compulsory provisions set out, for the benefit of those regulated:

- the requirements for obtaining and holding a license, certificate, authority or approval;
- the way in which the rights and privileges of licenses, certificates, authorities or approvals are exercised;
- the way obligations which come with the privileges are to be discharged; and
- general instructions regarding the operation and piloting of aircraft.

(d) The criteria to be applied in relation to Standards Document are that:

- Enforcement actions for failure to comply with any obligation imposed upon a person or organization must be supported by the Air Navigation Regulations if it is to be enforceable.
- The Standards Document - are the means by which compliance with the law may be demonstrated. They are also the means by which the CAAF can be satisfied as to the basis for the issue or renewal of a license, certificate, approval or other aviation documents.
- The Standards Document employ common terms or expressions used by ICAO in making the SARPs and adopted by most of the countries around the world.

(e) The CAAF may accept alternative or other acceptable means of compliance (AMOC) submitted by the operator's or service providers if it can be demonstrated through risk assessment that the AMOC offers the same or better safety measures and outcomes.

2.7 Aeronautical Information Circular

Whereas the Standards are intended to provide a comprehensive suite of requirements, there is also a need to publish additional information which is not appropriate to publish as requirements. Such information and guidance are published in the form of (Circulars) – The AIC cover the following topics:

- Practical, detailed guidance on meeting the requirements in the CAAF Requirements.
- Information of a temporary nature.
- Information published in advance of a formal amendment to CAAF

Requirements.

- General administrative process.

2.8 Policies and Procedures

(a) **Policies** for the State which are of high importance or controversial issues which affects industry as a whole are referred to the CAAF Board by the Chief Executive for a decision. The resulting Policy Statements will then be subjected to consultation and approval by the concerned Minister. The policies are placed on the CAAF website. Policy Statements are used to drive the development of requirements set out in the Laws & Standards.

(b) The Technical Procedures to be followed by the inspectors in the CAAF are available in the Inspectors Handbooks published by each technical section in the CAAF, while the procedures of administrative nature for the CAAF staff are available in the CAAF Administration Policy Manual.

(c) **Technical Procedures** assist objective regulation by providing CAAF inspectorate staff with essential information, guidance and protocols. The guidance for inspectors has to be consistent with those requirements that have been designed to suit the needs of aviation activity within Fiji. Technical procedures provide the mechanism for CAAF inspectors to make an objective assessment of compliance whilst maintaining the safety objectives of the CAAF Requirements.

2.9 Consultation

(a) New issue or all amendments to Fiji Laws & Standards will be the subject of a full consultation with the industry unless minor in nature. The consultation process is defined in AIC 05/10 which is currently being reviewed and amemded. With regard to the amendment to Law & Standards the CAAF will consult the:

- concerned Ministry;
- concerned Department;
- Public (via internet) and,
- aviation industry;

2.10 Monitoring and Review of the State's Regulatory Framework

(a) **Oversight of the regulatory framework:** The regulatory framework is monitored continuously by the CAAF in the course of its usual regulatory business. A full and formal review of the framework will be under taken yearly taking into account changes by ICAO and inputs from oversight activities and industry. Changes to the framework

identified will be included as part of the CAAF Corporate Plan. Proposed amendments to the primary and secondary legislation will be submitted to government for approval and promulgation and changes to the standards documents, AIC's and AIP's will be approved and published by the CAAF accept the AIP which will be published by the Airports Fiji Limited or the ANSP approved by the state and certified by the CAAF.

(b) **Maintenance of the regulatory framework:** The CE is responsible for the administration necessary to maintain the regulatory framework. The CAAF has suitable procedures and is adequately resourced (staffed, funded etc), for the longer term, to fulfill this task. The CAAF Corporate Plan describes this commitment in detail; and the funding to support the CAAF overall oversight activities.

2.11 CAAF Safety Responsibilities and Accountabilities

Fiji has identified and defined the CAAF's functions, responsibilities and accountabilities regarding the establishment and maintenance of the State's safety programme. This includes the directives to plan, organize, develop, control, monitor and continuously improve the State's safety programme in a manner that meets the State's safety needs. It also includes a clear statement about the provision of the necessary human and financial resources for the implementation of the State's safety programme.

2.12 State's Regulatory Responsibilities

(a) Regulatory responsibilities of Fiji in civil aviation activities are:

- **SARPs**. - Fiji as the signatory to the Chicago Convention is responsible for implementation of ICAO SARPS within the airspace and at aerodromes for which it has responsibility.

- **Civil Aviation Authority of Fiji** (**CAAF**) - Fiji has established the **Civil Aviation Authority of Fiji** (**CAAF**), with the necessary powers to ensure compliance with the regulations under the Civil Aviation Authority of Fiji Act S14.

- **Safety oversight**. - The CAAF has established the safety oversight mechanisms to ensure that operators and service providers maintain an acceptable level of safety in their operations.

(b) In the discharge of regulatory responsibilities of Fiji, the CAAF should:

- Represent a well-balanced allocation of responsibility between the State and the operator or service provider for safety;

- Be capable of providing economic justification within the resources of the CAAF for decisions it makes without compromising safety.

- Enable the CAAF to maintain continuing regulation and supervision of the activities of the operator or service provider without unduly inhibiting their effective direction and control of the

organization; and

- Cultivate and maintain harmonious relationships with all stakeholders, the operators, service providers and government in manner that promotes aviation.

2.13 Civil Aviation Authority

(a) The Civil Aviation Authority of Fiji (CAAF) is the State's agent for implementing the legislative and regulatory provisions for aviation safety. In effect, the CAAF develops and delivers the State's Safety Programme (SSP).

(b) The CAAF is guided by:

(1) A clear statement of its vision and mission regarding safety (referred to as the CAAF Safety Policy**)**;

(2) A well understood and accepted set of:

- Operating principles, such as delivering safe and efficient service consistent with public expectations and at reasonable cost; treating clients and employees with respect, etc.; and
- Corporate values such as competence, openness, fairness, integrity, respect, responsiveness to client needs, etc.

(c) A statement of the CAAF's safety objectives (CAAF's Safety objectives are given with the CAAF's Safety Policy.)

(d) Government or State's Civil Aviation Policy

The CAAF Organizational Structure is given in **Appendix – G** which shows all safety regulatory and administrative functions of CAAF.

2.14 Safety Responsibilities and Accountabilities of the CAAF

a) The CAAF is accountable for:

(1) Establishing and implementing the rules, regulations and procedures but not limited to the following key areas:

- Personnel licensing
- Aircraft Registration
- Certification of continuing Airworthiness of Aircraft.
- Certification of Air Operators
- Certification of Air Navigation service Providers
- Certification of Aviation Training Organizations
- Certification of Repair and Maintenance Organizations
- Certification of Aerodrome etc.;

(2) Implementing a system for safety oversight of the entire civil aviation system by using inspections and safety audits, etc;

(3) Carrying out enforcement actions as necessary;

(4) Monitoring technological developments and best industry practices with a view to improving the State's aviation system performance;

(5) Maintaining a system of aviation records, including licenses and certificates, reported accidents and incidents, etc.;

(6) Conducting analyses of safety trends, including accident/incident data, service difficulty reports, etc.; and

(7) Promoting safety through the dissemination of specific safety materials, conducting safety seminars, etc.

(b) The CAAF is accountable for:

(1) Ensuring that the CAAF financial and human resources are sufficient for the establishment implementation and maintenance of the SSP.

2.15 Accident Investigation

Fiji has established an independent accident investigation process, the sole objective of which is to support the management of safety in Fiji and not the apportioning of blame on liability.

(a) The investigation of accidents is subject to a separate regulation the Civil Aviation Occurrence Reporting and Investigation Regulation and is not a part of the Air Navigation Regulation. The power for Air Accident Investigation is vested in the Minister responsible for Civil Aviation.

(b) The Minister appoints the Investigator in Charge (IIC). The IIC is independent from the Regulator (CAAF), although the Regulator may be asked to provide technical expertise and in some cases conduct investigation of minor accidents and where fatality is not involved.

(c) Serious and Normal incidents and occurrences reported under the Mandatory occurrences reporting system are the responsibility of the CAAF.

2.16 Enforcement Policy

The Civil Aviation Authority of Fiji has promulgated an enforcement policy that allows the industry including the operators and service providers to deal with, and resolve, events involving safety deviations and minor violations internally, within the context of the service provider and operators safety management system (SMS), to the satisfaction of the Authority. The enforcement policy also include provisions for the CAAF to deal with events involving gross negligence and willful deviations through established enforcement procedures.

(a) The CAAF Act 1979 and the ANR confers on the CAAF the power of

enforcement and this power may be delegated to the CAAF officials, as appropriate. Breach of the relevant provisions of the CAAF Act 1979 and the ANR is a criminal offence carrying a maximum penalty which depends on the nature and circumstances of the breach.

(b) Although the CAAF Requirements for the issuance, variance, maintenance or refusal of a license, certificate or approval are not legislated or strictly regulated, they are however, the means by which the CAAF can be satisfied as to the basis of its decision making. Therefore, non-compliance with the CAAF Requirements may result in the CAAF:

i. revoking a license, certificate or approval,
ii. refusing to grant a license, certificate or approval
iii. granting a license, certificate or approval with conditions, or
iv. varying a license, certificate or approval.

(c) The revised CAAF enforcement policy allows:

(1) the industry including the Operators/service providers to deal with, and resolve, events involving safety deviations and minor violations internally, within the context of the service provider safety management system (SMS),to the satisfaction of the CAAF;

(2) The CAAF to deal with events involving the issuance of Improvement & Infringement Notices and Investigations and Penalties in cases of gross negligence and willful deviations through established enforcement procedures.

3 STATE'S SAFETY RISK MANAGEMENT

3.1 Safety requirements for service providers SMS

The CAAF has established the controls which govern how service providers will identify operational hazards and manage safety risks. This includes the requirements, specific operating regulations and advisory materials for service providers' SMS. The requirements and specific operating regulations are periodically reviewed to ensure they remain relevant and appropriate to the service providers.

(a) The *Standard Document on Safety Management Systems"* requires that the Air Traffic Service providers, Aerodrome Operators and Aircraft Operating and Maintenance organisation have a safety management system in place in their operations as per the requirements specified in Standards Document. The operator and service providers shall also develop the SMS implementation plan considering a phased approach of its implementation and shall be approved also by the CAAF.

(b) The hazard identification process and safety risk management are described in the Standards Document Safety Management System.

(c) The CAAF has established the requirements for the operator's and service provider's SMS to achieve by the operators/service providers, an acceptable level of safety in their operations:

(d) The following documents give detail guidance on those schemes/programmes mentioned in 3.1 (c) above:

- ANR 71, MORI – Mandatory/Voluntary Occurrence Reporting Scheme
- ANR34, ANR 145 – Regulatory Requirements on Safety Management
- SD SMS – Standards Document Safety Management System

3.2 Approval of Operators & Service provider's Safety Targets

The CAAF is working with individual operators and service providers to establish their Safety Performance Indicators and Safety Targets. These Safety Targets are commensurate to the complexity of individual operators and service provider's specific operational contexts and the availability of individual service provider's resources to address safety risks.

The agreed Safety Targets are given with Safety Performance Indicators. The agreed Safety Targets will be periodically reviewed to ensure they remain relevant and appropriate to the service providers.

3.3 CAAF Safety Plan (SP)

(a) The CAAF Safety Plan represents the more operationally focused part of the SSP and is established to achieve an acceptable level of safety in aviation operations.

(b) The CAAF Safety Plan is driven by safety data targeting oversight of areas of greater safety concern or need based on safety information derived from the following inputs.

(1) Input from (but not limited to):

- the CAAF Safety Risk Register:
- mandatory occurrence reports,
- Fiji Confidential Report (FCAIR),
- wildlife/bird strike report,
- safety initiatives developed by other National Aviation Authorities and regional organizations,
- Outcome of Surveillance activities conducted by staff of the CAAF

(2) Safety Performance Indicators (SPI) - are the measures (or metrics) used to express the safety performance in a system. They should be uncomplicated, easy to measure and enable linkage between the Safety Plan and an operator's/service provider's SMS. They will therefore differ between segments of industry, such as aircraft operators, aerodrome operators or ATS providers.

(3) Safety Performance Targets (SPT) - (sometimes referred to as goals or objectives) represent the desired level of safety performance. A safety performance target comprises one safety performance indicator together with desired outcome expressed in terms of this indicator. These are necessarily determined by considering what safety performance levels are desirable and realistic for individual service provider/operator's. SPT should be measurable and acceptable to the parties involved.

Note: This approach enables safety expectations to be expressed in terms that are performance based, for example:

- maintain accident rate to below the global rate each year

(4) Safety Requirements – (sometimes refers to as safety initiatives) are the tools or means required to achieve the safety targets. They include the operational procedures, technology, systems and programmes to which measures of reliability, availability, performance and/or accuracy can be specified.

Examples of safety requirements are:

- CAAF accident prevention programme,
- wildlife/bird strike hazard reduction programme,
- the deployment of ADS-B surveillance for domestic air space within the next 24 months etc.
- Runaway & Safety Programme
- Fatigue Risk Management programme
- Safety Education/Training

3.4 Acceptable Level of Safety

(a) The concept of acceptable level of safety responds to the need to complement the prevailing approach to the management of safety based upon regulatory compliance, with a performance-based approach.

(b) When establishing ALoS, consideration must be given to

i. the level of safety risk that applies
ii. the safety risk tolerance
iii. the cost/benefits of improvements to the aviation system

iv. the public expectations in civil aviation system

(c) Acceptable level of safety expresses the safety goals (or expectations) of the CAAF.

(d) The acceptable level of safety is expressed by two measures/metrics (safety performance indicators and safety performance targets) and implemented through various safety requirements.

(e) The CAAF is responsible for the establishment of the acceptable level of safety in aviation operations.

(f) At the beginning CAAF will establish initial ALoS on selected high level high consequence (safety measurement) outcomes.

(g) As the SSP achieves maturity CAAF will establish ALoS on low level low consequence (safety performance measurements) outcomes too.

(h) The CAAF has established the following initial acceptable levels of safety benchmarked to global measurement to be achieved by the establishment of this safety programme:

	Value of Safety Indicator	**Safety Target**
1	1.8 fatal accidents for Fiji Registered aircraft per 1 million flights (10 years average, 2002 – 2011)	40 per cent reduction in five years
2	14.38 accidents for Fiji registered aircraft per 1 million flights (10 years average, 2002 – 2011)	40 per cent reduction in five years
3	12.19 serious incidents per 1 million flights (5 years average, 2007 – 2011)	25 per cent reduction in three years
4	541 bird strikes per 1 million flights in Fiji (5 years average, 2007 – 2011)	Reduce and maintain a rate of below 404 bird strikes per million flights by end of 2014 (this lowest rate was achieved in 2010)
5	8.7 Classification A1* ATC airspace incidents per 1 million flights (5 years average, 2007 – 2011)	30 per cent reduction in five years
6	648 numbers of system component failures per 1 million flights (5 years average, 2007 – 2011)	25 percent reduction in 5 years
7	38% Lack of Effective Implementation (LEI) of ICAO SARPs by Fiji as of October 2012	Reduce the State's Lack of Effective Implementation (LEI) to below 20% by end of 2013

**Classification A1 ATC Incident is an incident whereby a breakdown of separation incident has occurred and an evasive maneuver was carried out to avoid collision between 2 or more aircraft.*

The acceptable level(s) of safety for different operators/service providers are yet to be received. This will be listed in **Appendix – H** once they are finalised.

4 STATE'S SAFETY ASSURANCE

4.1 Safety Oversight

The CAAF has established mechanisms to ensure that the identification of operational hazards and the management of safety risks by service providers follow established regulatory controls (requirements, specific operating regulations and guidance materials). These mechanisms include inspections, audits and surveys to ensure that regulatory safety risk controls are appropriately integrated into the service providers' SMS, that they are being practiced as designed, and that the regulatory controls have the intended effect on safety risks.

4.2 Safety Oversight of Operators and Service Providers

(a) The responsibility for regulatory oversight of the operators and service providers rests with the CAAF.

(b) Oversight is conducted through a mixture of what ICAO terms the 'traditional perspective' and the 'modern perspective' – the CAAF is moving towards the modern perspective.

(c) Designations in all functional areas of CAAF are under review through the Assessment process.

(d) CAAF regulatory staff is specialists in the functional areas which they regulate.

(e) Regulatory oversight is conducted through inspections, audits, tests/exams and surveys together with provision of advice and guidance, to ensure that:

(1) Operators and service providers meet the national and international standards;

(2) the identification of operational hazards and the management of safety risks by service providers follow established regulatory controls (e.g., requirements, specific operating regulations and guidance meterials);

(3) regulatory safety risk controls are appropriately integrated into the service provider's SMS;

(4) regulatory safety risk controls are practiced as designed;

(5) regulatory safety risk controls have the intended effect on safety risks.

(f) Ramp checks of foreign aircraft are also conducted by the airworthiness and flight operations team.

Note:- Aviation safety has traditionally focused on compliance with regulatory requirements and reacted to undesirable events by prescribing measures to prevent recurrence. A different approach is needed to keep ***safety risks at an acceptable level*** *as the industry continues to develop. The* ***'modern perspective'*** *includes the use of safety management systems and is designed to complement regulatory compliance by the proactive use of best practices.*

4.3 Internal Oversight Audit of CAAF

(a) The CAAF has fully-functioning requirements, as described in paragraph 2.6 above. Internal quality assurance audits and internal technical audits are carried out regularly by the CAAF Internal Audit and Quality Assurance Section to provide assurance on corporate governance to the CAAF management and Board.

(b) The CAAF Internal Audit and Quality Assurance Section is to audit aviation safety regulations of the State with the help of the relevant officers in subject areas and to advise the CE and those responsible for aviation safety regulation on:

(1) whether the CAAF is complying with the State's obligations under the Chicago Convention;
(2) the standard of State's aviation safety regulation;
(3) the adequacy of the resources employed on safety regulation in the CAAF and any remedial measures that may be necessary.

(c) Assessments are currently made in relation to the ICAO 8 Critical Elements of a safety oversight system (see **Appendix – F**) to ensure that the CAAF is **"fit for the purpose"** as regulator, and having particular regard to sustainability.

(d) It is envisaged that adoption of the Safety Programme system will, in time, permit the CAAF to self assess by reviewing its safety risk register, safety performance targets and outputs to ensure:

- the effectiveness of the SSP;
- timely update and improvement of the SSP and sharing of best practices across the CAAF.

4.4 ICAO Safety Oversight Audit on State's Safety Oversight System

(a) In consideration of the critical need for increased attention to global aviation safety, ICAO carries out audits of the CAAF as part of its Universal Safety Oversight Audit Programme.

(b) The ICAO audits assess:

- the State's regulatory system against the ICAO 8 Critical Elements of a safety oversight system; and

- the degree to which SARPs have been implemented within the State concern.

4.5 Safety data collection, analysis and exchange

The CAAF has established mechanisms to ensure the capture and storage of data on operational hazards and safety risks at an aggregate State's level. The CAAF has also established mechanisms to develop information from the stored data, and to actively exchange safety information with service providers and/or other States as appropriate.

4.6 Occurrence Reporting and Analysis

(a) The ANRs require operators and service providers to report occurrences to the CAAF form OR 001. The manual on Occurrence Reporting and Investigation (MORI) contains procedures for handling such reports.

(b) The CAAF currently uses the European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS) safety database which includes capabilities for analyzing and presenting the information in a variety of formats. ECCAIRS safety database is compatible with ICAO Accident/Incident Data Reporting (ADREP) System.

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

The CAAF has established procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need, as identified by the analysis of data on operational hazards and safety risks areas.

(a) The CAAF has established procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need, as identified by the analysis of data on operational hazards and safety risks areas.

(b) The CAAF has adopted risk-based resource allocations system for all regulatory functions (proactively targeting regulatory attention on known areas of high risk).

5 STATE'S SAFETY PROMOTION

5.1 Internal training, communication and dissemination of safety information

The CAAF provides training, awareness, and two-way communication of safety relevant information to support, within the CAAF, the development of a positive organizational culture that fosters the development of an effective and efficient State's safety programme.

(a) CAAF's remit, and budget, includes the provision of assistance, training and advice to those responsible for aviation safety regulation within the CAAF. Individual and group training, for both initial and recurrent training, is provided under this heading.

The training/seminar/workshop is focused to promote:

- the development of a positive organizational culture that fosters the development of an effective and efficient State's safety programme;
- the confidence among regulatory staff in assessing Operator's/service provider's SMS and its performance.

(refer to Step 2 of SSP Implementation Plan provided in **Appendix – B**.)

(b) The CAAF holds an executive work shop once a year to make the CAAF's staff knowledgeable on key regulatory/safety topics.

(c) The CAAF has established the following methods of communication and dissemination of safety-relevant information within the CAAF:

For critical safety-relevant information:

- Confidential Letters;
- Email system.

For non-critical safety-relevant information:

- CAAF Website;
- CAAF Intranet;
- Safety Notice Boards;
- Safety Reminders;
- Aviation Safety Bulletin (quarterly);

5.2 External training, communication and dissemination of safety information

The CAAF provides education, awareness of safety risks and two-way communication of safety relevant information to support among services providers the development of a positive organizational culture that fosters safe practices, encourages safety communications and actively manages safety with the same attention to results as financial management.

(a) The CAAF supports the implementation of SMS by running seminars/ workshops for the industry to promote confidence among operational staff in encouraging and assessing SMS development and performance. The cultivation of an active safety culture at all levels and in all functional areas in the aviation industry is seen as a key area of development.

(b) The CAAF holds regular meetings with operators and service providers, in order to keep them advised of likely regulatory developments, and develop the required safety culture.

(c) The CAAF runs a 'Safety Road Show' every two years, where seminars are provided on key regulatory topics, at one location within Fiji.

(d) The CAAF as established the following methods of communication and dissemination ofsafety-relevant information nationally and internationally:

For critical safety-relevant information:

- Confidential Letters;
- Email system.

For non-critical safety-relevant information:

- CAAF Website;
- Safety Reminders;
- Aviation Safety Bulletins (quarterly);

References

1 ICAO State Letter Ref. AN 12/51-07/74 dated 7 December 2007, Subject: Proposal for the amendment of Annex 1, Annex 6, Parts I and III, Annex 8, Annex 11, Annex 13 and Annex 14, Volume I, to harmonize and extend provisions relating to safety management.

2 ICAO Safety Management Systems Course.

3 ICAO Doc.9859, AN/460 Safety Management Manual, Second Edition 2009.

4 ICAO Guidance on the Development of a State's Safety Programme Gap Analysis.

5 ICAO Doc 9734, AN/959 Safety Oversight Manual, Part A – The Establishment and Management of a State's Safety Oversight System, Second Edition – 2006.

6 State Safety Programme for the UK Overseas Territories, Air Safety Support International Limited, First Published – 2007.

7 Safety Management Systems, Implementation Procedures Guide for Air Operators and Approved Maintenance Organizations, Transport Canada, TP 14343E, June 2005.

APPENDIX A – GAP ANALYSIS

ICAO reference (Doc 9859)	*Aspect to be analysed or question to be answered*	*Answer*	*Status of implementation*
Component 1 — STATE SAFETY POLICIES AND OBJECTIVES **Element 1.1 — State safety legislative framework**			
SMM (Doc 9859) Chapter 11	Has [State] promulgated a national safety legislative framework and specific regulations that define the management of safety in the State?	☐ Yes ☐ No	Need to document in ANR something about SMS and SSP and aviation organisations participation in it.
SMM (Doc 9859) Chapter 11	Has [State] defined the specific activities related to the management of safety in the State in which each [State] aviation organization must participate?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Has [State] established requirements, responsibilities and accountabilities regarding the management of safety in [State] by its aviation organizations?	☐ Yes ☐ No	Need to document
SMM (Doc 9859) Chapter 11	Are the legislative framework and specific regulations periodically reviewed to ensure that they remain relevant and appropriate to the State?	☐ Yes ☐ No	Need to document how often it is reviewed and document somehow as a record whenever a review is carried out.
SMM (Doc 9859) Chapter 11	Are [State] legislative framework and specific regulations periodically reviewed to ensure that they are up to date with respect to international standards?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Has [State] established a safety policy?	☐ Yes ☐ No	Refer to SMM, Chapter 11, Appendix 2
SMM (Doc 9859) Chapter 11	Is [State] safety policy signed by the [State] SSP Accountable Executive or a high authority within [State]?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is [State] safety policy reviewed periodically?	☐ Yes ☐ No	

ICAO reference (Doc 9859)	***Aspect to be analysed or question to be answered***	***Answer***	***Status of implementation***
SMM (Doc 9859) Chapter 11	Is [State] safety policy communicated with visible endorsement to all employees in all [State] aviation organizations with the intent that they are made aware of their individual safety responsibilities?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Has [State] developed documentation that describes the SSP, including the interrelationship between its components and elements?	☐ Yes ☐ No	No documented
SMM (Doc 9859) Chapter 11	Does [State] have a record system that ensures the generation and retention of all records necessary to document and support the SSP activities?	☐ Yes ☐ No	A new sub-theme to be created for SSP and open all SSP related files under this subtheme
SMM (Doc 9859) Chapter 11	Does the record system provide the control processes necessary to ensure appropriate identification, legibility, storage, protection, archiving, retrieval, retention time, and disposition of records?	☐ Yes ☐ No	Control of Records procedure
Element 1.2 — State safety responsibilities and accountabilities			
SMM (Doc 9859) Chapter 11	Has [State] identified and defined the State requirements, responsibilities and accountabilities regarding the establishment and maintenance of the SSP?	☐ Yes ☐ No	Not documented
SMM (Doc 9859) Chapter 11	Do the requirements include directives and activities to plan, organize, develop, control and continuously improve the SSP in a manner that meets [State] safety objectives?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Do the requirements include a clear statement about the provision of the necessary resources for the implementation and maintenance of the SSP?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Has [State] identified and appointed an Accountable Executive as the qualified person having direct responsibility for the implementation, operation and supervision of the SSP?	☐ Yes ☐ No	Identified CE as the Accountable Executive but needs to be documented in the SSP document

ICAO reference (Doc 9859)	***Aspect to be analysed or question to be answered***	***Answer***	***Status of implementation***
SMM (Doc 9859) Chapter 11	Does the [State] SSP Accountable Executive fulfil the required job functions and responsibilities?	☐ Yes ☐ No	No functions and responsibilities defined yet.
SMM (Doc 9859) Chapter 11	Does the [State] SSP Accountable Executive coordinate, as appropriate, the activities of the different State aviation organizations under the SSP?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Does the [State] SSP Accountable Executive have control of the necessary resources required for the proper execution of the SSP?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Does the [State] SSP Accountable Executive verify that all personnel of [State] aviation organizations understand their authorities, responsibilities and accountabilities with regard to the SSP and all safety management processes, decisions and actions?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are safety responsibilities and accountabilities, at all levels, defined and documented?	☐ Yes ☐ No	
Element 1.3 — Accident and incident investigation			
SMM (Doc 9859) Chapter 11	Has [State] established, as part of the management of safety, an independent accident and incident investigation process, the sole objective of which is the prevention of accidents and incidents, and not the apportioning of blame or liability?	☐ Yes ☐ No	CAAF Manual of Occurrence Reporting and Investigation.
SMM (Doc 9859) Chapter 11	Does [State] maintain the independence of the accident and incident investigation organization from other State aviation organizations?	☐ Yes ☐ No	Accidents investigated by other states, but incidents investigated by CAAF.
Element 1.4 — Enforcement policy			
SMM (Doc 9859) Chapter 11	Has [State] promulgated an enforcement policy?	☐ Yes ☐ No	PPAM

ICAO reference (Doc 9859)	*Aspect to be analysed or question to be answered*	*Answer*	*Status of implementation*
SMM (Doc 9859) Chapter 11	Does the enforcement policy establish the conditions and circumstances under which service providers are allowed to deal with, and resolve, events involving certain safety deviations internally, within the context of the service provider's safety management system (SMS), and to the satisfaction of the appropriate State authority?	☐ Yes ☐ No	Current policy defines the enforcement actions that can be take by CAAF and does not have provisions for Service Providers operating under SMS to deal internally within the context of their SMS.
SMM (Doc 9859) Chapter 11	Does the enforcement policy establish the conditions and circumstances under which to deal with safety deviations through established enforcement procedures?	☐ Yes ☐ No	May need to be reviewed in accordance with SMM, Appendix 4
Component 2 — STATE SAFETY RISK MANAGEMENT **Element 2.1 — Safety requirements for the service provider's SMS**			
SMM (Doc 9859) Chapter 11	Has [State] established the controls which govern how service providers will identify hazards and manage safety risks?	☐ Yes ☐ No	SD – SMS (May need to be looked at to give guidance on how the risk assessments are carried out)
SMM (Doc 9859) Chapter 11	Do those controls include requirements, specific operating regulations and implementation policies for the service provider's SMS?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are requirements, specific operating regulations and implementation policies based on identified hazards and analysis of the safety risks of the consequences of the hazards?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are requirements, specific operating regulations and implementation policies periodically reviewed to ensure they remain relevant and appropriate to the service providers?	☐ Yes ☐ No	SD – review cycle
SMM (Doc 9859) Chapter 11	Is there a structured process within [State] to assess how the service providers will manage the safety risks associated with identified hazards, expressed in terms of probability and severity of occurrence?	☐ Yes ☐ No	Needs to be documented in SD - SMS

ICAO reference (Doc 9859)	*Aspect to be analysed or question to be answered*	*Answer*	*Status of implementation*
SMM (Doc 9859) Chapter 11	Is there a [State] policy in place that ensures effective safety reporting of safety deficiencies, hazards or occurrences?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Does [State] policy on reporting of safety deficiencies, hazards or occurrences include the conditions under which protection from disciplinary and/or administrative action applies?	☐ Yes ☐ No	
Element 2.2 — Agreement on the service provider's safety performance			
SMM (Doc 9859) Chapter 11	Has [State] individually agreed with service providers on the safety performance of their SMS?	☐ Yes ☐ No	Performance targets not agreed with the operators yet.
SMM (Doc 9859) Chapter 11	Is the agreed safety performance commensurate with the complexity of the individual service provider's specific operational context?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Does the agreed safety performance consider the individual service provider's resources to address safety risks?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is the agreed safety performance expressed by multiple safety indicators and safety targets, as opposed to a single one, as well as by action plans?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is the agreed safety performance periodically reviewed to ensure it remains relevant and appropriate to the service provider?	☐ Yes ☐ No	
Component 3 — STATE SAFETY ASSURANCE **Element 3.1 — Safety oversight**			
SMM (Doc 9859) Chapter 11	Has [State] established mechanisms to ensure that the identification of hazards and the management of safety risks by service providers follow established regulatory controls?	☐ Yes ☐ No	Audits, Inspections

ICAO reference (Doc 9859)	***Aspect to be analysed or question to be answered***	***Answer***	***Status of implementation***
SMM (Doc 9859) Chapter 11	Do established mechanisms include inspections, audits and surveys to ensure that regulatory safety risk controls are appropriately integrated into the SMS of service providers?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Do established mechanisms ensure that regulatory safety risk controls are practised as designed?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Do established mechanisms ensure that regulatory safety risk controls have the intended effect on safety risks?	☐ Yes ☐ No	No Performance Targets and associated actions defined yet. So it can be audited
SMM (Doc 9859) Chapter 11	Are regular and periodic reviews conducted regarding [State] ALoS?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Do reviews consider changes that could affect [State] SSP and its ALoS, recommendations for improvement and sharing of best practices across the State?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are regular and periodic reviews conducted to assess if [State] SSP and its ALoS remain appropriate to the scope and complexity of the aviation operations in the State?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is there a process to evaluate the effectiveness of changes related to the SSP?	☐ Yes ☐ No	Need to document in SSP document.
Element 3.2 — Safety data collection, analysis and exchange			
SMM (Doc 9859) Chapter 11	Has [State] established mechanisms to ensure the capture and storage of data on hazards and safety risks at both the individual and aggregate State level?	☐ Yes ☐ No	AQD, ECCAIRS also being looked at.
SMM (Doc 9859) Chapter 11	Has [State] established mechanisms to develop information from the stored data and to promote the exchange of safety information with service providers and/or other States as appropriate?	☐ Yes ☐ No	AQD report customisation
SMM (Doc 9859) Chapter 11	Has [State] established an acceptable level of safety (ALoS) related to its SSP?	☐ Yes ☐ No	To be developed.

ICAO reference (Doc 9859)	*Aspect to be analysed or question to be answered*	*Answer*	*Status of implementation*
SMM (Doc 9859) Chapter 11	Does [State] ALoS related to the SSP combine elements of safety measurement and safety performance measurement?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is [State] ALoS commensurate with the complexity of aviation activities within [State]?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is there a formal process within [State] to develop and maintain a set of parameters to measure the realistic implementation of the SSP?	☐ Yes ☐ No	
Element 3.3 — Safety-data-driven targeting of oversight of areas of greater concern or need			
SMM (Doc 9859) Chapter 11	Has [State] developed procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need?	☐ Yes ☐ No	A process needs to be developed that defines targeting of areas of greater concern.
SMM (Doc 9859) Chapter 11	Is the prioritization of inspections and audits the result of the analysis of data on hazards, their consequences in operations, and the assessed safety risks?	☐ Yes ☐ No	
Component 4 — STATE SAFETY PROMOTION			
Element 4.1 — Internal training, communication and dissemination of safety information			
SMM (Doc 9859) Chapter 11	Does [State] provide internal training, awareness and two-way communication of safety-relevant information within [State] aviation organizations?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are there communication processes in place within [State] to ensure that information about the SSP functions and products is made available to [State] aviation organizations in a timely manner?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is there a process for the dissemination of safety information throughout [State] aviation organizations and a means of monitoring the effectiveness of this process?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of the [State] aviation organizations?	☐ Yes ☐ No	

ICAO reference (Doc 9859)	***Aspect to be analysed or question to be answered***	***Answer***	***Status of implementation***
SMM (Doc 9859) Chapter 11	Are safety information and information about the SSP functions and products maintained in a suitable medium?	☐ Yes ☐ No	AQD and other CAAF records.
Element 4.2 — External training, communication and dissemination of safety information			
SMM (Doc 9859) Chapter 11	Does the [State] provide external education, awareness of safety risks and two-way communication of safety-relevant information?	☐ Yes ☐ No	Two way communication needs to be expanded.
SMM (Doc 9859) Chapter 11	Are there communication processes in place within [State] that allow the SSP to be promoted nationally and internationally?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Is there a formal process for the external dissemination of safety information to [State] service providers and a means of monitoring the effectiveness of this process?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are there communication processes in place within [State] to ensure that information about the SSP functions and products is made available to [State] service providers in a timely manner?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are communication processes (written, meetings, electronic, etc.) commensurate with the size and scope of [State] service providers?	☐ Yes ☐ No	
SMM (Doc 9859) Chapter 11	Are safety information and information about the SSP functions and products established and maintained in a suitable medium?	☐ Yes ☐ No	

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APPENDIX B – STATE'S SAFETY PROGRAMME IMPLEMENTATION PLAN

Note: - The implementation of the State's Safety Programme are based on following 5 steps and the detailed activities are illustrated in the Gantt Chart for the SSP implementation plan.

STEP 1: State's safety programme gap analysis:

Conduct a gap analysis vis-à-vis the current status in the State of the following:

1. **State's safety policy and objectives**
   - 1.1 CAAF safety standards - Completed
   - 1.2 CAAF safety responsibilities and accountabilities - Completed
   - 1.3 Accident and incident investigation - Completed
   - 1.4 Enforcement policy **–** Tobe developed under New CA Act
2. **State's safety risk management**
   - 2.1 Safety requirements for service providers SMS - Completed
   - 2.2 Approval of service providers acceptable levels of safety – Safety Targets in ATS/Aerodromes are approved
3. **State's safety assurance**
   - 3.1 Safety oversight (Inspections, audits and surveys) – Completed
   - 3.2 Safety data collection, analysis and exchange - Process implemented
   - 3.3 Safety data driven targeting of oversight on areas of greater concern or need **-** Process implemented
4. **State's safety promotion**
   - 4.1 Internal training, communication and dissemination of safety information - Process implemented
   - 4.2 External training, communication and dissemination of safety information - Process implemented

STEP 2: CAAF training programme:

Develop a training programme for CAAF officers to:

1. provide knowledge of **safety management concepts and ICAO SARPs** on safety management in Annexes 1, 6, 8, 11, 13 and 14, and related guidance material; and ----- Completed

2. develop knowledge to **certify and oversee** the implementation of key components of an SMS, in compliance with the national regulations and relevant ICAO SARPs. ------- Completed

STEP 3: **Implementation of SMS SARPs:**

Develop SMS regulations for operators/service providers. Completed

1. Refer to the SMS components and elements as per the ICAO SMS training course;

2. Prepare guidance material for the implementation of SMS.

   Refer to ICAO Doc 9859 and the ICAO SMS training course.

STEP 4: **CAAF enforcement policy:** To be developed

Revise the CAAF's enforcement policy.

1. Operators/service providers allowed to deal with deviations/minor violations internally, within the context of the SMS, to the satisfaction of the authority;

2. Gross negligence, willful deviation and so forth to be dealt through established enforcement procedures.

STEP 5: **Development of State's safety programme:** Developed

Develop the State's safety programme *(an integrated set of regulations and activities aimed at improving safety)* around the 4 components and 11 elements of the ICAO SSP framework.

State's safety programme components and elements:

1. State's safety policy and objectives

1.1 CAAF safety standards
1.2 CAAF safety responsibilities and accountabilities
1.3 Accident and incident investigation
1.4 Enforcement policy

2. State's safety risk management

2.1 Safety requirements for service providers SMS
2.2 Approval of service providers acceptable levels of safety

3. State's safety assurance

3.1 Safety oversight (Inspections, audits and surveys)
3.2 Safety data collection, analysis and exchange

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

4. State's safety promotion

4.1 Internal training, communication and dissemination of safety information

4.2 External training, communication and dissemination of safety information

Gantt chart for the SSP implementation plan

No	SSP Component/element	Year: 2011				Year: 2012				Year: 2013				Year: 2014			
	PHASE I	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.2	Establishment of the SSP implementation team																
1.1	Analysis and, if necessary, proposal of amendment to the national safety legislative framework and applicable supporting regulations																
1.4	Analysis and proposal of amendment to the enforcement policy to include provisions for service providers operating under an SMS environment																
1.2	Development, proposal of approval, and communication of a State safety policy																
1.2	Definition and documentation of requirements, responsibilities and accountabilities regarding the SSP																
1.2	Identification of the Accountable Person for the State SSP																
1.3	Establishment, if necessary, an independent accident and incident investigation process **(In place)**																
4.1	Communication of the launching of the SSP implementation project and introduction to SSP concepts to all relevant staff																
4.1	Development of a training programme for all relevant staff on key components of an SSP and SMS																
2.1	Development of the SMS regulatory framework and supporting advisory circulars																
2.1	Establishment of a timeframe to periodically review specific operating regulations																
3.2	Establishment of the means to communicate the safety related information																

	internally and externally															
No	**SSP Component/element**	**Year: 2011**				**Year: 2012**				**Year: 2013**				**Year: 2014**		
	PHASE II	**Q1**	**Q2**	**Q3**	**Q4**	**Q1**	**Q2**	**Q3**	**Q4**	**Q1**	**Q2**	**Q3**	**Q4**	**Q1**	**Q2**	**Q3**	**Q4**
3.2	Establishment of a State hazard reporting system **(In place)**															
3.2	Establishment of a State hazard database (ECCAIRS)															
4.1	Training to appropriate staff on hazard identification and safety risk management, safety reporting procedures and database management															
3.2	Establishment of mechanisms for the exchange of safety information with service providers and/or other States, as appropriate															
3.2	Initial selection of safety indicators															
3.2	Initial selection of safety targets															
3.2	Definition of the values for safety indicators															
3.2	Definition of the values for safety targets															
3.2	Establishment of the action plans to deliver the safety targets of the initial ALoS of the SSP															
4.1	Establishment and communication of the initial ALoS of the SSP															
3.1	Development of procedures to ensure integration of SMS requirements into the service providers activities															
3.1	Development of controls to ensure the establishment of procedures for hazard identification and safety risk management processes by service providers															
2.2	Establishment of a timeframe for the phased approach of service providers´ SMS															

4.2	Establishment of the means of communication to support SMS implementation among service providers															
No	**SSP Component/element**	**Year: 2011**				**Year: 2012**				**Year: 2013**				**Year: 2014**		
	PHASE III	**Q1**	**Q2**	**Q3**	**Q4**	**Q1**	**Q2**	**Q3**	**Q4**	**Q1**	**Q2**	**Q3**	**Q4**	**Q1**	**Q2**	**Q3**	**Q4**
3.2	Establishment of a State safety data collection system for high and low consequence outcomes															
3.2	Establishment of the means to collect information on hazards at an aggregate State level as well as at individual service provider level															
3.2	Implementation of mechanisms to exchange safety information on low consequence events with service providers and/or other States, as appropriate															
2.2	Establishment of the procedures for the agreement on safety performance of individual service providers' SMS															
2.2	First round of agreements upon safety performance indicators and targets for various service providers' SMS															
3.3	Establishment of procedures to prioritize inspections, audits and surveys, based on analysis of hazards and safety risks															
4.1	Establishment and communication of the mature ALoS of the SSP															

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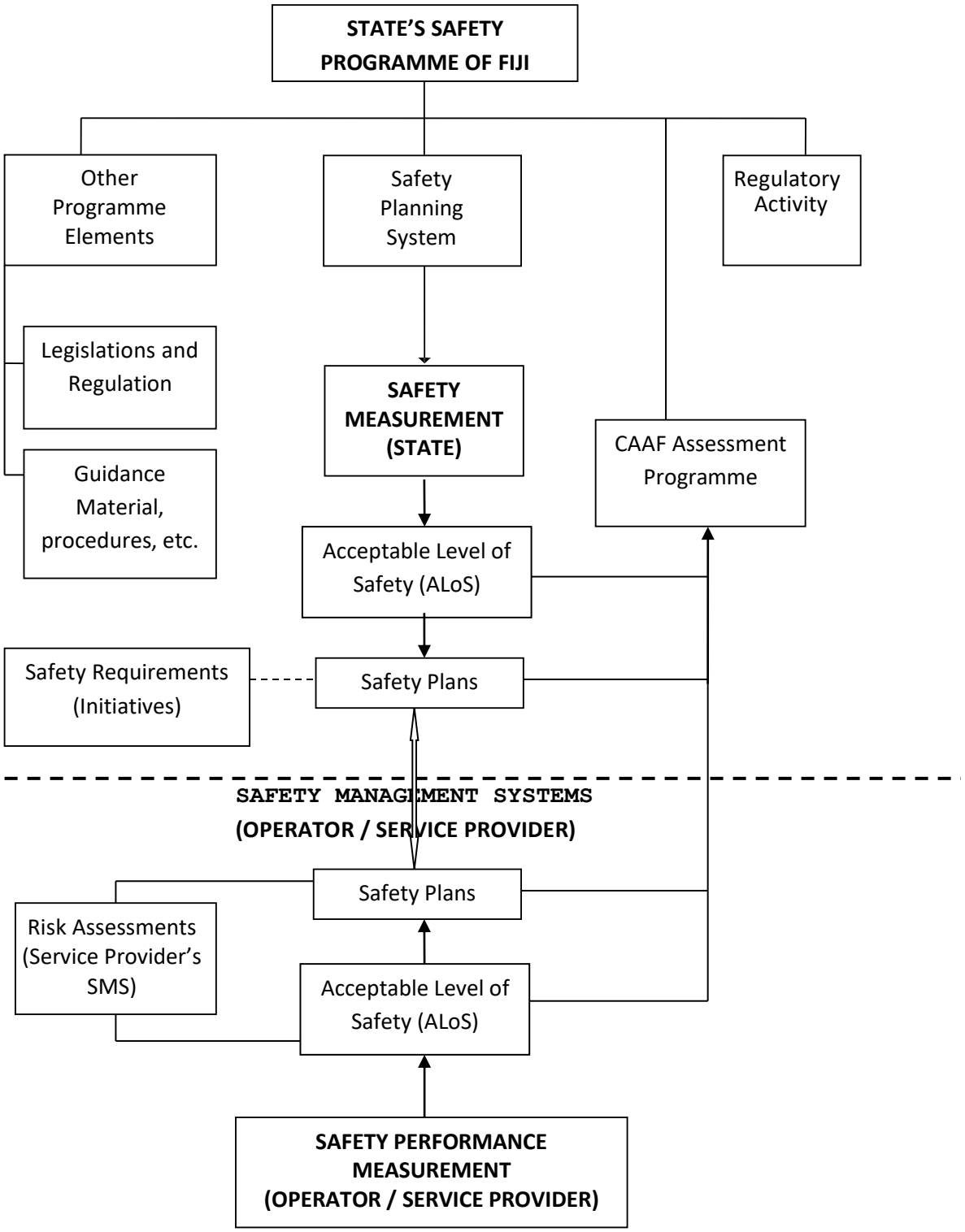
APPENDIX C – STATE SAFETY PROGRAMME STRUCTURE



APPENDIX D – HIERARCHY STRUCTURE OF FIJI AVIATION LEGISLATION

Civil Aviation Act 1976 CAP 174

- Establishes the Powers of the Minister to make regulations to give effect to the Chicago Convention and regulate air navigation.

Regulations pursuant to the Civil Aviation Act 1976

- Civil Aviation Air Navigation Regulations 1981
- Civil Aviation (Occurrence Reporting and Investigation) Regulations 2009
- Civil Aviation (Licensing of Air Services) Regulations 1978
- Aircraft (Wreck and Salvage) Regulations 1939
- Nausori Airport Traffic Regulations 1973
- Aerodrome Fire Service Regulation 1965

Orders pursuant to the Civil Aviation Act 1976

- Nadi Aerodrome Restricting Order 1970
- Nadi (Removal of Dangerous Objects) Order 1959
- Nausori Aerodrome (Removal of Dangerous Objects) Order 1973
- Nausori Aerodrome Restricting Order 1973
- Savusavu Aerodrome Restricting Order 1953
- Labasa, Savusavu and Taveuni Aerodrome (Removal of Dangerous Objects Order) 1958

(Former Laws of the United Kingdom continuing to be in force as Laws of Fiji)

- The Carriage by Air (Parties to Convention) Order 1958
- The Carriage by Air (Parties to Convention) No. 2 Order 1958
- The Carriage by Air (Overseas Territories) Order 1967
- The Carriage by Air (Fiji Currency Equivalents) Order 2006
- The Carriage by Air Acts (Application of Provisions) (Overseas Territories) Order 1967
- Tokyo Convention Act 1967 (Overseas Territories) Order 1968

Ministry of Civil Aviation responsible for:

- Accident Investigation
- Investment Regulations
- Wreck and Salvage 1939
- Licensing Air Services
- Bi- lateral Air Services Agreements

Civil Aviation Authority Act 1979 – CAP 174A

- Establishes CAAF, CAAF Board, CAAF Chief Executive and its procedures, functions, powers and duties.

Regulations pursuant to the Civil Aviation Authority Act 1979

- Civil Aviation (Fees and Charges) Regulations 2007
- Air Navigation Facilities & Services (Charges) Regulation 1979
- Airport (Fees) Regulation 1979
- Nadi International Airport Traffic and Vehicle Parking (Parking and Fees) Regulation 1996
- Passengers Services Charge Regulation 1979

Civil Aviation (Security)Act 1994

- Makes provisions for offences against the safety of civil aviation, the protection of civil aviation from acts of unlawful interference, airport security, the powers of search and arrest.
- Establishes the Powers of the Minister to make regulations to give effect to the Chicago Convention.

Regulation pursuant to the Civil Aviation (Security) Act 1994

- Civil Aviation (Security) Regulations 1994 -
  - ***Establishes:***
    - ✓ National Civil Aviation Security Programme
    - ✓ National civil Aviation Security Quality Control Programme
    - ✓ National Civil Aviation Security Training Programme
    - ✓ Airport Security Programmes
  - ***Approves:***
    - ✓ Airline Security Programmes
    - ✓ Air Cargo Security Programme
    - ✓ Aircraft Catering Security Programme
    - ✓ Airport Security Programme
  - ***Certifies:***
    - ✓ Aviation Security Service Organizations
    - ✓ Regulated Agents
    - ✓ Ground Handling Service Providers
    - ✓ Operators' Flight Crew Compartment Doors

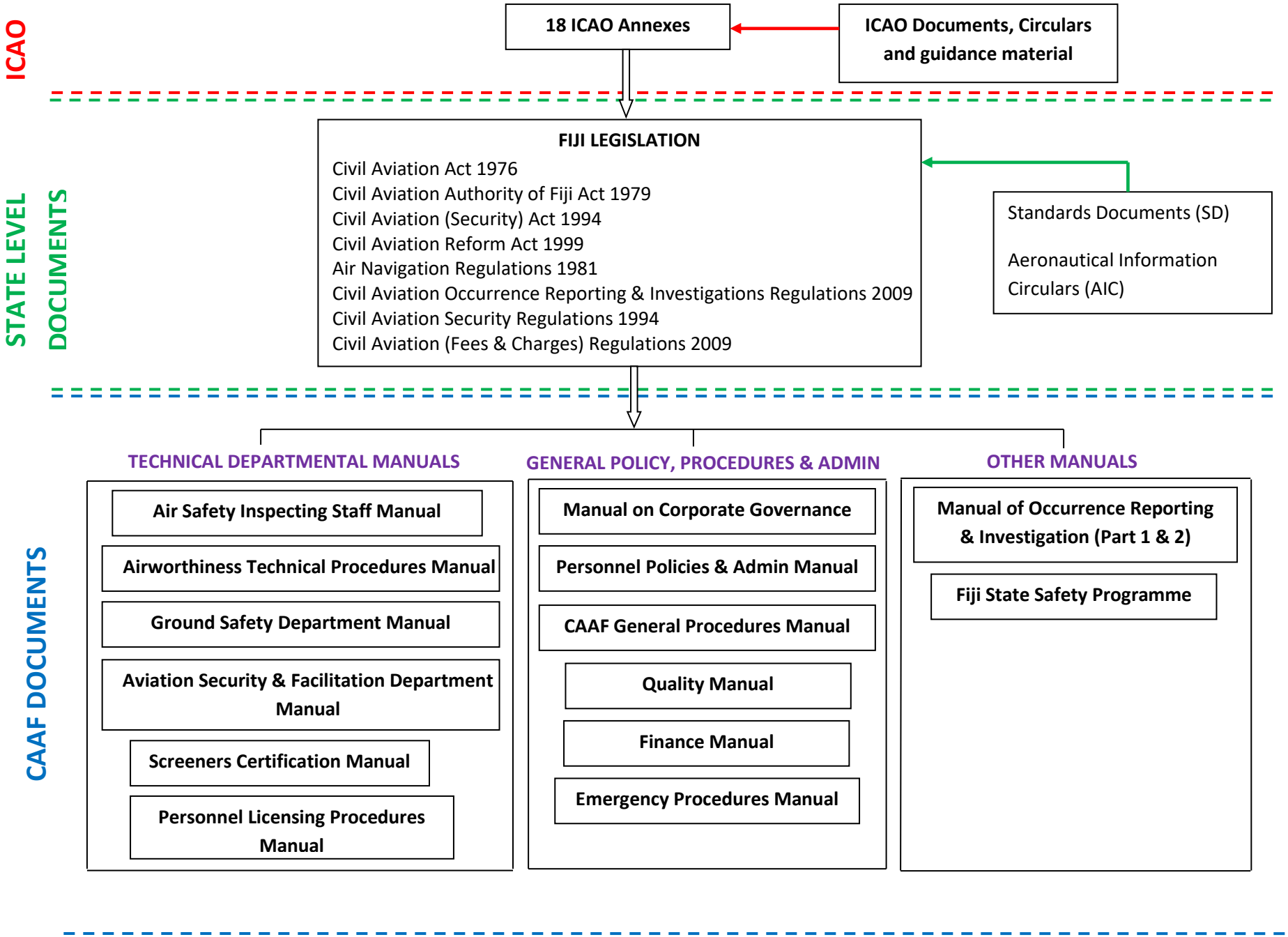
Civil Aviation Reform Act 1999

- CAAF ceased existence as a reorganized enterprise on 12 April 1999 and became CAAF, the Regulatory Authority.
- When this Reform occurred, the State delegated Annex 1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13 (Except Aircraft Accident Investigation), 14, 15, 16, 17, 18 its responsibilities to the Authority for the State's obligation arising out of its membership of ICAO.
- Establishes the Powers of the Minister to make regulations for the certification of air traffic services; Aeronautical telecommunication services; Meteorological services for air navigation; Aeronautical information services; Certification and Registration Approval for Aerodromes.

Pursuant to the Civil Aviation (Reform) Act 1999

- Amendments made to -
  - ✓ Civil Aviation Act 1976 CAP174
  - ✓ Civil Aviation Authority Act 1979 CAP 174A
  - ✓ Civil Aviation (Security) Act 1994
  - ✓ Civil Aviation Air Navigation Regulations 1981

APPENDIX E - CAAF DOCUMENT STRUCTURE



APPENDIX F – CRITICAL ELEMENTS OF A SAFETY OVERSIGHT SYSTEM

(EXTRACT FROM ICAO DOCUMENT 9734 SAFETY OVERSIGHT MANUAL PART A)

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

CE-1 Primary aviation legislation

The provision of a comprehensive and effective aviation law consistent with the environment and complexity of the State's aviation activity and compliant with the requirements contained in the Convention on International Civil Aviation.

CE-2 Specific operating regulations

The provision of adequate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation and providing for standardized operational procedures, equipment and infrastructures (including safety management and training systems), in conformance with the Standards and Recommended Practices (SARPs) contained in the Annexes to the Convention on International Civil Aviation.

Note: The term "regulations" is used in a generic sense to include but is not limited to instructions, rules, edicts, directives, sets of laws, requirements, policies, and orders.

CE-3 State civil aviation system and safety oversight functions

The establishment of a Civil Aviation Authority of Fiji (CAAF) and/or other relevant authorities or government agencies, headed by a Chief Executive Officer, supported by the appropriate and adequate technical and non-technical staff and provided with adequate financial resources. The State authority must have stated safety regulatory functions, objectives and safety policies.

Note: The term "State civil aviation system" is used in a generic sense to include all authorities with aviation safety oversight responsibility which may be established by the State as separate entities, such as: CAAF, Airport Authorities, Air Traffic Service Authorities, Accident Investigation Authority, and Meteorological Authority.

CE-4 Technical personnel qualification and training

The establishment of minimum knowledge and experience requirements for the technical personnel performing safety oversight functions and the provision of appropriate training to maintain and enhance their competence at the desired level. The training should include initial and recurrent (periodic) training.

CE-5 Technical guidance, tools and the provision of safety-critical information

The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and safety-critical information, as applicable, to the technical personnel to enable them to perform their safety oversight functions in accordance with established requirements and in a standardized manner. In addition, this includes the provision of technical guidance by the oversight authority to the aviation industry on the implementation of applicable regulations and instructions.

CE-6 Licensing, certification, authorization and approval obligations

The implementation of processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization and/or approval to conduct the relevant aviation activity.

CE-7 Surveillance obligations

The implementation of processes, such as inspections and audits, to proactively ensure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State to undertake an aviation-related activity for which they have been licensed, certified, authorized and/or approved to perform. This includes the surveillance of designated personnel who perform safety oversight functions on behalf of the CAAF.

CE-8 Resolution of safety concerns

The implementation of processes and procedures to resolve identified deficiencies impacting aviation safety, which may have been residing in the aviation system and have been detected by the regulatory authority or other appropriate bodies.

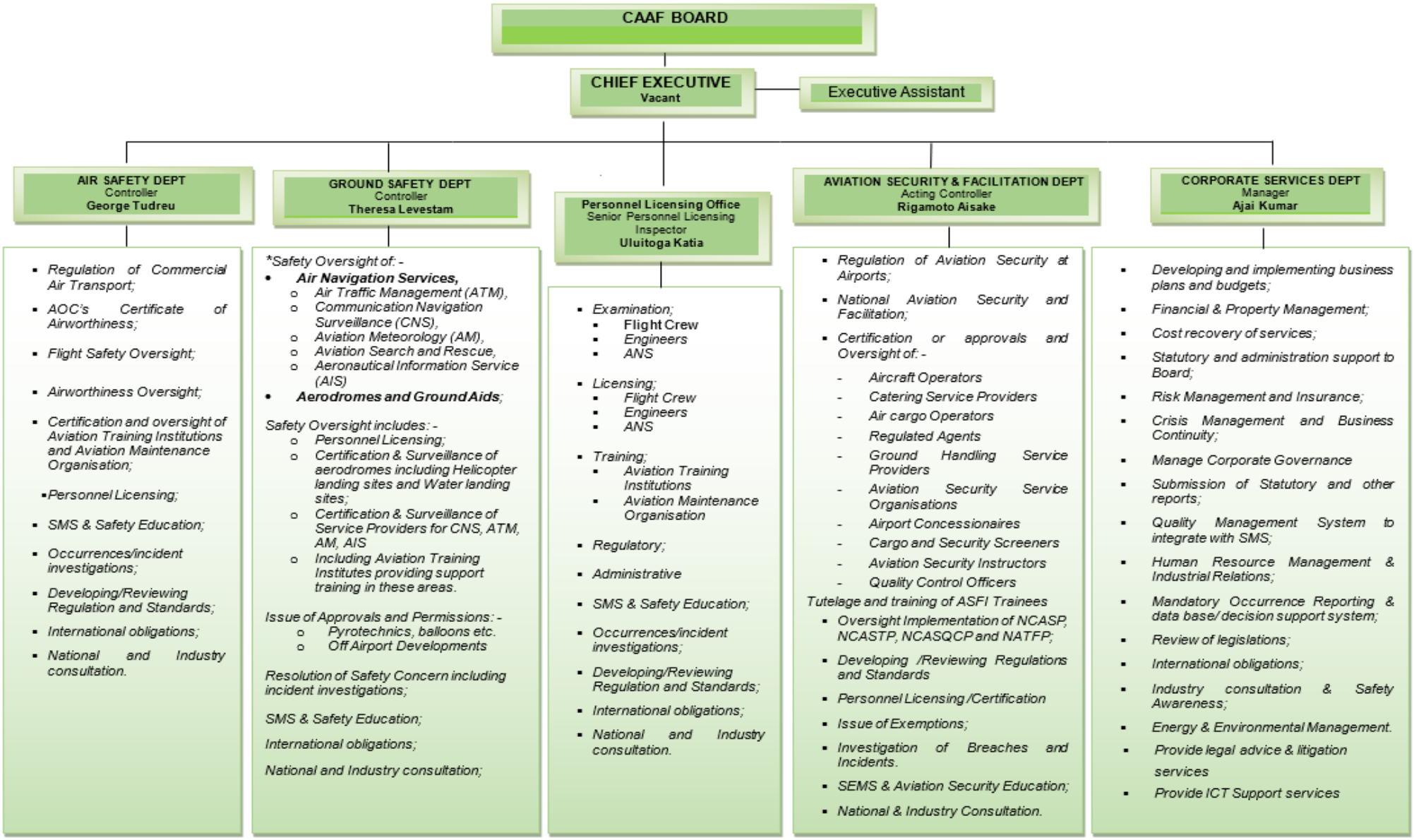
Note: This would include the ability to analyse safety deficiencies, forward recommendations, support the resolution of identified deficiencies, as well as take enforcement action when appropriate.

Appendix G – CAAF's Organizational Structure

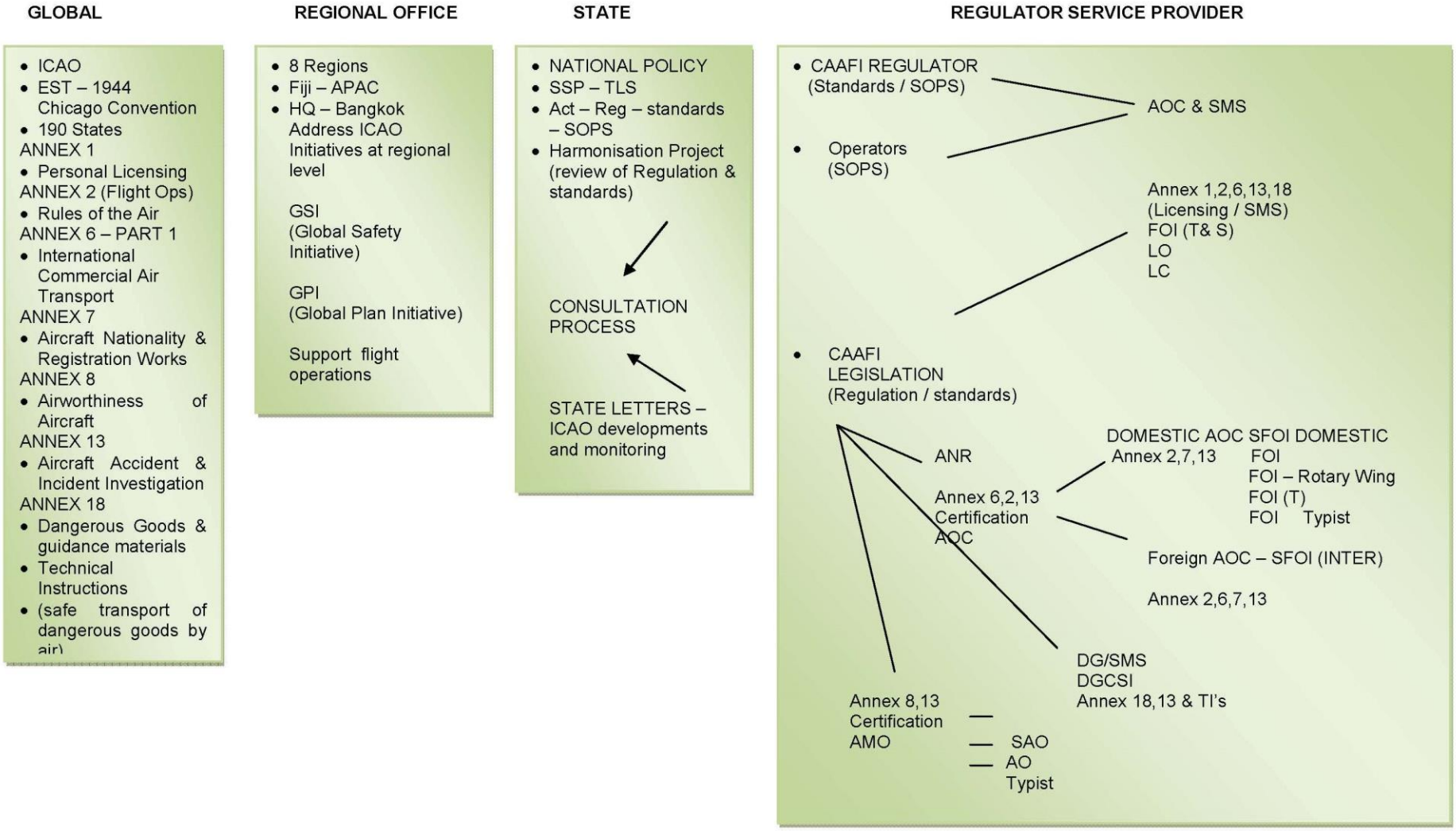
Please Click on the Link Below to View CAAF's Organizational Structure

file://caafsrvintra01/QualityNet/General/Organisation%20Structure%20-%202019/CAAF%20General%20Structure/Organisation%20Structure%20(amended%2007-08-19).pdf

CAAF DEPARTMENTAL FUNCTIONS



AIR SAFETY DEPARTMENT



Ground Safety Department

Global

- ICAO
- Est – 1944 Chicago Convention
- 190 States
- SARPS Annexes 1-18
- ICAO Docs GANP – 23 GPI's
- GASP – SSP –SMS State OPR

Annex 1, 2, 3, 4, 5, 6, 10, 11, 12, 13, 14, 15, and 16

Annex 2 – ATC only

Technical Instructions

Act – Reg – STDs - SOPS

Regional Office

- 8 Regions
- Fiji – APAC HQ – Bangkok
- Address ICAO Initiatives at Regional Level
- APANPIRG 18 Objectives
- NPO – PRO – GPI / GSI
- APAC Performance Metrics
  - TLS RVSM
  - RWY VG
  - PBN Routes
  - Delays at INTL APTS
  - NPO /PFF

State

- National Policy
- Aircraft ICAO Delegation
- National Policy
- Harmonization Project
- Consultation Process
- State Letters

Service Provider

- CAAFI – Regulate
- AFL – service provider

Air Traffic Management (ATM)	Airspace Management	APAC Safety 1 & 2 Monitoring Optimise TFC Flow	ATMI's
	ATFM (Balancing capacity * Demand)	3 & 4 Optimise Route En Route Structure x TMA	ATMI's
	Air Traffic Services	5 New FPL	ATMI's REI
Air Navigation Services	COMM	8 & 11 ATN / AIDC	
	NAV	18 PBN	ATMI(IMT)
	Surveillance (CNS)	9 & 10 OCA-COMM X Surveillance ADS-B	ATMI (TMO)
	AIS	6 – AIDS – AIM Enhancement	ATMI (IMT)
	SAR	7 – Enhanced SAR capability	ATMI (TMO)
	MET	12,13,14 x 15 - IAVW, ITCW, SIGMET, WAF MET SUPPORT ATM OPMET	ATMI (TMO)
Aerodromes		16 & 17 Aerodrome Efficiency x Contingencies	TOA X RFSI
Licensing		LO	
Admin – GSD		LO	

ANS & AGA – Facilities REI

Aviation Security Facilitation

Global

ICAO Conventions (5)
- Tokyo Convention 1963
- Hague Convention 1970
- Montreal Convention 1971
- Supplementary Protocol to the Montreal convention
- Marking of Explosives

Annex 17
(Annex 6 – AOC)
(Annex14 Aerodrome)
(Annex 9 Facilitation)
(Annex,8,10,11,13,14 & 18)
Security Manual
Doc 8973 - Restricted

Regional Officers

- CASP – AP
- (Civil Aviation Security Programme – Asia Pacific)
- State Letters (trigger amendments to Law, training and annex)

State

- (Civil Aviation Security Act Cap 174A)
- Civil Aviation (Security) Act 1994
- The Police Act Cap 85
- The Penal Code cap 17

Act ▶ Reg ▶ Security Programme → National / Operator → Standards & SOPS

Roles of ASFO

- Oversight
- Certification
- Licensing

Regulation / Service Provider

- Civil Aviation (Security) Regulation (1994)
- ANR (1981)
- National Civil Aviation Security Programme

National Civil Aviation & Security Training Programme
National Civil Aviation Security Committee
National Civil Aviation Security Quality Control
National Aviation Security Intelligence Committee

Airport Operators – International (2)
Govt Domestic (13)
Private (9)

Aircraft Operators – Inter (11) Domestic
International Cargo Operators (2)
Regulated Agents (12)
Aircraft Catering (2)
Service Providers
Screening Personnel (2)
Aviation Security (3)
Service Organisations
Ground Handling
Service Providers

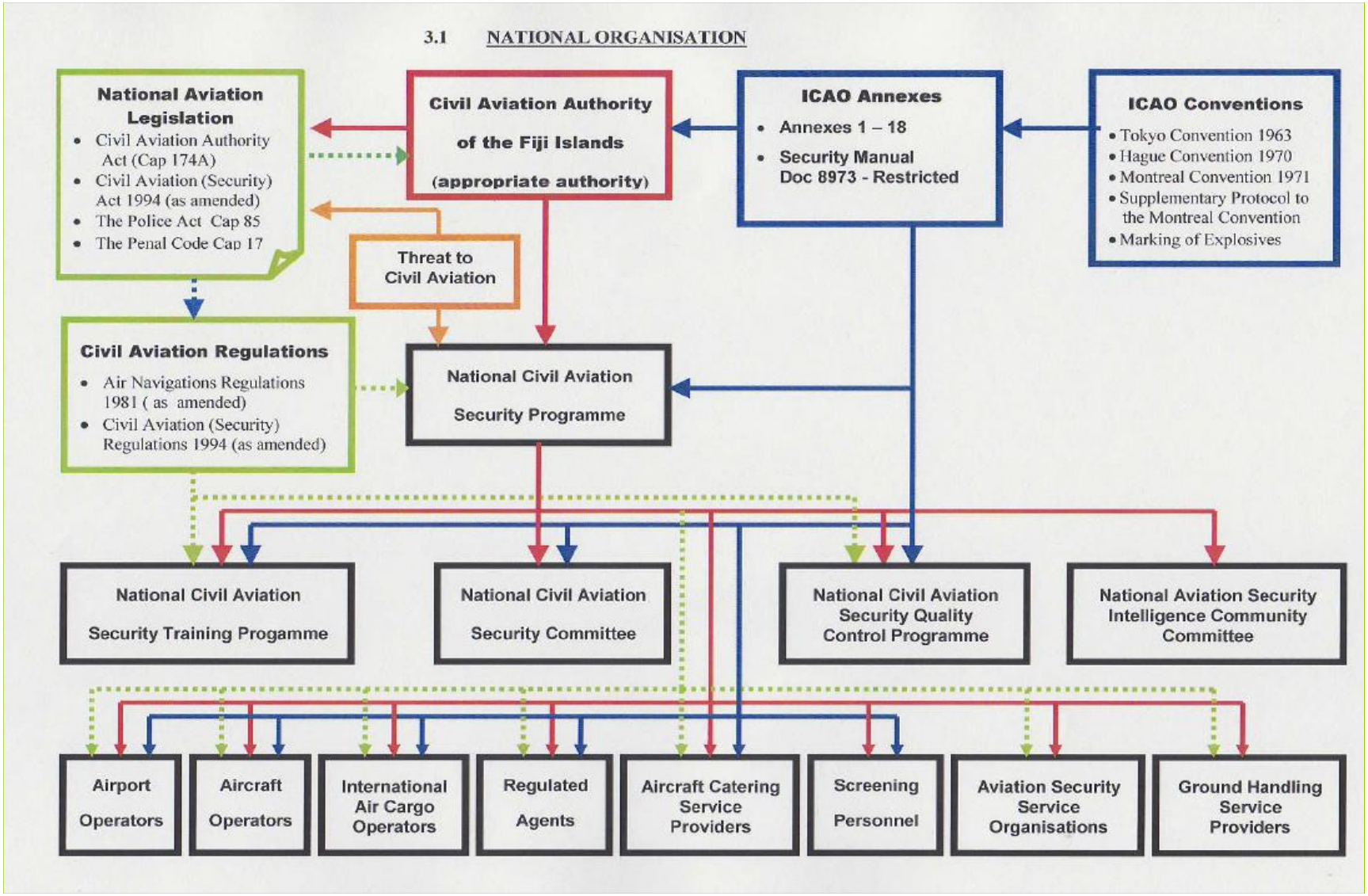
CASF
- ASFI
- ASFI(T)
- Typist

International

Hold baggage screening validation
International Airport Inspections

External Audit:

USAP – (ICAO) - Universal Security Audit Programme
TSA – (USA) - Transportation Security Administration
DOTARS – (AUSTRAILIA) Dept of Transport Air & Regional Services


3.1 NATIONAL ORGANISATION
National Aviation Legislation
• Civil Aviation Authority Act (Cap 174A)
• Civil Aviation (Security) Act 1994 (as amended)
• The Police Act Cap 85
• The Penal Code Cap 17
Civil Aviation Authority of the Fiji Islands (appropriate authority)
ICAO Annexes
• Annexes 1 – 18
• Security Manual Doc 8973 - Restricted
ICAO Conventions
• Tokyo Convention 1963
• Hague Convention 1970
• Montreal Convention 1971
• Supplementary Protocol to the Montreal Convention
• Marking of Explosives
Threat to Civil Aviation
Civil Aviation Regulations
• Air Navigations Regulations 1981 (as amended)
• Civil Aviation (Security) Regulations 1994 (as amended)
National Civil Aviation Security Programme
National Civil Aviation Security Training Progamme
National Civil Aviation Security Committee
National Civil Aviation Security Quality Control Programme
National Aviation Security Intelligence Community Committee
Airport Operators
Aircraft Operators
International Air Cargo Operators
Regulated Agents
Aircraft Catering Service Providers
Screening Personnel
Aviation Security Service Organisations
Ground Handling Service Providers

Appendix H – Safety Performance Targets approved by the CAAF

To be included once provided by the operators / service providers.