



Department
for Transport

Aviation - State Safety Programme



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Department for Transport
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Foreword

Aviation is a cornerstone of the United Kingdom's economic strength, connecting us to the global community and enabling vital partnerships with our allies. It drives economic growth, facilitates innovation, and remains one of the safest modes of transport, thanks to ongoing global and national efforts to enhance safety standards.

As the Director General for Civil Aviation for the United Kingdom, I am steadfast in my commitment to maintaining the highest standards of aviation safety. Aviation contributes significantly to the UK economy, with our air transport and aerospace sectors directly contributing over £20bn to GDP annually. Our regulatory framework is designed to be proportionate and adaptable, supporting the industry while upholding safety as the paramount priority.

UK airspace and UK airlines are among the safest in the world. We have an exemplary record that ensures consumer confidence and international trust in the UK's regulatory regime. To maintain and improve upon the UK's exemplary record, we must pro-actively anticipate and mitigate emerging risk, continue to adapt our regulatory regime, and continue to drive global aviation safety standards.

We are committed to maintaining our aviation safety record while delivering a world-class service to industry. This State Safety Programme document sets out how we will continue this, ensuring our regulators deliver proportionate and effective safety oversight regimes to manage aviation safety risks across the UK.

The UK is firmly committed to advancing global aviation safety standards through ICAO, fostering international collaboration, and sharing knowledge with fellow states. The unique nature of the UK aviation system, with the division of responsibilities between central government as the legislators and CAA as the regulators, alongside the additional complexity of having oversight of our Crown Dependencies and Overseas Territories, reflects our dedication to safety across all jurisdictions. This includes regions as diverse as the Falkland Islands, with a population of fewer than 4,000, to the Bailiwick of Jersey, home to over 100,000 people. The importance of aviation extends beyond economics, providing crucial connectivity and mobility for these areas.

This document outlines the UK's State Safety Programme, providing an overview of our oversight of the aviation system and defining clear roles and responsibilities across the UK, its Overseas Territories, and Crown Dependencies. It establishes a structured approach for continuous safety improvements, reinforcing our commitment to safeguarding the future of aviation safety, and preventing complacency. Through this program, we strive to maintain the highest standards of safety and ensure a secure and resilient aviation environment for all.

Dr Rannia Leontaridi

Director General Aviation, Maritime and Security

Overview

The Convention on International Civil Aviation of 7 December 1944, also known as the Chicago Convention, established the International Civil Aviation Organisation (ICAO), a specialised agency of the United Nations charged with co-ordinating international air travel.

Annex 19 Safety Management (Second Edition) of the Convention places a responsibility on states to establish and maintain a State Safety Programme (SSP). ICAO define this as an "integrated set of regulations and activities aimed at improving safety." Through maintenance of a comprehensive and effective SSP, the United Kingdom (UK) commits to positively contributing to improving international aviation safety and ensuring that its commitments as an ICAO member state are met. The Department for Transport (DfT) is responsible for maintaining a relationship with ICAO and coordinating with the organisation on any relevant tasks. It does this with the help and assistance of the UK Civil Aviation Authority (the UK CAA).

The overarching UK SSP encompasses the SSPs of the UK civil aviation regulators. This is because it does not only cover the UK's constituent countries (England, Northern Ireland, Scotland, and Wales), but it also encapsulates the Crown Dependencies (CDs) and Overseas Territories (OTs), which fall under the UK's signature to the Convention on International Civil Aviation.

The UK has several aviation authorities, governments and agencies that form component parts of its overarching SSP. Each United Kingdom Aviation Authority (UKAA) has its own SSP that sits within the overarching UK SSP. These aim to address and guide aviation safety in the geographical area of each UKAA's purview, and the types of aviation activities they oversee.

This document describes how the UK is structured to support our aviation safety strategic objectives (see Appendix A).

An integrated SSP seeks to build upon the eight ICAO critical elements (CE) of a safety oversight system so a state can meet its Annex 19 (to the Convention) safety management responsibilities.

The following list describes an integrated SSP based on Figure 8-1, ICAO Document 9859, Safety Management Manual (Fourth Edition). The ICAO eight establish and implement critical elements (establish: CE1 to CE5 and implementation: CE6 to CE8) of a safety oversight system combine with the four component functions and responsibilities of safety management.

Component 1 - State Safety Policy, Objectives, and Resources

- CE1 Primary aviation legislation
- CE2 Specific operating regulations
- CE3 State system and function
- CE4 Qualified technical personnel
- CE5 Technical guidance, tools, and provision of critical safety information

Component 2 - State Safety Risk Management

- CE6 Licensing, certification, authorisation and / or approval obligations
- Accident and incident investigations
- Hazard identification and safety risk assessment
- Safety management system obligations
- Management of safety risks
- CE8 Resolution of safety issues (linked to management of safety risks)

Component 3 - State Safety Assurance

- CE7 Surveillance obligations
- State safety performance

Component 4 - State Safety Promotion

- Internal communication and dissemination of safety information
- External communication and dissemination of safety information

The various UKAAs' SSPs each play a vital role in meeting the State's aim, as a minimum, of achieving an Acceptable Level of Safety Performance of:

“No accidents involving commercial air transport that result in serious injuries or fatalities. No serious injuries or fatalities to third parties as a result of aviation activities.”

This document, owned by the UK DfT, explains the relationship between the overarching UK SSP and the UKAA SSPs that form it. It does not aim to provide a detailed explanation of each UKAA SSP. Each UKAA has their own dedicated SSP document that provide this information (see Appendix B).

Abbreviations/ Terminology

AAIB – Air Accidents Investigation Branch

ASSI – Air Safety Support International

BCAA – Bermuda Civil Aviation Authority

CAACI - Civil Aviation Authority Cayman Islands

CD – Crown Dependency

CE – Critical Element (of a State Oversight System, ICAO)

DCA(G) – Director of Civil Aviation Guernsey

DCA(J) – Director of Civil Aviation Jersey

DfT - Department for Transport

EU – European Union

FICAD – Falkland Islands Civil Aviation Department

ICAO – International Civil Aviation Organisation

IOMCAA – Isle of Man Civil Aviation Administration

IRWG – International Risk Working Group

MAA – Military Aviation Authority

MCA – Maritime and Coastguard Agency

NASP – National Aviation Safety Plan

ODCA – Office of the Director of Civil Aviation (Gibraltar)

OT – Overseas Territory

OTAA – Overseas Territory Aviation Authority (excludes Gibraltar)

OTSPC – Overseas Territory Safety Performance Council

SMS – Safety Management System

SSB – State Safety Board

SSBWG – State Safety Board Working Group

SSP – State Safety Programme

TCICAA – Turks and Caicos Civil Aviation Authority

UK – United Kingdom

UKAA – United Kingdom Aviation Authorities (all civil aviation authorities of the UK, CDs and OTs)

UK CAA – United Kingdom Civil Aviation Authority

Terminology Within This Document

Crown Dependency - The CDs are the Bailiwick of Jersey, the Bailiwick of Guernsey, and the Isle of Man. The CDs are self-governing dependencies of the Crown but are not considered to be part of the UK. This means they have their own directly elected legislative assemblies, administrative, fiscal, and legal systems.

Overseas Territory – The UK OTs have separate constitutions with elected governments who are responsible for day-to-day administration. They also have a Governor, appointed by His Majesty the King whose responsibilities include external affairs, security, defence, and air safety. The 13 UK OTs (excluding Gibraltar) are Anguilla, Bermuda, the British Antarctic Territory, British Indian Ocean Territory, British Virgin Islands, Cayman Islands, Falkland Islands, Montserrat, Pitcairn (Henderson, Ducie and Oeno) Islands, St Helena (Ascension, Tristan Da Cunha), South Georgia (South Sandwich) Islands, Sovereign Base Areas (Akrotiri and Dhekelia) and the Turks and Caicos Islands.

Gibraltar – A UK OT which in the context of aviation safety and this document is grouped with the CDs as it does not adopt the Air Navigation (Overseas Territories) Order 2013, and Overseas Territories Aviation Requirements (OTAR).

UK Main – England, Northern Ireland, Scotland, and Wales.

UK system – The UK, CDs, and OTs.

UK whole system – The UK, CDs, OTs, and the military.

Chapter 1 - The UK aviation regulatory system

1.1 The Challenge

The UK has a long-standing history of contributing to international aviation safety. The Air Navigation (Investigation of Accidents) Regulations 1922 formalised air accident investigation, established what is now the United Kingdom's Air Accidents Investigation Branch (UK AAIB), and paved the way for many aviation safety improvements. Over a century later, through accident investigation and the sharing of subsequent safety recommendations and relevant data, the UK AAIB continues to make tangible safety improvements across the aviation landscape and provides a key component to the UK's SSP.

Rapid innovation within the aviation industry, such as the development of new technologies to reduce the environmental impact of air travel, and uncrewed aircraft systems are transforming the aviation landscape, bringing new aviation safety challenges.

A Safety Management System (SMS) is defined by ICAO within Annex 19 to the Convention as being a “systematic approach to managing safety, including the necessary organisational structures, accountability, responsibilities, policies and procedures.” Regardless of whether an organisation is mandated to have an SMS or whether they have voluntarily adopted an SMS, all those who employ these collectively contribute to our UK SSP and play a role in driving industry wide safety improvements in aviation.

To effectively meet future challenges, safety management systems need to effectively interact with each other, employing a systems thinking approach. This ensures that all risks from across the aviation system are captured, recognised, and adequately managed. This, coupled with open sharing of risks, is key to improving aviation safety, and this document represents just one small component part of the evolving UK SSP.

The UK aviation regulatory system is complex, with multiple aviation regulators and organisations serving varying aviation activities across different regions in the world. The UK main system is unique in that responsibility for legislation is retained by the DfT and oversight of regulations is conducted by the UK CAA. This document seeks to provide an overview of the UK system. The UK's challenge now is to further evolve each of the UK

aviation regulators' SSPs to utilise the broad experience and knowledge within each to benefit all, to improve safety across the whole UK aviation system and beyond.

1.2 The UK Aviation Governance and Regulation

As a signatory to the Chicago Convention, the UK is required to establish a SSP in accordance with the requirements established in Annex 19 (to the Convention). This incorporates an integrated set of regulations and activities aimed at improving aviation safety. In accordance with the Convention, this obligation extends to the UK's OTs and the CDs. Diagram 1 shows a simplified version of the relationship between the UK SSP-related organisations and component parts as an ICAO contracting State. At the heart of this, these breakdown into the UK Main (Great Britain and Northern Ireland), the UK OTs, Gibraltar, and the CDs.

The ICAO Convention Annexes contain Standards and Recommended Practices, also known as SARPs. A standard is something that a contracting State will conform to, and a recommended practice is something a contracting State will endeavour to conform to. These standards and recommended practices across different areas of aviation have built and enable the safe system we see today.

To meet these obligations the UK maintains a comprehensive set of aviation safety legislation throughout the whole UK system. These are described in Chapter 2 and in more detail within each UKAA's SSP document (see Appendix B).

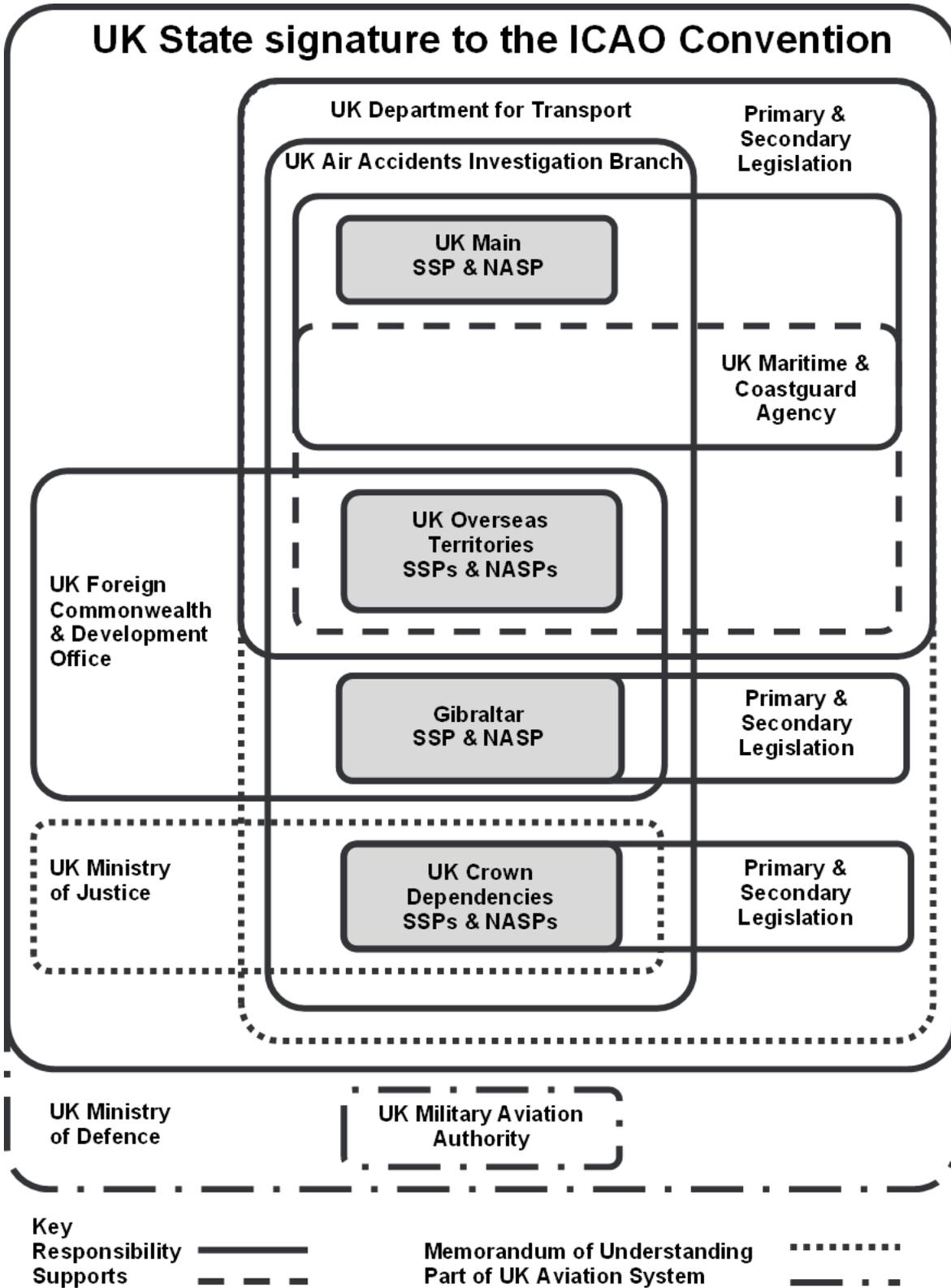


Diagram 1, a simplified relationship overview of the UK's ICAO signature to the Convention, UKAAs, UK Government (including related bodies), and legislation.

1.3 UK Aviation Authorities

The UK CAA is responsible for regulating aviation safety in accordance with the UK Basic Regulation (UK Reg (EU) 2018/1139), the UK Civil Aviation Act 1982, the UK Air Navigation Order 2016 (UK Air Navigation Order), other domestic legislation and retained EU regulations (and EASA rules) within the UK. It is also responsible for proposing amendments to the legislation in accordance with the Basic Regulation and the Civil Aviation Authority (Chicago Convention) Directions 2022 made by the Secretary of State. The CAA is also empowered to issue acceptable means of compliance and guidance material for the application of the Basic Regulation and regulations made under it.

Legally Guernsey, and Jersey have separate Director of Civil Aviation positions. The team in the Office of the Director of Civil Aviation are employed across the Channel Islands working together through a memorandum of understanding to support both islands. Within the Isle of Man, the role is fulfilled by the Isle of Man Civil Aviation Administration. To ensure the UK's international obligations under the Convention are met, there are Memoranda of Understanding between the DfT and each of the CDs. These set out the obligations of both parties including the obligation of each CD to arrange for regular external audits of its safety oversight arrangements.

The OTs are governed by the Civil Aviation Act 1949 (Overseas Territories) Order 1969, the Civil Aviation Act 1982 (Overseas Territories) (No. 2) Order 2001, the Civil Aviation Act 1982 (Overseas Territories) Order 2001, and the Air Navigation (Overseas Territories) Order 2013. Air Safety Support International (ASSI), a subsidiary company of the UK CAA, is responsible pursuant to Directions from the Secretary of State under section 6 to the Civil Aviation Act 1982, for maintaining legislation to ensure the SARPs contained in the Annexes to the Convention are implemented. ASSI instructs the DfT who prepare proposed legislative changes and implement this for adoption by Governors by means of regulations, instructions, directions and requirements (rules).

Furthermore, ASSI provide assistance, training, and advice to the Governors as well as the OT aviation authorities (OTAAAs) designated by the Governors. Where there is no civil aviation regulator within an OT, or it does not have the resources or the expertise to undertake the task itself, ASSI can be designated by an OT's Governor to perform the civil aviation regulatory tasks. ASSI has no direct responsibilities in relation to British Antarctic Territory as the Antarctic Treaty takes precedence; nor for Gibraltar, which has its own legislative and regulatory system. Further details on where aviation safety responsibilities have been delegated to ASSI can be found in Section 2.1.1, Table 1.

Although Gibraltar is an OT, it was part of the EU, and EU aviation safety legislation was applicable there. Following EU Exit, much of this legislation was retained. It also has its own Civil Aviation Act and associated subordinate legislation. Gibraltar has its own Office of the Director of Civil Aviation.

1.4 Other State Safety Programme Bodies

The UK plays a full role as a member of intergovernmental bodies such as ICAO and EUROCONTROL. In terms of the implementation of ICAO requirements, UK Government Directions to the UK CAA (the Air Navigation (Chicago Convention) Directions 2022)

require the CAA to co-ordinate and submit to ICAO any necessary response to an ICAO State Letter.

The UK AAIB is an independent unit within the DfT. The UK AAIB investigates civil aircraft accidents and serious incidents within the UK, its OTs, and CDs. These are conducted under various regulations enacted throughout the UK system which comply with the international standards and recommended practices of ICAO Annex 13. The UK AAIB is also the UK safety investigation authority for overseas accidents and serious incidents where there is a UK state interest. In support of this work, the UK AAIB has several memoranda of understanding. These are listed on the UK AAIB website. The UK AAIB has a formal agreement with the Ministry of Defence (Defence Accident Investigation Branch) for co-operation in the investigation of accidents and incidents where there is a military interest, or the UK AAIB can contribute to the investigation of military accidents and incidents.

The Maritime and Coastguard Agency (MCA) provide 24-hour maritime and coastal search and rescue emergency and coordination for the UK main supporting ICAO Annex 12 obligations. The MCA also support the OTs with meeting ICAO Annex 12 obligations. They are an Executive Agency of the DfT.

The Ministry of Defence is exempt from the Air Navigation Order. As such, the Military Aviation Authority (MAA), ensures the safe design and use of military air systems. It is the regulatory authority responsible for regulating all aspects of air safety across the Defence Air Environment, with full oversight of all defence aviation activity. The MAA provides the Secretary of State for Defence, through the Director General Defence Safety Authority, the necessary assurance that appropriate standards and management arrangements of air safety are maintained in the delivery their operational capability that produce outcomes that are, so far as reasonably practicable, at least as good as those required by legislation.

Chapter 2 - State Safety Policy, Objectives and Resources

2.1 State Safety Legislative Framework

2.1.1 Legislation, Operating Regulations/ Requirements, and Industry Guidance Material

Both the DfT and the UKAAs are responsible for rulemaking processes regarding aviation safety and ensuring ICAO obligations are met.

Throughout the different regulatory frameworks, the DfT has a clear expectation that all UKAAs meet as a minimum the ICAO Standards and Recommended Practices unless agreed otherwise. UKAAs are responsible for consulting, producing, and maintaining of civil aviation regulations. Where any regulation requires UK parliamentary scrutiny, the DfT provide assurance ensuring it is fit for purpose. The DfT are also responsible for its drafting and passage through the UK parliament.

The DfT and UK CAA are responsible for UK Main legislation; this task is delegated to ASSI in the case of the UK's OTs. The CDs and Gibraltar are responsible for the passage of necessary legislation through their own systems (see Table 1).

For UK Main, where a policy change is to be effected through legislative change, the development pathway involves the UK CAA and DfT working together. Only the UK Parliament can decide to change the law. Therefore, the DfT works with the UK CAA to develop an evidence base and proposal for legislative change. The DfT is subsequently responsible for working with Ministers to draft the legislation and take it through the parliamentary process. The UK CAA, as the UK aviation regulator, are responsible for implementing and enforcing the legislation once approved by Parliament.

One of the current UK DfT strategic safety objectives (see Appendix A), is to ensure that the UK's regulatory framework evolves towards a more flexible, transparent, proportionate, and efficient system to better support the UK Government objectives. This objective applies where the DfT are involved (see Diagram 1). To understand in more detail the different structures of primary and subsidiary legislation, operating regulations/

requirements, and industry guidance material for each UKAA, please refer to their individual SSP documents (see Appendix B).

Part of the United Kingdom	Relationship	United Kingdom Aviation Authority (UKAA) responsible for aviation safety oversight	Responsible for maintaining regulation
Great Britain and Northern Ireland	UK Main	United Kingdom Civil Aviation Authority (UK CAA)	UKCAA
Guernsey	CD	Director of Civil Aviation (Guernsey)	DCA(G)
Isle of Man	CD	Isle of Man Civil Aviation Administration (IOMCAA)	IOMCAA
Jersey	CD	Director of Civil Aviation (Jersey)	DCA(J)
Gibraltar	OT	Office of the Director of Civil Aviation (ODCA)	ODCA
Bermuda	OT	Bermuda Civil Aviation Authority (BCAA)	ASSI
Cayman Islands	OT	Civil Aviation Authority of the Cayman Islands (CAACI)	ASSI
Turks and Caicos Islands	OT	Turks and Caicos Islands Civil Aviation Authority (TCICAA)	ASSI
Falkland Islands	OT	Falkland Islands Civil Aviation Department (FICAD) & Air Safety Support International (ASSI)	ASSI
Anguilla	OT	ASSI	ASSI
British Virgin Islands	OT	ASSI	ASSI
Montserrat	OT	ASSI	ASSI
St Helena	OT	ASSI	ASSI
Other UK Overseas Territories	OT	ASSI	ASSI

Table 1 – United Kingdom relationships, aviation authorities, oversight, and regulation maintenance responsibilities

2.1.2 State Safety Programme Documentation and Records

The DfT produce and are responsible for this high-level overarching UK SSP document. Each UKAA is responsible for producing their own SSP document (available from UKAA websites, see Appendix B) describing their programme and aviation systems. In addition, each UKAA develops and maintains their own National Aviation Safety Plans (NASPs).

UKAAs are responsible for undertaking periodic updates to both their NASPs and SSPs, to ensure these remain relevant and up to date. Depending on their geographical location, these safety plans will feed down from and up to the relevant ICAO Regional Aviation Safety Plan (known as a RASP) and the ICAO Global Aviation Safety Plan, (known as the GASP). Where relevant, these may refer or link to safety plan items from other UKAAs. It is important that any UKAA plan looks to address relevant aviation safety risks that impact their aviation system. The State Safety Board (SSB) assures this work and provides a forum for collaboration and co-ordination via working groups.

2.2 State Safety Programme Responsibilities and Accountabilities - Structure

2.2.1 State Safety Programme Development

The UK aims to achieve an assured SSP that serves the whole UK aviation system and benefits from the collective work of all the UKAAs and service providers.

The UK has evolved a meeting structure where UKAAs and other SSP related bodies can support the development of these SSPs, see Diagram 2.

The lead meeting is the SSB and is chaired by the Director General of Civil Aviation, DfT. The SSB consists of the heads of the UK organisations involved in the development of the UK SSPs. The focus is on components that interact with the UK main aviation system within the ICAO European region, the ICAO region for the UK. It also oversees the UK OT SSPs who are located outside the ICAO European region. It works to ensure effective good communication and coordination between these organisations.

The SSB meets every 6 months to agree the UK strategy for aviation safety and the direction of the whole UK system to evolve the UK SSP. It works to ensure that the UK has a legislative framework to serve the SSP, has sight of and shares the top aviation safety risks and mitigation measures, and seeks assurance that the SSP component parts function across the whole UK system. ASSI represents all the OTAAs on this Board (who may attend).

The State Safety Board Working Group (SSBWG) undertakes tasks to support the SSB meeting. The SSBWG meets at least every 6 months. This group is a working level equivalent of the main SSB board. Its members are more directly involved in the implementation and improvement of the UK SSPs. It can also include representatives of the OTAAs, who can be represented by ASSI when required. The SSBWG reviews aviation safety risks, safety data, and shares and examines SSP implementation related issues. The SSBWG provides the SSB with information and escalates issues to the SSB.

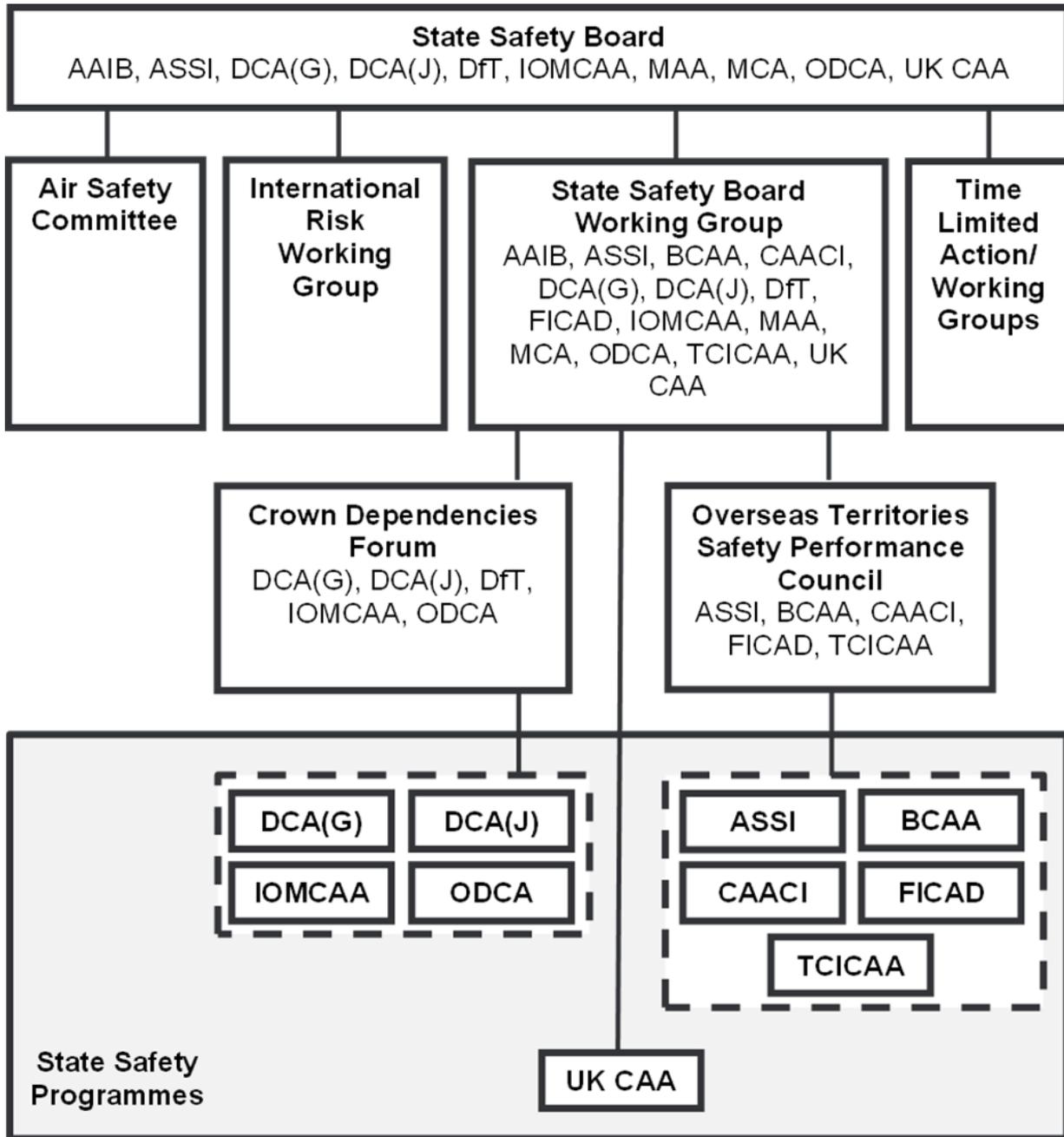


Diagram 2, State Safety Programme(s) meeting membership and relationships

The International Risk Working Group (IRWG) comprised of DfT and UK CAA staff meets quarterly to provide assurance to the SSB that the UK’s international safety risk exposure is monitored, prioritised, responded to and effectively managed.

The role of the IRWG is to manage, oversee and burden-share international aviation safety risks as a collective function within the UK; to delegate taskings based on decisions from the group; tackle international aviation safety risks, and to together understand the best mode of intervention for improving safety concerns.

The UK Air Safety Committee fulfils the role of the decision-making body for the purposes of the UK Air Safety List and Regulation 2111/2005. The IRWG will refer a case to the UK

Air Safety Committee for a decision on whether it should be added to the UK Air Safety List where the risk is assessed as severe. The Air Safety Committee may refer a case back to the IRWG where a decision is not taken. The Committee should be regularly updated on the work of the IRWG for additional context to decision making.

The Time Limited / Action Working Groups are ad hoc action/ project groups set up to deliver specific policy / project or objectives set by SSB or the SSBWG. This has included in the past a group looking at lithium battery risk across the whole UK. Action groups should be focused on delivering a specific short-term outcome in a set time frame. They should only be convened when other avenues have been exhausted.

The Overseas Territories Safety Performance Council (OTSPC), sitting under the SSBWG, performs a similar role to the SSB, but for OTAAs only. ASSI hosts a Council every 6 months. Most of the member authorities of this group operate within the ICAO North American, Central American, and Caribbean region, so unlike the SSB it is not ICAO European region issue focused. Most OTAAs have developed relationships with their local ICAO office. The DfT engage regularly with the Council, and where required, other ICAO offices in conjunction with ASSI.

The DfT hosts a CD forum every 6 months to work with the UKAAs. The OTSPC and CD forum have started to combine agenda items where they are of interest to both or would benefit from the wider participation. These both provide an opportunity to share safety information and learn from others.

The UKAA SSPs, as a foundation, feed into and support the OTSPC, CD Forum and SSBWG. These meetings, then in turn, provide support back to the individual UKAA SSPs.

2.2.2 State Safety Programme Responsibilities and Resources

Through Secretary of State Directions, Memorandums of Understanding, and other means, including this document, the DfT sets out expectations of UKAAs for the undertaking of oversight activity and the setting out of clear roles and responsibilities between the UK State and the UKAAs.

The UK CAA leads on the UK Main SSP (Great Britain and Northern Ireland). The following UKAAs lead on their respective SSPs: Bermuda Civil Aviation Authority, Civil Aviation Authority of the Cayman Islands, the Falkland Island Civil Aviation Department, the Director of Civil Aviation (Guernsey), the Director of Civil Aviation (Jersey), the Office of the Director of Civil Aviation Gibraltar, the Isle of Man Civil Aviation Administration, the Turks and Caicos Islands Civil Aviation Authority and Air Safety Support International on behalf of Anguilla, British Virgin Islands, Montserrat, St Helena, and where appropriate, other UK OTs.

One of DfT's strategic safety objectives (see Appendix A) is that the United Kingdom maintains a relevant and effective SSP that ensures aviation safety risks are managed in a timely manner to meet the State's acceptable level of safety.

The Director General of Civil Aviation, DfT holds ultimate accountability to ICAO for the UK SSPs. The heads of each UKAA are responsible to the Director General of Civil Aviation,

DfT for their SSPs. The DfT is accountable for ensuring UKAAs implement and maintain their SSPs, ensuring that these are continuously improved and kept up to date.

Each UKAA is responsible for continuously improving and updating their SSPs. The SSP responsibilities for each part of the UK can be found in more detail within the SSP documents of each UKAA (see Appendix B).

Within the UK SSPs each UKAA is responsible for aviation safety risk identification, mitigation, and for meeting what ICAO term the "State's safety management responsibilities". Overall, governments own aviation safety risks not owned by aviation service providers.

The DfT is accountable to ICAO for ensuring that the UKAAs are appropriately resourced to achieve their SSPs. Each UKAA is responsible for the resourcing, implementation, and continuous improvement of their SSPs with their respective governments.

2.2.3 State Safety Programme Coordination

The SSB provides a forum for the overarching coordination and sharing of information such as activity, occurrence, risk, and assurance data for all the UK SSPs (see Diagram 3). The SSB also provides a channel to coordinate with other UK Government departments.

The SSBWG is responsible for the SSP coordination across the whole of the UK representing a National SSP coordination committee. Each UKAA is then responsible for the coordination of organisations within their SSP.

The OTSPC provides coordination across the UKOT SSPs where required. This can be escalated to the SSB via ASSI or coordinated directly with the SSBWG if required on any SSP matters.

Within the UKAA SSPs, UKAAs coordinate their SSPs with their industry and local bodies. The varying complexity and size of the UKAA SSPs means that at a UKAA level, the scale of the coordinating role can vary from just one person to many employees across multiple departments dedicated to fulfilling the implementation and improvement tasks.

The forum structure facilitates continuous improvement through UKAAs working together and sharing their experiences. The individual UKAA SSP functions provide data to feed and share with the SSBWG and SSB. This flows back to each UKAA who periodically review their SSP, and update their SSP documents and safety plans to ensure continuous improvement.

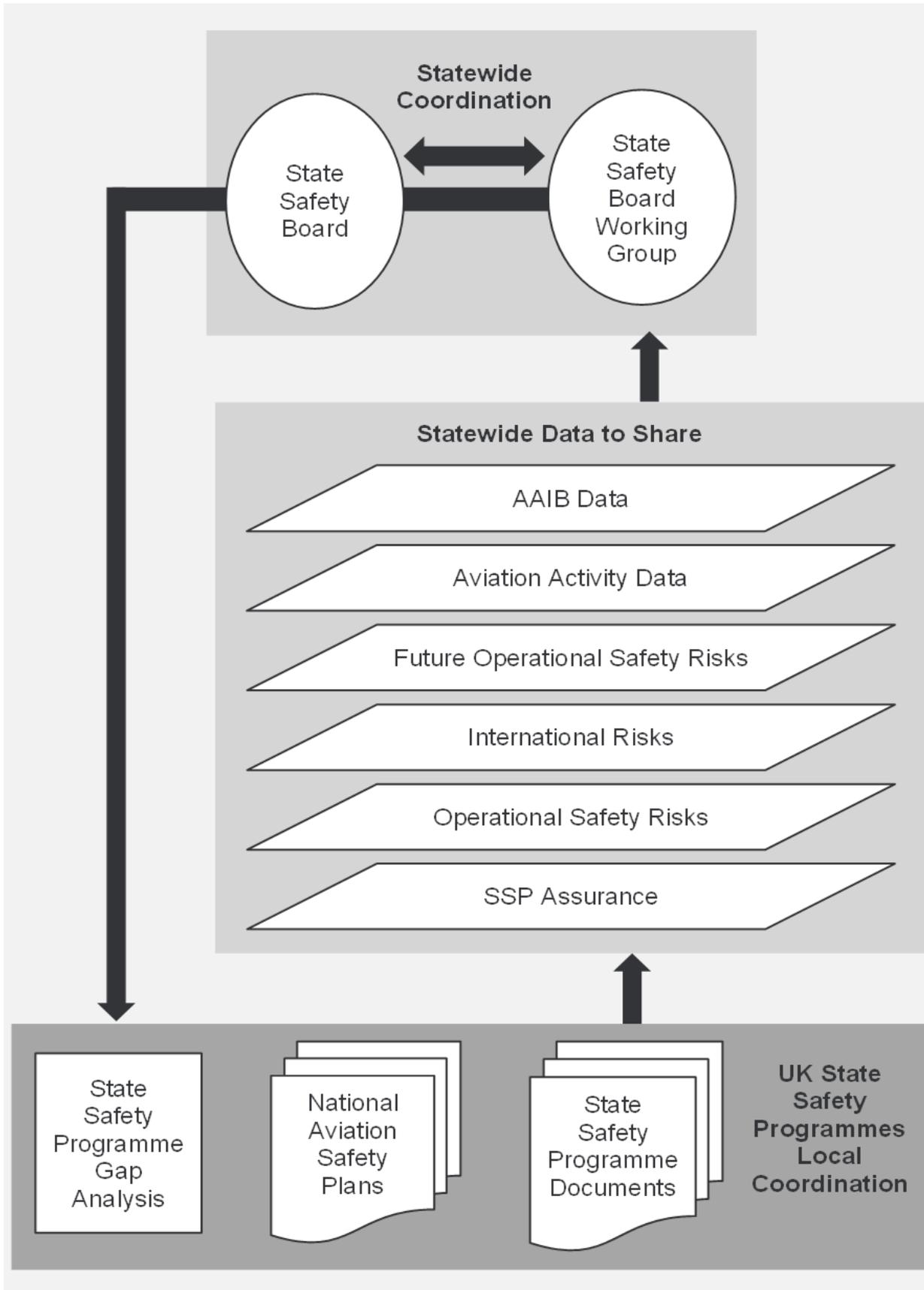


Diagram 3, coordination, and data sharing within the UK SSP

2.2.4 State Safety Programme Safety Policy

The UKAAs are responsible for producing, maintaining, and promoting their own safety policy statements. The DfT is responsible for producing, maintaining, and promoting a UK-wide State safety policy statement.

The DfT aviation safety policy is as follows:

- Committing to achieve a legislative framework and operating regulations for the management for aviation safety across all UKAAs that have processes that consult with relevant industry parties. These regulations aim to meet or exceed international safety requirements and standards.
- The DfT's policy is to ensure that UKAAs are appropriately and sustainably resourced and staffed to meet their aviation safety functions with competent and qualified personnel in order to meet their oversight responsibilities.
- The DfT ensure voluntary and confidential reporting processes are available throughout the whole of the UK, our OTs and CDs and are promoted to support safety management.
- The whole of the UK, our OTs and CDs are committed to ensuring the protection of safety data with enforcement policies that support the principles of a just culture to secure its continued availability. A Just Culture promotes continuous learning from previous mistakes and encourages the open and free sharing of essential safety related information. Where any safety concerns exist, UKAAs are expected work with service providers to resolve these. Where an organisation has a functioning SMS, this should be the primarily mechanism to manage and resolve safety issues, unless there is recklessness, negligence or repeated violations.
- The DfT provides assurance that UKAAs have established safety oversight systems that are evolving through the application of safety management principles to meet the standards and recommended practices of Annex 19 to meet the State's safety management responsibilities.
- Evolving the DfT's and UKAAs' - as part of the overall UK SSP - data management capabilities and data sharing to enable improved risk management. This includes exchanging between aviation service providers to benefit the safety profile of the whole of the UK. The UK looks to further develop the monitoring and measurement of our SSPs' performance.
- The DfT and UKAAs seek to promote safety management with those for whom it is required by regulation and those who choose to adopt it, alongside the promotion of best practice in within safety management.
- Furthermore, the UK looks to all, particularly those in leadership positions within aviation, to promote and support positive safety culture throughout their organisations.

2.2.5 State Safety Programme Aim

Throughout the UK, as a minimum, our acceptable level of safety is that there are no accidents involving commercial air transport that result in serious injuries or fatalities, and no serious injuries or fatalities to third parties as a result of aviation activities.

2.2.6 State Safety Programme Improvement and Review

Each UKAA is responsible for the development, improvement, and evolution of their SSP, ensuring it remains up-to-date and capable of promoting aviation safety within a UKAA's sphere of operations. Each UKAA is responsible for ensuring ICAO mandated activities are undertaken. These include keeping ICAO State Aviation Activity Questionnaires, compliance checklists, filing of differences and Protocol Questions self-assessments accurate and up to date. Currently, the UK CAA conduct reviews of the SSP of ASSI. ASSI, as part of their assessment process, review the SSPs of the other OTAAs. The UK DfT is in the process of developing methods of SSP assurance to cover the whole UK system.

Since 2013, the OTSPC has reviewed and shared its experience in the evolving SSPs of OTAA members. The CD Forum is also evolving to provide a similar function. The SSB and its working group meetings also enable review opportunities and support amongst UKAAs to improve the UK's and their SSPs.

2.3 State Accident and Incident Investigation

The UK AAIB is the designated independent body for accident and serious incident investigation for the UK, the CDs, and the OTs. Its purpose is to improve aviation safety by determining the circumstances and causes of air accidents and serious incidents and promoting action to prevent reoccurrence. The Chief Inspector of Air Accidents reports directly to the Secretary of State for Transport on the conduct and outcome of investigations.

2.4 Enforcement Policy Guidelines

Similar to safety policy, the UKAAs have their own enforcement policies that align with guidelines set out in Annex 19 and support the SMSs of service providers within their jurisdiction. Service providers with functioning SMSs should be able to manage the resolution of any safety deviations to the satisfaction of their overseeing UKAA. Any information and data shared with the UKAA on a confidential and voluntary basis, subject to exceptions, should not be used as the basis for enforcement. In instances of unintentional deviations from compliance by a service provider with an SMS, UKAAs should aim to work with that service provider to correct non-compliance within a reasonable timescale. Where this is not possible, enforcement escalation should be considered.

Overall, working in this way instils both trust and confidence in our service providers' SMSs and enables the SSP to evolve. This should ensure those working within service providers openly provide information that enables all parties to advance aviation safety.

Aligning to Annex 19, the level of enforcement should account for:

- Whether there were consistent and deliberate operations outside of the published regulations,
- The willingness of the party to resolve safety deficiencies through education, training, and supervision through positive engagement with the UKAA, and
- Whether the action / inaction was a premediated violation or an unintended error or deviation.

Enforcement decisions should be fair, follow due process and be subject to appropriate review. Such decisions should take account of the circumstances, attitudes, and actions of those involved with the decision being transparent to them. Where similar circumstances exist between service providers, the UKAAs must be consistent in its approach to enforcement.

Any enforcement decisions must not be influenced by:

- Personal conflict or gain.
- Gender, sexual orientation, race, religion, political views, or affiliation.
- The personal, political, or financial power of those involved.

The exceptions are where:

- There was a deliberate effort to conceal the non-compliance, and / or
- The organisation fails to maintain an acceptable SMS, and / or
- There is a recurrent violator.

In upholding the UK's compliance with international standards, the DfT has varying levels and ranges of enforcement powers to hold a UKAA to account. These will depend on the UKAA, and the issue arising. Any such action will be dealt with on a case-by-case basis aligning with the Annex 19 enforcement principles, as outlined above.

Chapter 3 - State Safety Risk Management

3.1 Safety Requirements for the Service Provider's Safety Management System

Safety requirements for service providers are produced by each UKAA under their relevant legislation in accordance with the expectations and policies laid down by the DfT. UKAAs are responsible for the oversight of their service providers' safety management systems. Further details on these can be found within the SSP documents and regulatory publications of each UKAA. Service providers' SMSs are a key component within any SSP.

3.2 Agreement of Product or Service Provider's Safety Performance

The safety performance (and any safety performance indicators) of each service provider are evaluated by each UKAA's oversight programmes. Any concerns the UK DfT may have with regards to a particular service provider's safety performance will be communicated to and managed via the relevant UKAA. Any safety performance concerns regarding a UK-overseen service provider can be directly communicated to the relevant UKAA, or to the UK DfT or the UK CAA where this is not known. The DfT or UK CAA will then ensure this information is passed to the relevant UKAA.

3.3 Periodic Assessment of the Product or Service Provider's SMS

The safety performance of each service provider's SMS is evaluated by each UKAA's oversight programmes. Safety requirements for SMS, oversight of service provider's safety performance and periodic assessments of service provider's SMSs are the responsibility of the UKAA under which the service provider falls under.

3.4 UK Aviation Risk Sharing

The UK has improved, and is working to further improve, both the SSB and SSBWG to share safety intelligence, data, insights, and risks amongst all UKAAs to support their SSPs. The aim is that all the UKAA can utilise this to improve the effectiveness of their individual SSPs.

Chapter 4 - State Safety Assurance

4.1 Safety Assurance

Each UKAA is responsible for the safety oversight of service providers operating under their certification, approval, and licencing. Further details regarding safety oversight are described in each UKAA's SSP documentation.

4.1.1 Certification, Approval and Licensing System

Each UKAA provides certification, approval, and licencing processes for the aviation activities under their respective legal umbrellas where these activities occur.

4.1.2 Safety Oversight of Product and Service Providers

The safety oversight of products and services is the responsibility of each UKAA. The scope and processes of such oversight are dependent on several factors. For example, not all activities may be present within the oversight of a particular UKAA, or they may be operating in a limited sphere of that activity. All UKAA oversight programmes aim to gain assurance of the service provider's regulatory compliance and, where required, aviation safety risk management. A summary of which parts of the UK are regulated by which UKAA are contained within Table 1.

4.1.3 Internal State Safety Programme Review/ Quality Assurance

Each UKAA is responsible for internal audits of its own SSP. The DfT is accountable for ensuring the UKAAs implement and maintain their SSPs.

4.1.4 External State Safety Programme Review/Audit

Within the UK State, the DfT is responsible for reviewing UKAA SSPs. This is achieved through audits of the CDs, assessments of the OTs, the UK CAA audits of ASSI, reviews of SSP publications, and monitoring of ICAO SSP gap analyses. ICAO conducted a SSP Implementation Assessment of the UK main in late 2022. This provided an action plan to further improve the UK Main SSP. The SSP improvement project seeks to evolve this

further through the SSB's oversight and its working group activities. Through the SSB and the SSBWG the UK is working to improve the UK-wide SSP assurance review.

4.2 Safety Data Collection, Analysis and Exchange

4.2.1 Occurrence Reporting System

Across the whole UK, accidents and serious incidents shall be reported to the UK AAIB. The UK AAIB is responsible for the investigation of civil aviation aircraft accidents and serious incidents that occur anywhere in the UK, the CDs, and OTs. The UK AAIB also assists in foreign investigations where the UK state has an interest.

Each UKAA has their own occurrence reporting systems for occurrences that do not meet the criteria of an accident or serious incident. This occurrence data contributes to the operation of each UKAA's SSP and where possible, the UKAAs share this safety data. For example, all ASSI occurrence reports are copied into the UK CAA system. By pooling data, UKAAs gain a better understanding of how widespread an issue might be. The UK is working towards improving the sharing of occurrence data between all UKAAs to increase such benefits.

The DfT expects all UKAAs to have processes to ensure that all wildlife strike reports that occur within their jurisdiction are uploaded to the ICAO Bird Strike Information System. This is a platform that enables ICAO member states to upload and share all wildlife strike reports, leading to an improved awareness of global wildlife strike risks.

4.2.2 Voluntary / Confidential Reporting System

Each UKAA has a provision for voluntary and confidential reporting. Most UKAAs process voluntary reports in the same way as their mandatory reports. In addition to these processes, the UK also has an independent charity organisation called CHIRP, or Confidential Human Factors Incident Reporting Programme. Its mission is to help improve aviation (and maritime) safety and build a Just Culture by managing an independent and influential programme for the confidential reporting of human factors-related safety issues. By publishing anonymised findings it raises awareness and encourages stakeholders to act.

4.3 Safety Data Driven Targeting of Oversight of Areas of Greater Concern or Need

As part of the evolving SSP, the DfT is looking to improve its view of the safety risk picture across the whole UK aviation system. The DfT will examine how to embed processes to provide assurance both of the individual UKAA SSPs and the whole UK system. Another aim is to provide more opportunities to share ideas, experience, challenges, and share best practice and better mitigations amongst UKAAs. Using all of our data, an improved picture is formed identifying gaps in the layers of mitigations that may have been previously missed. This is achieved through improved sharing of occurrence data, aviation safety risks and methods of mitigation across all UKAAs.

Each UKAA is expected to evolve their SSPs to collect data on their aviation operations and supplement this with regional safety data where required to enable them to conduct data driven targeting of areas of greater concern or need. The maturity of such processes across the UKAAs varies and SSP improvements will feature in UKAA NASPs. An important consideration is that different UKAAs will evolve at different speeds, which is acceptable where there is steady progression.

Chapter 5 - State Safety Promotion

5.1 Internal Training, Communication and Dissemination of Safety Information

5.1.1 Internal State Safety Programme, Safety Management System and Safety Training

The DfT and each UKAA is responsible for internal training on the SSP. UKAAs are encouraged to ensure that all staff receive training in their SSP. Where required as part of their role, UKAA staff should be trained in how SMSs work. Each UKAA should ensure that their staff are competent in their roles to support the SSP. The DfT is responsible for training their staff, with training based on the work they conduct in relation to the SSP. This ranges from an overview based on this document to a more detailed insight into ICAO SSPs, NASPs, and how the UK meets these requirements operationally.

5.1.2 Internal Communication and Dissemination of Safety Information

The DfT and UKAAs have many ways to internally communicate and disseminate safety information within the whole UK system. Currently, the SSB and the supporting working group meetings provide a forum to share data and promotional activities.

5.2 External Training, Communication and Dissemination of Safety Information

5.2.1 External Safety Management System and State Safety Programme Training/ Education Facilitation

Some UKAAs provide external SMS/SSP training and education to industry. Some are active members and contribute to the Safety Management International Collaboration Group that provides guidance and materials for industry to use.

5.2.2 External Communication and Dissemination of Safety Information

UKAAs can lead, facilitate, or participate in safety promotion with service providers and their industry. The UK has many forums, and it participates in many international forums. Where it is beneficial and relevant such activities may be shared and coordinated with other UKAAs. Across the UKAAs, there are many safety information outlets which are described within each UKAA's SSP document.

Via regulatory oversight, UKAAs will be gathering safety intelligence and providing safety information to service providers. As part of the normal course of its policy, and other work, the DfT engages regularly with service providers and other aviation stakeholders. Information from such engagement is shared through the many interactions between the DfT and UKAAs.

Aligning with our safety strategic objectives (see Appendix A), the UK aims to be a trusted and reliable partner in international aviation safety work by working internationally to improve aviation safety. This is achieved by working with regional organisations and ICAO. This, in part, includes the sharing and exchange of safety information.

Appendix A - DfT Strategic Safety Objectives

Strategic Safety Objective 01 – The United Kingdom maintains a relevant and effective State Safety Programme that ensures aviation safety risks are managed in timely manner to meet the State’s acceptable level of safety.

Strategic Safety Objective 02 – The United Kingdom regulatory framework evolves towards a more flexible, transparent, proportionate, and efficient system to better support Government objectives.

Strategic Safety Objective 03 – To ensure the United Kingdom is a trusted and reliable State partner in order to advance United Kingdom’s interests through improving global aviation standards, building bilateral and multilateral strategic relationships.

Appendix B - UKAA and UK State Safety Programme Related Bodies Websites

The following is a list of the UKAA websites where State Safety Programme documents can be found:

Air Safety Support International (Anguilla, British Virgin Islands, Montserrat, and St Helena)

www.airsafety.aero

Bermuda Civil Aviation Authority

www.bcaa.bm

Civil Aviation Authority of the Cayman Islands

www.caacayman.com

Falkland Islands Civil Aviation Department

www.falklands.gov.fk/civilaviation/ficad/about-ficad

Office of the Director of Civil Aviation Gibraltar

www.gibraltar.gov.gi/civil-aviation

Isle of Man Civil Aviation Administration

www.gov.im/caa

Turks and Caicos Islands Civil Aviation Authority

www.tcicaa.tc

UK Civil Aviation Authority

www.caa.co.uk

The following are websites of other UK State Safety Programme related bodies:

Military Aviation Authority

www.gov.uk/government/organisations/military-aviation-authority

UK Air Accidents Investigation Branch

www.gov.uk/government/organisations/air-accidents-investigation-branch

UK Department for Transport

www.gov.uk/government/organisations/department-for-transport

UK Maritime & Coastguard Agency

www.gov.uk/government/organisations/maritime-and-coastguard-agency