



**CIVIL AVIATION  
AUTHORITY OF THE  
PHILIPPINES**

**STATE SAFETY PROGRAM**

**March 2024**

**3<sup>rd</sup> Edition**

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**Foreword**

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Aviation serves an essential part in the economic and social development of the Republic of the Philippines.

This sector has been growing in a constant and diversified manner in recent years, a trend that is expected to continue in the future. This opens significant opportunities for innovation in the industry, such as new technologies, new operations and new types of aircraft that will contribute to the growth of our economy. However, these new opportunities entail major challenges for the Republic of the Philippines in its efforts to ensure that aviation safety is maintained and continuously improved.

The Republic of the Philippines is a signatory to the Convention on International Civil Aviation (Chicago Convention) and has been a member of the International Civil Aviation Organization (ICAO) since its establishment in 1947. From the beginning, the Philippines has been an active participant in, and an avid proponent of ICAO's activities.

Annex 19, which highlights the importance of safety management at the State level, was developed to assist States in managing aviation safety risks. Given the increasing complexity of the global air transportation system and its interrelated aviation activities required to assure the safe operation of aircraft, it (Annex 19) supports the continued evolution of proactive strategy to improve safety performance. The foundation of this proactive safety strategy is based on the implementation of a State Safety Program (SSP) that systematically addresses safety risks.

The Philippines State Safety Program (SSP) has the difficult task of identifying, controlling, and maintaining the effectiveness of the various safety performance elements at national level, and continuously reviewing them to adopt them to the new threats and challenges arising in the ever-evolving world of aviation. The Philippines SSP sets forth key principles in support of national aviation safety management and its objectives. This approach is consistent with the ICAO Asia-Pacific Regional Aviation Safety Plan (AP-RASP) and the Global Aviation Safety Plan (GASP).

The Philippines SSP recognizes the importance of all aviation stakeholders working in a close, collaborative, and mature manner to identify safety hazards and ensure the adoption of best practices and the most suitable technologies to manage and reduce their inherent risks. It is in this connection that Aviation Service Providers serve an important role in delivering safety and quality management information, which is required for the establishment of safety objectives, safety performance indicators (SPIs), and safety goals.

Hence, the Civil Aviation Authority of the Philippines remains flexible and versatile in responding to the challenges created by the rapidly changing aviation industry and our aviation safety system will continue to play an integral part in meeting these challenges.



**CAPTAIN MANUEL ANTONIO L. TAMAYO**  
Director General



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Republic of the Philippines  
CIVIL AVIATION AUTHORITY  
OF THE PHILIPPINES



## State Safety Policy

The Philippines is committed to improving aviation safety through its State Safety Program. It is continuously developing, implementing, and improving strategies and processes so that Philippine civil aviation achieves the highest acceptable level of safety. As such, CAAP and all the government stakeholders of the Philippines aviation system are committed to:

- Set and assure compliance with national standards that meet or exceed ICAO standards, recommended practices, and procedures;
- Adopt a data-driven and risk-based approach in safety regulation and industry oversight activities;
- Identify safety trends within the aviation industry and adopt a risk-based approach to address areas of a more significant safety concern or need;
- Monitor and measure the safety performance of the aviation system continuously through the assessment of service providers' safety performance;
- Collaborate, communicate and coordinate with the aviation industry to address safety matters and continuously improve aviation safety;
- Promote a positive safety culture across the whole of the aviation system that encourages the sharing of safety data and information between Service Providers and CAAP to facilitate improved safety analysis and proactive safety management;
- Ensure the protection of safety data and information collected through the safety reporting system so that it is only used for the improvement of safety.
- Promote a just culture across the aviation system to encourage individuals and organizations to report safety issues or concerns confidentially without fear of action against them, unless their actions are considered to be reckless or acts of gross negligence or willful misconduct;
- Ensure that there are sufficient financial and human resources for safety management and oversight including the provision of training and the management of the competency of CAAP Personnel to perform their safety duties efficiently and effectively; and;
- Implement an effective State Safety Program to proactively manage national aviation safety risks to an acceptable level.

  
CAPTAIN MANUEL ANTONIO L. TAMAYO  
Director General

DEC 18 2023

Date

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## Introduction

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The Republic of the Philippines participates actively in the APAC-SEA SSP implementation projects and is consistently complying with International Civil Aviation Organization (ICAO) requirements.

The Philippines SSP is a management system used for regulating and managing safety in the Republic of the Philippines. SSP Implementation in the Philippines has required coordination among the authorities responsible for aviation functions.

The SSP was implemented by the Civil Aviation Authority of the Philippines in accordance with the requirements of **CAR – Safety Management** and in accordance with ICAO Annex 19. The Philippines SSP defines the specific safety activities that it will continue to conduct to fulfill the State's responsibilities for the safe and efficient performance of aviation activities.

Philippines SSP provides the Civil Aviation Authority of the Philippines with a regulatory safety management system, while its service providers have established and maintain their own safety management systems (SMS).

The SSP Steering Committee is chaired by the accountable executive (CAAP D.G.) and is responsible for the development and review of this document and policy making and decision making related to the State Safety Program, such as safety policy, safety indicators, and safety data protection.

The SSP is supported by the implementation of the national safety and air navigation plans, which establish the main safety management and air navigation objectives, indicators and targets of the Republic of the Philippines. It is also supported by the main policies, requirements, services, and investment initiatives for achieving the objectives, recognizing that emerging issues, technological change, and competition priorities may impact these objectives over time.

In addition to addressing the ICAO SSP framework, the SSP provides an overview of the commitments of CAAP to the safety management and air navigation system at the national level.

The SSP is consistent with the priorities, principles, policies, objectives, indicators, goals and alert levels of the safety plan of the Republic of the Philippines, the Asia-Pacific Regional Aviation Safety Plan (AP-RASP), and the Asia-Pacific Regional PBN Implementation Plan, which represent the safety axis of the strategic plan for the sustainability of air transport in the Asia-Pacific Region and emanate from the ICAO global aviation safety plan (GASP) and global air navigation plan (GANP)

Finally, the SSP shall be reviewed annually to keep it up to date, relevant and appropriate to the aviation industry in the Philippines.

## Chapter 1: State Safety Policy, Objectives, and Resources

### 1.1 Primary Aviation Legislation

#### Legislative system of the Republic of the Philippines

1.1.1 The Congress of the Philippines enacted a law creating the Civil Aviation Authority of the Philippines (CAAP), known as Republic Act 9497 (R.A. 9497), or the Civil Aviation Authority Act of 2008.

1.1.2 All of the aviation legislative instruments and regulations of the Republic of the Philippines are available to the public, at no cost, at CAAP Website: [www.caap.gov.ph](http://www.caap.gov.ph).

#### Aviation legislation of the Republic of the Philippines

1.1.3 The main legislative instrument of the Republic of the Philippines is the Civil Aviation Authority Act of 2008 known as R.A. 9497, which designates the Civil Aviation Authority of the Philippines (CAAP), as the regulatory entity and defines its organization and functions and is responsible for implementing the Republic Act 9497.

1.1.4 R. A. 9497 also contains provisions for the enactment of regulations that contain and give effect to the Chicago Convention and the standards and recommended practices (SARPs) set forth in the Annexes to the aforementioned Convention. The main civil aviation laws of the State are as follows: laws for the CAA, laws for another regulatory authority, law(s) for the AAIIB entity, and laws for service providers,

### 1.2 Specific Operating Regulations

1.2.1 The aviation safety legislative system of the Republic of the Philippines is also made up of a subordinate regulation consisting of orders, guidance and advisory material. In order to ensure the effectiveness of the safety oversight system, proposals for change are developed in consultation with the industry and other stakeholders, involving safety and cost/benefit analyses.

1.2.2 The CAAP leads the regulatory development in the Republic of the Philippines. CAAP has adopted a three-tier structure consisting of the act, civil aviation regulations, and guidance and advisory material.

1.2.3 The Republic of the Philippines shall normally develop its requirements based on the standards set forth in the Annexes to the Convention on International Civil Aviation. If applicable, it will consider incorporating its regulations requirements developed by other States. If CAAP chooses not to follow a standard of any of the Annexes, it will file a difference with ICAO, and in case of a significant difference, it will coordinate with the Aeronautical Information Services (AIS) provider for its inclusion in the Philippines Aeronautical Information Publication (AIP). Differences filed with ICAO must be substantiated.

1.2.4 CAAP shall continue reviewing its regulatory framework to ensure consistency with the SARPs and international regulations, with special emphasis on the development of

performance-based regulations and requirements. CAAP's Flight Safety Inspectorate Service (FSIS) and Aerodrome and Air Navigation Safety Oversight Office (AANSOO) will work closely with ICAO APAC and the international community to support the future regional and global development of regulatory priorities.

1.2.5 The Philippine Civil Aviation Regulations (PCARs), Civil Aviation Regulations – Air Navigation Services (CAR-ANS), CAR Aerodromes, CAR Safety Management, Manual of Standards, Safety Directives and the supporting requirements and guidance are CAAP Requirements and Advisory Circulars (ACs). **Appendix A** provides more information on the aviation regulations of the Republic of the Philippines.

### **SSP/SMS Documentation and Records**

1.2.6 CAAP utilizes the Document Management System (DMS) under the Central Records and Archives Division (CRAD) for the appropriate storage, archiving, protection and retrieval of all documents related to SSP activities. Sensitive documents appropriately marked as confidential shall undergo a more stringent filing requirement. The DMS incorporates a proper traceability process for documents accessed through the DMS platform and shall be regularly updated and reviewed by the concerned offices and authorized CRAD staff.

### **1.3 State System and Functions**

1.3.1 The government of the Republic of the Philippines, through the Department of Transportation (DOTr) and CAAP, defines the general direction of the aviation policy and strategy.

1.3.2 **Appendix B** defines the general roles and responsibilities of the various entities responsible for aviation functions in CAAP within the SSP framework. **Appendix C** shows the overall governance structure of the SSP and the various committees, groups and meetings that support the governance of the SSP.

1.3.3 CAAP, shall provide the resources necessary for the establishment and operation of the SSP.

### **Coordination within the aviation safety system of the Republic of the Philippines**

1.3.4 Overall safety performance in the aviation safety system requires an integrated and collaborative approach, which is essential for SSP implementation and operation.

1.3.5 CAAP has established the following groups to coordinate among the organizations that are part of the State Safety Program Implementation. A range of coordination groups draw together the agencies responsible for aviation policy, regulation, and service provision. These groups enhance cooperation and coordination across the agencies on aviation safety, efficiency and capacity issues.

### **SSP Steering Committee**

1.3.6 The SSP Steering Committee (SSP-SC) shall provide policy guidance and direction to the SSP, and will be composed of the following:



- Director General
- Deputy Director General for Operations
- Deputy Director General for Administrations
- Chief Financial Officer
- Chief / Asst Chief of FSIS
- Chief / Asst Chief of AANSOO
- Chief of Enforcement Legal Service
- Chief of AAIB
- Safety and Quality Management Office
- Representatives of Government Agencies:
  - ❖ Department of Transportation (DOTr)
  - ❖ Philippine Air Force (PAF)
  - ❖ Office of Transportation Security (OTS)
  - ❖ Department of Environment and Natural Resources (DENR)
  - ❖ Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA)

1.3.7 The roles and responsibilities of the SSP Steering Committee (SSP-SC) include the following:

- Lead and monitor the delivery of the State Safety Program
- Provide coordination and decision making on the safety management strategy for the Philippines
- Review and propose revisions of the State Safety Policy and State Safety Objectives to reflect the significant risks faced in the Philippines
- Review the significant risk and safety issues and make strategic decisions on the actions needed to address them
- Monitor the overall effectiveness of the SSP and National Aviation Safety Plan (NASP) to ensure it continues to proactively identify and manage national aviation safety risks
- Review and agree the acceptable level of safety performance (ALoSP) for the Philippines and the corresponding State Safety Performance Indicators.
- Drive the effective implementation of the SSP.

1.3.8 The committee shall meet at least twice a year and is chaired by the Director General and alternate chaired by the Deputy Director General for Operations of CAAP. SQMO will act as the secretariat for the committee.

### **Safety Action Groups**

1.3.9 The **CAAP Safety Council (CSC)** main responsibility is to provide guidance in the implementation of the SSP and will be composed of the following:

- Director General
- Deputy Director General for Operations
- Deputy Director General for Administrations
- Chief Financial Officer
- Chief of Enforcement and Legal Service
- Chief / Asst Chief of FSIS
- Chief / Asst Chief of AANSOO
- Chief of AAIB
- Safety and Quality Management Office

1.3.10 The group shall meet quarterly and is chaired by the Director General and alternate chaired by the Deputy Director General for Operations of CAAP. SQMO will act as the secretariat for the committee.

1.3.11 The **FSIS Safety Action Group (FSAG)** main responsibility is to identify the safety issues from the reports and surveillance and implement measures to mitigate the risk and will be composed of the following:

- Chief / Asst Chief of FSIS
- Department Heads
- Division Heads
- Section Heads
- SQMO

1.3.12 The group will be chaired by the FSIS Chief with the Assistant Chief as alternate chair and shall meet on a quarterly basis. SQMO will act as the secretariat of the group.

1.3.13 The **AANSOO Safety Action Group (ANSAG)** main responsibility is to identify the safety issues from the reports and surveillance and implement measures to mitigate the risk and will be composed of the following:

- Chief / Asst Chief of AANSOO
- Division Heads
- Section Heads
- SQMO

1.3.14 The group will be chaired by the AANSOO Chief with the Assistant Chief as alternate chair and shall meet on a quarterly basis. SQMO will act as the secretariat of the group.

1.3.15 The **Philippines Industry Safety Action Group (ISAG)** is a joint CAAP and industry working group to support the SSP improving aviation safety in a collaborative way. It provides a forum for industry to contribute to the SSP activities by raising safety issues as well as reviewing the CAAP safety analysis. It is made up of participants from across the aviation industry and technical experts from CAAP. The meeting will be chaired by the Corporate Executive Officer under SQMO and the group will have an industry co-chair to help chair and facilitate the meetings. The roles and responsibilities include the following and shall meet on a quarterly basis.

- Support CAAP in the development of the national aviation risk register
- Identify new hazards and safety issues
- Identify precursor events and contributing factors
- Share safety information with the group
- Share expertise and provide an input in the SSP
- Provide additional analysis of the CAAP safety data and information

#### **Safety Data Analysis Group (SDAG)**

1.3.16 This group consists of representatives from SQMO and ASAD is responsible for the collection and analysis of safety data and information. It includes the analysis of data collected from the occurrence reporting system and data from the AAIIB, FSIS and AANSOO. Its main functions are to:

- Facilitate the exchange of safety data and information and analysis with the purpose of maintaining and improving aviation safety;
- Provide a summary of the analysis to the various SSP safety committees and safety action groups.
- Use the available data for the development of State safety performance indicators (SPIs).

### **Civil and Military coordination on aviation safety**

1.3.17 CAAP and the Philippines Air Force have established a coordination Group meeting to discuss common safety issues. This includes the sharing of relevant safety data and information with the intent to share lessons learnt between the civil and military aviation systems. The Coordination Group reports to the SSP Steering Committee.

A separate Civil-Military Air Traffic Management Committee (CMATMC) has been established as a harmonization forum to oversee synchronization and collaboration of the Philippine civil and military air traffic management, and aviation rescue and firefighting services. The CMATMC reports to the CSC on progress with ATM initiatives.

### **Memorandum of understanding (MOU)**

1.3.18 When appropriate CAAP shall coordinate safety matters through formal arrangements called memoranda of understanding (MOUs). MOUs aim to ensure that the responsibilities and communication protocols are clearly coordinated among the relevant organizations.

## **1.4 Qualified technical personnel**

1.4.1 CAAP has implemented a training program and plan for all its personnel, with special emphasis on the training of personnel involved in safety management and safety oversight. The CAAP training program comprises initial, on-the-job, recurrent, and specialized training. This includes a comprehensive induction program for newly hired inspection personnel, covering generic training in human resource management, audits, systems and tools, regulatory environment, SSP and SMS.

1.4.2 All the investigators of AAIIB have completed their aviation accident and incident investigation training program. In addition to the technical skills and industry experience required to fulfill their functions, all investigation personnel are required to complete the required safety management training (SSP/SMS).

1.4.3 AAIIB supports additional opportunities for professional development, which allows the staff to maintain their technical qualifications, acquire knowledge and experience in emerging technologies and practices, and follow tertiary studies in areas relevant to AAIIB functions.

## **1.5 Technical guidance, tools and provision of safety-critical information**

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

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1.5.2 The safety principles of the FSIS and AANSOO underline the importance of the commitment of government and industry organizations to the provision of resources for safety management and oversight, and of personnel training to acquire the skills and experience required for them to fulfill their duties proficiently.

1.5.3 FSIS, AANSOO and AAIB shall develop and keep the safety-related guidance material and work aids for inspectors, investigators, and technical personnel up to date. Likewise, they shall develop and keep the guidance material for the industry updated.

## Chapter 2: State Safety Risk Management

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

The modern safety management approach requires a systematic approach to safety management, covering organizational structures, policies and procedures - the SMS approach.

The SRM in the aviation industry of the Republic of the Philippines is a responsibility shared by the CAAP and the aviation organizations of the State. It is important for the aviation industry and the State aviation safety agencies/organizations to work collaboratively to attain the best safety outcomes.

SSP recognizes the need to make the transition from a systems-based approach to a risk-based approach to safety oversight, together with risk-based surveillance (RBS). This change puts more responsibility on service providers and changes how the FSIS and AANSOO perform safety oversight and monitoring functions.

Aviation safety hazard identification and risk management involve a multi-step process in which systems and risk information can be added to high-category levels, ending in an assessment of the overall risk level throughout the aviation industry.

CAAP has developed the safety plan based on this process. This plan will identify the risks existing in the system and the treatment applied by the State to risk management.

The safety risk management system in the Philippines consists of the following activities:

- Hazard identification;
- Safety data collection and analysis;
- Risk assessment;
- Risk management; and;
- National Aviation Safety Plan

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

FSIS, AANSOO and CAAP administrative bodies use a common risk management framework to ensure an approach that is consistent with safety management.

### 2.1 Licensing, certification, authorization, and approval obligation

2.1.1 CAAP has established an authorization scheme for safety-critical activities that involves the granting by FSIS and AANSOO of licenses, certifications, authorizations and/or approvals to industry personnel, air service operators, service providers, and aerodromes.

## 2.2 Obligations of the safety management system (SMS)

2.2.1 CAAP has established the requirements for SMS implementation in various sectors of the aviation industry. FSIS and AANSOO have issued the requirements for SMS implementation by the following civil aviation service providers:

- Approved training organizations (ATOs): PCAR PART 03 - Approved Training Organizations requires that ATOs that are exposed to safety risks related to the operation of aircraft when providing their services implement an SMS acceptable to CAAP;
- Air operators: PCAR PART 09 - Air Operator Certification and Administration requires that aircraft and helicopter operators authorized to conduct commercial air transport activities implement an SMS acceptable to CAAP;
- Approved maintenance organizations (AMOs): PCAR PART 06 - Approved Maintenance Organization requires that AMOs that offer services to aircraft or helicopter operators engaged in international commercial air transport implement an SMS acceptable to CAAP;
- Organizations responsible for type design or manufacture of aircraft, engines or propellers: Regulations related to the requirement of SMS implementation for organization that offer services to aircraft or helicopter operators engaged in international commercial air transport still to be developed;
- Air traffic service (ATS) providers:
  - a) AC 139 and CAR-ANS 009-01-0 Implementation of Safety Management System (SMS) for Aerodrome and ANS Providers
  - b) AC SMS-GPA/IMPL-01 SMS Gap Analysis and Guidance on SMS Implementation Plan
  - c) AC SMS-MNL-01 Development of an SMS Manual
  - d) AC SMS-SP-01 Measuring Safety Performance Guidelines for Aerodrome Operators and Air Navigation Service Providers requires that Air Navigation Service Providers (ANSPs) implement an SMS acceptable to CAAP; and
- Certified aerodrome operators: CAR Aerodrome requires that certified aerodromes implement an SMS acceptable to CAAP.
- International General Aviation (IGA) : CAR-SM

**Appendix E** provides more information on the specific regulations on SMS requirements.

2.2.2 The CAAP, after thoughtful consideration, may extend the SMS applicability to sectors or service providers taking into account the safety risks identified. If a decision is taken, the SMS implementation should be monitored as part of the SSP. Before requiring SMS, CAAP should consider whether:

- There are any other viable options for achieving the desired improvement in safety performance; and sufficient resources are available for the State and industry sector to implement and monitor the SMS. In particular, consideration needs to be given to the possible impact on staffing and the potential challenge of acquiring and integrating the necessary skills and knowledge.

### 2.2.2.1 Service providers' safety performance

An important element of a mature system of safety management oversight is an agreement between the safety regulator and service providers on the key performance indicators and expected level of performance to be achieved. In the Philippines regulatory system, this level of performance is in part judged by how the service provider delivers against (in the context of) its SMS, therefore oversight of a SMS is included in FSIS and AANSOO's audit program for the service providers who are mandated to have a SMS.

## 2.3 Aircraft Accident Investigation and Inquiry Board (AAIIB)

2.3.1 AAIIB is the authority responsible for implementing the provisions emanating from Annex 13 concerning the reporting and independent investigation of accidents and serious incidents related to the operation of aircraft that occur in the Republic of the Philippines, and for participating in the investigation of accidents and serious incidents involving Philippine registered civil aircraft in other States. The results of relevant AAIIB safety investigations are provided to ICAO where required.

2.3.2 In accordance with the standards and recommended practices of Annex 13, AAIIB also, on request, assists its regional neighbors in the conduct of investigations through the provision of investigator expertise and technical facilities.

2.3.3 AAIIB is responsible for investigating all accidents and serious incidents. AAIIB does not investigate for the purpose of apportioning blame or to provide a means for determining liability.

2.3.4 The reports of all investigations conducted by AAIIB are made public. For purposes of the investigation conducted by AAIIB, early identification of safety matters within the context of air transport is fundamental. The AAIIB will recommend all the preventive measures it deems should be adopted promptly to improve aviation safety.

2.3.5 The AAIIB shall issue safety recommendations either during or at the end of an investigation, depending on the level of risk associated with a safety issue and the extent of corrective action undertaken by the organization involved.

2.3.6 When safety recommendations are issued, it emphasizes on describing the safety issue of concern, rather than providing instructions or opinions on a preferred method of corrective action. AAIIB are responsible for monitoring the actions and responses to the safety recommendations it issues.

2.3.7 As with equivalent foreign organizations, AAIIB has no power to enforce the implementation of its recommendations. It is a matter for the body to which an AAIIB recommendation is directed to assess the costs and benefits of any particular means of addressing a safety issue.

2.3.8 More information on AAIIB investigation report can be found at: [caap.gov.ph](http://caap.gov.ph)

2.3.9 The AAIB is established to be functionally independent from the regulatory authorities within CAAP and has an independent accident and incident investigation process. All inspectors are vested with the appropriate investigation authority. They are obliged to carry out investigations in a professional and fair manner and are required to be entirely independent and free from interference from other parties during the investigation.

## **2.4 Hazard identification and safety risk assessment**

2.4.1 Aviation safety systems rely on timely, precise, and informative reports on safety incidents and occurrences. The availability of appropriate safety intelligence on what is happening with aviation safety systems permits the identification of trends, the resolution of repetitive issues, and measurement and proper response to risks within the aviation system of the Republic of the Philippines.

2.4.2 As required by their respective responsibilities, FSIS, AANSOO and AAIB, collect and maintain various records related to accidents, incidents, hazard reports and other safety data.

2.4.3 In the interest of aviation safety, safety information (processed safety data) is shared among regulatory and administrative organizations of CAAP through MOUs (see Sections 1.3.18). CAAP has issued a safety policy statement that reflects the “just culture” principle. This policy is available in the CAAP website.

2.4.4 CAAP encourages a positive reporting policy whereby all industry stakeholders are willing to report any incident that occurs and any error made. In accordance with the “just culture” approach, individuals report incidents and errors, they are not prosecuted nor punished, except in those cases in which there is clear evidence that their actions were reckless or constitute acts of gross negligence or willful misconduct.

### **Reporting of accidents, serious incidents, incidents and latent conditions**

2.4.5 AAIB is responsible investigating accidents, serious incidents, incidents and latent conditions related to aircraft operations in accordance with ICAO Annex 13. In this capacity, the AAIB manages the collected reports through mandatory and voluntary reporting systems.

Reporting may be immediate or on a routine basis, in accordance with the regulations and published guidelines. Inappropriate safety procedures, failure to comply with requirements and errors may be considered as latent conditions.

2.4.6 FSIS and AANSOO are also responsible for collecting and analyzing safety data on incidents, deficiencies and latent conditions related to the operation of aircraft.

### **Mandatory safety reporting system**

2.4.7 The Philippine Mandatory Safety Reporting Procedure was established in accordance with PCAR PART 13 - Accident & Incident Reporting and Investigation collection of information on occurrences that jeopardize or might jeopardize aviation safety. The collected data provides information on real or potential safety hazards and deficiencies. The information is used for identifying safety issues that must be addressed in order to improve aviation safety in the Republic of the Philippines.



2.4.8 In accordance with Annex 13 to the Chicago Convention, AAIIB provides ICAO with data on accidents, serious incidents and incidents through the accident/incident data reporting system (ADREP).

2.4.9 More information on the above can be found at: [caap.gov.ph](http://caap.gov.ph)

#### **Voluntary safety reporting system of CAAP**

2.4.10 CAAP has a Philippine voluntary safety reporting system that allows any individual who has an aviation safety concern, to report to:

- the AAIIB when the concern is related to a potential accident or serious incident; and;
- the FSIS and AANSOO when the concern has the potential to impact the safe operation of aircraft.

2.4.11 The protection of safety data and information, as well as of their related sources, including the identity of the person(s) submitting the report, is the first priority of this system.

2.4.12 More information on the above can be found at: [caap.gov.ph](http://caap.gov.ph)

#### **Safety data collection and processing system (SDCPS)**

2.4.13 CAAP shall establish the safety data collection and processing system (SDCPS) for capturing, storing, aggregating, and allowing for the analysis of safety data and information. This system consists of various databases that centralize the information in the safety database (SSP database).

2.4.14 The SDCPS refers to processing and reporting systems, safety databases, information exchange systems and recorded information, and comprises, *inter alia*:

- accident and incident investigation data and information, obtained from the ADREP/European Coordination Center for Aviation Incident Reporting System (ECCAIRS) platform;
- data and information concerning safety investigations conducted by State authorities or service providers, obtained from the safety databases;
- data and information resulting from safety oversight activities conducted by the regulatory authority;
- mandatory safety reporting systems;
- voluntary safety reporting systems; and
- self-reporting systems, including automatic data capture systems, as well as manual data capture systems

#### **Availability of data and information on aviation occurrences**

2.4.15 AAIIB makes available to the public the following information on aviation occurrences or group data according to a range of variables including occurrence type, date, location, highest injury level, aircraft and engine type, aircraft maximum weight category, manufacturer and model, operation type, and airspace. The information provided by AAIIB is available at: [caap.gov.ph](http://caap.gov.ph)

2.4.16 The information for the public will not contain details such as aircraft registration, name of owner, or name of crew member(s).

### **Data analysis and reporting**

2.4.17 AAIIB, in addition to reporting occurrences as required by Annex 13 to ICAO through the ADREP reporting system, also provides safety information to the RASG-APAC for analysis and development of trend indicators for the ICAO Asia-Pacific Region.

### **Aircraft Accident Investigation and Inquiry Board (AAIIB)**

2.4.18 In addition to the independent “no blame” investigation of aviation accidents and serious incidents and other incidents related to the operation of aircraft, AAIIB contributes to air transport safety enhancement in CAAP through the recording, analysis and investigation of safety data.

2.4.19 AAIIB will pursue its objective of identifying relevant safety issues instead of providing prescriptive solutions. This approach will enable CAAP to take measures to identify the most suitable means to address particular safety issues.

2.4.20 AAIIB also conducts specific investigation activities and produces reports that allow for a more in-depth analysis of specific types of occurrences or trends.

2.4.21 This activity provides national and international entities with safety studies and promotes the adoption of measures to improve safety systems and operations.

### **Civil Aviation Authority of the Philippines (CAAP)**

2.4.22 CAAP is responsible for the coordination and management of the SSP and SDCPS on behalf of the Philippines. It also maintains updated information on all regulatory safety activities it carries out.

2.4.23 Among its main activities, CAAP plans and executes the annual oversight program directed to aviation personnel, service and aeronautical material providers that have been granted a license, certification, authorization or approval. The findings of the oversight program are collected in a safety database, which permits on the one hand, follow-up through their resolution and, on the other, hazard identification and safety risk assessment.

2.4.24 Risk management of findings allow for the identification of trends of greater concern. Based on this information, the CAAP increases oversight to prevent recurrence and to reduce and control risks to an acceptable level of safety.

### **Safety data analysis group (SDAG)**

2.4.25 CAAP shall establish SDAG as described in 1.3.16 to analyze safety data and information.

2.4.26 Based on the analysis of safety information, this group will propose the State priorities, objectives, indicators, goals and alert levels.

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

2.4.28 CAAP will establish safety coordination groups with industry participation to discuss safety issues as required.

## 2.5 Safety risk management

2.5.1 One of the functions of the CAAP in accordance with Republic Act 9497 is to regulate safety of civil aviation operations within the territory of the Republic of the Philippines and the operation of Philippines registered aircraft outside its territory, by means that include the development of effective oversight strategies to ensure compliance with aviation safety requirements.

2.5.2 This is a primary regulatory function that CAAP must perform in the interest of safety and in accordance with its obligations under the Chicago Convention. *Paragraphs 2.5.3 and 2.5.4* refer to the “regulatory philosophy” and the “manual on compliance measures.”

2.5.2.1 The regulatory philosophy will establish the principles governing the CAAP approach to the performance of its regulatory functions and the exercise of its regulatory authority in an SSP/SMS environment.

2.5.2.2 In turn, the manual on compliance measures will describe the compliance processes to ensure compliance with aviation safety requirements. This manual will clearly describe to the industry and to the public the opportunities available for service providers and the civil aviation administration to work together in the resolution of a broad range of safety-related concerns without the need to initiate formal coercive action.

2.5.3 The regulatory philosophy of R.A. 9497 enacted in 2008, sets forth the principles concerning the performance by CAAP of its regulatory functions and the exercise of its regulatory powers.

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

2.5.5 When not required to do so, the holders of an authorization are encouraged to use an SMS that includes corrective and preventive mitigation measures, through an internal reporting system to address safety deficiencies. The regulatory philosophy of CAAP and the “just culture principles” contained therein will increasingly govern the key elements of the enforcement policy of CAAP described in **Appendix F** and will clarify the circumstances under which safety information may or may not be used and the sources of such information that can be protected from punitive action.

2.5.6 The regulatory philosophy of CAAP is available at: [caap.gov.ph](http://caap.gov.ph)

2.5.7 The manual on compliance measures of FSIS and AANSOO are available at: [caap.gov.ph](http://caap.gov.ph)

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## Chapter 3: State Safety Assurance

Safety oversight based on an SMS approach relies on a mutual responsibility and accountability philosophy rather than on a prescriptive approach aimed exclusively at regulatory compliance. This increases the responsibility of service providers that have daily control over maintaining a safe operational environment, focusing on safety throughout the structures, policies and procedures of the organization.

However, the FSIS, AANSOO and the AAIB shall continue to play a fundamental role in the quality assurance of the safety system of the Republic of the Philippines. This includes safety oversight, as well as the collection, analysis and exchange of data.

### 3.1 Oversight obligations

3.1.1 Oversight is the mechanism whereby FSIS and AANSOO monitor the safety status and the level of maturity of authorization holders.

3.1.2 CAAP oversight components include:

- trained and skilled technical personnel, with specific training in SMS;
- procedures and documented guidance material for acceptance and oversight of the associated safety processes;
- licensing, certification, authorization and approval; and
- oversight activities, including scheduled and unscheduled audits and inspections, data collection and exchange, analysis, work flow management, and information management.

3.1.3 CAAP has established its safety classification and regulation policies based on a safety oversight risk management hierarchy aligned with ICAO classification models for commercial air transport, aerial work, and general aviation.

3.1.4 CAAP has expanded in accordance with the main ICAO categories, through the development of an “aviation sector” profile for “Republic of the Philippines” to also include flight instruction, airworthiness management, infrastructure, and services.

3.1.5 The main objective of oversight is to determine whether an authorization holder is complying with its obligations under R. A. 9497 or the Civil Aviation Act of 2008 and the published Civil Aviation Regulations. FSIS and AANSOO adopt a risk- and system-based approach that uses product control as needed, to assess risk mitigation and the level of compliance by authorization holders.

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

3.1.7 The oversight program is reviewed and updated periodically.

3.1.8 The oversight manuals of FSIS and AANSOO can be found at: [caap.gov.ph](http://caap.gov.ph)

**Guidance based on safety data**

3.1.9 Safety data collected by FSIS, AANSOO and AAIIB are reviewed, analyzed and reported regularly in order to identify trends and emerging safety issues, and to help address existing safety issues.

**FSIS and AANSOO**

3.1.10 Part of the main function of FSIS and AANSOO is to monitor safety performance and identify safety trends and risk factors, taking into account the evolution of international safety. Another key function of FSIS and AANSOO is the collection of safety data through the mandatory and voluntary safety reporting systems of the Republic of the Philippines in its areas of responsibility (PEL, OPS, AIR, ANS, and AGA).

**Oversight of domestic operators'/service providers**

3.1.11 The oversight conducted by FSIS and AANSOO allows for prioritization of oversight activities based on known information, and focuses on assessing how effective an authorization holder is in managing safety risks.

3.1.12 The oversight manuals of FSIS and AANSOO details the schedule of audits, based on a series of indicators.

3.1.13 FSIS and AANSOO have established monthly meetings of the oversight review group at its safety oversight offices to plan and prioritize oversight based on identified safety risks.

**Oversight of foreign operators**

3.1.14 Foreign passenger and cargo operators provide scheduled and non-scheduled services to and from the Republic of the Philippines.

3.1.15 In accordance with the commitments of the Republic of the Philippines as an ICAO contracting State, the CAAP FSIS implements a ramp inspection program for foreign airlines.

3.1.16 This oversight is carried out in accordance with the oversight manual of FSIS.

**The AAIIB**

3.1.17 AAIIB investigates aviation accidents and incidents, and collects safety data through the mandatory and voluntary safety reporting systems of the Republic of the Philippines.

3.1.18 AAIIB uses this data to determine the prevalence of certain types of occurrences in different types of aviation operations, and proactively monitors emerging safety trends. Upon monitoring trends, it communicates safety issues and takes measures to prevent accidents.

3.1.19 Proactive monitoring of trends is a process based on safety information whereby all occurrences are reviewed to see if there are significant changes that might indicate a bigger problem.

3.1.20 Potential issues are monitored by AAIIB and shared with the CAAP administration, FSIS, AANSOO, Airline Operators, Aerodrome Operators and the industry. The accountable executives of the aforementioned organizations implement mitigation measures to prevent

these issues from causing accidents.

3.1.21 These trends may also indicate the need for AAIIB to focus on certain types of occurrences for investigation purposes. AAIIB regularly publishes reports on emerging trends in accidents, serious incidents, and incidents directly related to aircraft operation.

### 3.2 State safety performance

3.2.1 The measurement and monitoring of safety performance are used to describe and assess the safety performance of the aviation system of CAAP. The analysis of safety data and information can help identify emerging risk areas. This information is used for communicating decisions concerning the implementation of the appropriate safety measures and the subsequent assessment of their effectiveness.

3.2.2 CAAP shall classify its safety performance indicators (SPIs) into lagging indicators and leading indicators.

3.2.3 Lagging indicators measure past occurrences, and the State and the service providers try to avoid negative results. These indicators shall be used for monitoring aviation safety performance of the State. Within the framework of lagging indicators, CAAP shall identify low probability/high severity indicators and high probability/low severity indicators, the latter known as “precursor event” indicators.

3.2.4 Low probability/high severity indicators (accidents, serious incidents) that are identified by CAAP are then used as measurements of adverse safety results, according to operating sector and the level of activity (exposure) in that sector.

3.2.5 High probability/low severity indicators or “precursor” indicators are results that do not necessarily manifest themselves in an accident or serious incident. CAAP will use high probability/low severity SPIs mainly for monitoring specific safety issues and measuring the effectiveness of existing safety risk mitigation measures.

3.2.6 Leading indicators are measurements that focus on the processes and inputs implemented to enhance or maintain safety. These are also known as “activity or process SPIs”, since they oversee and measure the conditions that could cause or contribute to a specific result.

3.2.7 Examples of leading SPIs that promote the development of organizational skills for proactive safety management include: percentage of personnel that have successfully completed safety training on a timely basis, or percentage of timely execution of the agreed mitigation actions.

3.2.8 SPIs classified as leading indicators by CAAP can also inform the organization about how its operations address change, including change in its operating environment. The focus will be on anticipating weaknesses and vulnerabilities resulting from change, or on performance oversight following a change.

3.2.9 For a more precise and useful indication of safety performance, CAAP shall identify a set of lagging and leading indicators. This will provide for a more complete and realistic image of safety performance of the State.

3.2.10 In order to define its indicators, CAAP shall establish a clear link amongst the low probability/high severity lagging SPIs, the precursor events (high probability/low severity) and the leading SPIs. Likewise, CAAP shall define the low probability/high severity lagging SPIs

prior to determining the precursor SPIs or the leading SPIs. The definition of a precursor SPI (high probability/low severity indicator) in relation to a more serious occurrence or condition (low probability/high severity indicator) ensures a clear correlation between the two.

3.2.11 CAAP has developed its indicators in its safety plan in such a way as to align the higher risk areas of the State with the different sectors of the aviation industry.

#### **Acceptable level of safety performance (ALoSP)**

The SSP Steering Committee has established an acceptable level of safety performance (ALoSP) for the Philippines to meet the ICAO Annex 19 Requirements. It prioritizes the activities of the SSP and the safety oversight of the aviation industry.

- Zero fatal accidents during commercial operations by Philippines AOC holders
- Zero fatal accidents of foreign commercial air transport were caused by the Philippines aviation system
- A decreasing trend of fatal accidents during non-commercial operations
- A decreasing trend of non-fatal accidents and serious incidents during commercial operations by the Philippines AOC holders
- An average level of effective implementation of civil aviation safety standards (ICAO's SARPS) at 75%

#### **Objectives**

3.2.12 The Philippines shall establish State safety objectives that will drive the aviation safety priorities for the Philippines aviation system. These State safety objectives will be developed by CAAP and agreed by the SSP Steering Group. The State Safety Objectives will be included in the National Aviation Safety Plan.

3.2.13 State safety performance indicators will be identified that will measure achievement of the State safety objectives and where appropriate, targets and alert levels may be applied to the indicators.

#### **State Safety Objectives**

- To achieve zero fatal accidents in commercial operations by Philippines AOC holders.
- To achieve zero fatal accidents in foreign commercial air transport caused by the Philippines aviation system.
- To strengthen the safety oversight capabilities.
- To implement an effective State Safety Program.
- To achieve a reduction in the risk of a runway excursion occurring in the Philippines.
- To achieve a reduction in the risk of a runway incursion occurring in the Philippines.
- To achieve a reduction in the risk of a loss of control event occurring in the Philippines.
- To achieve a reduction in the risk of a CFIT accident occurring in the Philippine Airspace.
- To achieve a reduction in the risk of mid-air collision occurring in the Philippines.
- To achieve a reduction in the risk of an unsurvivable cabin event occurring in the Philippines AOC.
- To achieve a continuous reduction of operational safety risks in non-commercial operators.

**The Universal Safety Oversight Audit Program (USOAP) Continuous Monitoring Approach (CMA)**

3.2.15 CAAP applies a systematic and coordinated approach to aviation safety management.

3.2.16 The results of the latest ICAO USOAP CMA activity conducted in 2022 with Effective Implementation (EI) rating of 68.99% support this approach.

3.2.17 Since 2011, the USOAP has been evolving towards the CMA.

3.2.1 The latest complete USOAP report of the Republic of the Philippines, which includes updates to the corrective action plan of CAAP is available at the ICAO USOAP CMA-Online Framework website.



## Chapter 4: State Safety Promotion

An effective safety promotion program is essential to support the core operational objectives of the SSP of the Republic of the Philippines. The FSIS, AANSOO and CAAP administrative bodies that are part of the SSP carry out safety promotion activities as part of their SSP responsibilities.

Safety promotion is enhanced through personnel training and better communication and dissemination of safety information.

### 4.1 Internal communication and dissemination of safety information

4.1.1 Mandatory and recommended SSP and SMS training has been provided by CAAP including Civil Aviation Training Center (CATC). This training has been accompanied by educational and promotional products, and is communicated through various media, such as SSP, informative bulletins sent by e-mail, informative sheets, and internal advertising.

4.1.2 In addition to formal MOUs and coordination groups that bring together aviation safety agencies, the AAIB shall hold meetings to inform on the status of investigations, including emerging issues related to resource allocation and scope, management by stakeholders, and identified or potential safety issues.

4.1.3 FSIS, ANSOO and AAIB are regularly in contact concerning accident and incident investigations, safety activities, shared training opportunities, and requests for information.

4.1.4 FSIS, AANSOO and AAIB through Civil Aviation Training Center (CATC) offer training courses that are available to the staff of other organizations involved in safety, including the Armed Forces of the Philippines (AFP). These courses include aviation accident investigation, human factors, new technologies, SSP, SMS, and risk management training.

### 4.2 External communication and dissemination of safety information

Flight Standard Inspectorate Services (FSIS) and Aerodrome and Air Navigation Safety Oversight Office (AANSOO)

4.2.1 FSIS and AANSOO through Civil Aviation Training Center (CATC) conduct a series of safety education and promotion activities with a view to maintaining the aviation industry and ensuring the community increasingly informed and aware of safety issues, including emerging safety matters.

4.2.2 FSIS and AANSOO through Civil Aviation Training Center (CATC) offers a series of educational and promotional materials for the industry and the public, and has an active group of aviation safety advisors to provide assistance and advice to the industry. More information on the safety education and promotion activities of FSIS and AANSOO can be found at: [caap.gov.ph](http://caap.gov.ph)

4.2.3 FSIS and AANSOO also publish a series of manuals and guidance materials available to the public and the industry. Manuals and guidance material of FSIS and AANSOO can be found at: [caap.gov.ph](http://caap.gov.ph)

4.2.4 Furthermore, FSIS and AANSOO have developed a set of support tools for the industry and its technical personnel to ensure a better understanding and integration of SMS principles. More information on the adoption of the SMS in ANSPs can be found at: [caap.gov.ph](http://caap.gov.ph)

#### **Aircraft Accident Investigation and Inquiry Board (AAIIB)**

4.2.5 AAIIB is also responsible for communicating and disseminating safety information, especially those derived from accident and serious incident investigations and from the analysis of safety matters.

4.2.6 AAIIB publishes accident and incident investigation reports and delivers specific safety notices to service providers and their personnel, and delivers safety messages to the aviation community of the State through coordination with FSIS and AANSOO.

4.2.7 The alert area of AAIIB also highlights the safety concerns derived from investigation findings and from occurrences reported by the industry, and offers strategies to help manage risk areas.

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**Appendix A****Safety regulations, instruments, and other publications**

The subordinate aviation regulations and instruments of the Republic of the Philippines and the advisory material include:

- Philippine Civil Aviation Regulations (PCAR)
- Civil Aviation Regulations governing Aerodromes (CAR Aerodrome)
- Civil Aviation Regulations – Air Navigation Services (CAR-ANS)
- Civil Aviation Regulation – Safety Management (CAR-SM)
- Manual of Standards (MOS)

CAAP also issues safety notices to communicate safety critical information including:

- Safety Directives
- Memorandum Circulars
- Advisory Circulars

For more information on the published regulations, please visit CAAP's website: [caap.gov.ph](http://caap.gov.ph)

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## Appendix B

### State safety roles and responsibilities under the SSP

The government of Republic of the Philippines, through the Board of Directors of the Civil Aviation Authority of the Philippines (CAAP), sets the general direction for the technical and safety aspects of aviation policy.

CAAP is the legal authority established by virtue of the Civil Aviation Act of 2008, is the point of contact for coordination with ICAO, and is responsible for the implementation, maintenance, and coordination of the SSP for the Philippines, and for monitoring progress and providing information on the associated implementation plan.

CAAP is responsible for safety regulation of civil aviation operations in the territory of the Republic of the Philippines and of the Philippines registered aircraft that operate outside the territory of the Republic of the Philippines. CAAP is also responsible for regulating airspace management in the Republic of the Philippines.

CAAP is responsible for fulfilling the obligations of the Republic of the Philippines under the Annexes to the Chicago Convention.

FSIS and AANSOO is responsible for managing the mandatory (regulatory) and voluntary reporting systems of CAAP with respect to safety deficiencies, such as incidents not related to the operation of aircraft, failures, non-compliance, and findings identified during safety oversight.

More information on FSIS and AANSOO can be found at: [caap.gov.ph](http://caap.gov.ph)

#### **Aircraft Accident Investigation and Inquiry Board (AAIIB)**

Aircraft Accident Investigation and Inquiry Board is the independent investigation body of Republic of the Philippines that operates presently under the Civil Aviation Authority of the Philippines.

AAIIB is responsible for the independent investigation of accidents, serious incidents and other safety occurrences involving civil aircraft in the Republic of the Philippines, and for participating in the investigation of accidents and other occurrences involving Philippines' registered aircraft abroad.

AAIIB is also responsible for the mandatory and voluntary reporting systems of CAAP concerning accidents, serious incidents, and incidents related to the operation of aircraft. Its analytical and investigation functions are derived from this responsibility concerning the collection and management of aviation safety data.

AAIIB is responsible for fulfilling the obligations of the Republic of the Philippines pursuant to Annexes 13 and 19 to the Chicago Convention.

Appendix C

Philippines State Safety Program Organizational Structure



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## Appendix D

### **Safety risk management in the Civil Aviation Authority of the Philippines**

Consistent with the increasing international emphasis on a safety risk management program, and as highlighted in Annex 19 to the Convention on International Civil Aviation Organization, CAAP adheres to Safety Risk management principles and guidelines to effectively identify, evaluate, control and monitor aviation safety risks.

As outlined in Chapter 2 – State Safety Risk Management, management of aviation safety risk in CAAP is undertaken through a multi-layered process that has the capacity to identify and manage risks at various levels of the aviation industry. The system is comprised of the following levels of risk management:

#### **Regulatory risk management**

Aviation safety regulations must be shown to be necessary. They will be developed on the basis of addressing known or likely safety risks that cannot be addressed adequately by non-regulatory means. Each proposed regulation must be assessed against the contribution it will make to aviation safety. The regulations must not impose unnecessary costs or unnecessarily hinder high levels of participation in aviation and its capacity for growth.

#### **Surveillance outcomes risk management**

Risk-based surveillance seeks to assess an authorization holder's management system and its ability to identify and keep operational risks to an acceptable level of safety performance while at the same time ensuring compliance with the aviation legislation of Republic of the Philippines. Risk-based surveillance is a structured process used by CAAP to prioritize surveillance activities based on authorization holders' risk profiles. It focuses on the effectiveness of an authorization holder's management of its risks and enables targeted surveillance of high-risk areas of an authorization holder's systems.

#### **Sector risk profiling**

Sector risk profiling is a proactive approach to identifying the risks that exist within the sector at a defined point in time. It is a data-driven process for identifying the current and emerging risks. The process output is a collection of risks that is the aggregate of known and predicted risks impacting the sector operations as a consequence of factors within the operating environment, supporting infrastructure/services and deviations associated with the growth and change in the sector. Risk profiling outputs supplement the oversight and decision-making of CAAP through proactive risk identification and risk management processes to ensure the sector risks are maintained within acceptable limits.

#### **Industry risk profiling**

The industry risk profiling process links to the SSP and the safety management system of CAAP by providing an aviation industry review of the impact of the risks on industry.

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The role of CAAP in regulating safety requires the identification of potential risks within the industry. Aggregating safety-related information gathered from multiple sectors provides an industry-level understanding of the risks and enables the development of a baseline measurement for safety performance.

The risk profiling process at an industry level draw on the aviation body of knowledge, which includes updated strategic studies that reflect how the industry and economy are evolving and system and sector risks identified. The current risks and the emerging risks identified at an industry level are compared and prioritized based on their relevance and impact on system safety. The industry risk profile involves high-level analysis taking a strategic approach to the risk. Aggregating the risks enables the development of safety performance measures at the industry level.

### **System risk profiling**

The system risk profile consists of the systemic safety risk that exists within the entire aviation community. The system risk profile provides a high-level risk management summary categorizing significant aviation system safety risks and contributes to the safety plan of CAAP and State safety performance indicators.

### **Safety plan of the Republic of the Philippines**

The National Aviation Safety Plan (NASP) of the Republic of the Philippines is the documented output of an aggregated safety risk analysis conducted in the safety risk management processes of CAAP. The plan provides a risk picture of the aviation safety system in the Republic of the Philippines from a State perspective.

The purpose of the NASP is to outline to stakeholders that CAAP shall, in addition to normal regulation oversight activities, will target resources to improve safety over the next few years.

The objective of the plan, in accordance with the objective of the Asia Pacific Regional Aviation Safety Plan (APRASP), is to reduce accidents in all aviation segments to a minimum acceptable level, by promoting and enhancing civil aviation safety, with special emphasis on the prevention of aviation accident and incidents.

## Appendix E

### Requirements for the service provider's SMS

Service Providers	Regulations and website
Civil aviation training centres (CATCs) exposed to safety risks related to the operation of aircraft during the provision of their services	Information on Civil Aviation Regulations (CAR) Part 8 – Operations can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
Aircraft operators authorized to conduct commercial air transport activities	Information on Civil Aviation Regulations (CAR) Part 8 – Operations can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
Helicopter operators authorized to conduct commercial air transport activities	Information on Civil Aviation Regulations (CAR) Part 8 – Operations can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
Approved maintenance organizations (AMOs) serving aircraft or helicopter operators engaged in commercial air transport	Information on Civil Aviation Regulations (CAR) Part 6 – Approved Maintenance Organizations can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
Aircraft, engine, propeller type design or manufacturing organizations serving aircraft or helicopter operators engaged in commercial air transport	Regulation to be developed
Air traffic service (ATS) providers	Information on Civil Aviation Regulations Air Navigation Services Part 11 Governing Air Traffic Services (CARANS Part 11) can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
Certified aerodrome operators	Information on Civil Aviation Regulations Governing Aerodromes (CAR Aerodromes) can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
Communications, Navigation and Surveillance (CNS) service providers	Information on CAR-ANS PART 10 Regulatory Requirements on the Operation and Maintenance of Communications, Navigation, Surveillance, Airfield Lighting and Power Systems Services can be found at: <a href="http://caap.gov.ph">caap.gov.ph</a>
International General Aviation (IGA)	Information on International General Aviation (IGA) can be found at CAR Safety Management (CAR-SM) which can be found at CAAP website: <a href="http://caap.gov.ph">caap.gov.ph</a>



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**Appendix F**

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**Enforcement Policy**

This enforcement policy is promulgated under the statutory authority in Republic Act 9497 of the Republic of the Philippines.

**1. PURPOSE**

1.1 The enforcement policy of Civil Aviation Authority of the Philippines is aimed at promoting compliance with aviation safety regulations and requirements through enforcement functions in an equitable manner.

1.2 The implementation of safety management systems (SMS) requires the Civil Aviation Authority of the Philippines to have an equitable and discretionary enforcement approach in order to support the SSP-SMS framework.

1.3 The enforcement policies and procedures of Civil Aviation Authority of the Philippines allow service providers to deal with, and resolve, certain events involving safety deviations, internally, within the context of the service provider's SMS and to the satisfaction of the authority. Intentional contraventions of R. A. 9497 and the CARANS Part 19 will be investigated and will be subject to conventional enforcement action where appropriate. There must be clear provisions in the enforcement framework for due consideration to distinguish between premeditated violations and unintentional errors or deviations.

1.4 The enforcement policy statement and associated enforcement procedures apply to service providers operating in accordance with:

- Philippine Civil Aviation Regulations (PCAR) Part 2 – Personnel Licensing
- Philippine Civil Aviation Regulations (PCAR) Part 3 – Approved Training Organizations
- Philippine Civil Aviation Regulations (PCAR) Part 5 – Airworthiness
- Philippine Civil Aviation Regulations (PCAR) Part 6 – Approved Maintenance Organizations
- Philippine Civil Aviation Regulations (PCAR) Part 8 – Operations
- Philippine Civil Aviation Regulations (PCAR) Part 13 – Accident & Incident Reporting and Investigation
- Civil Aviation Regulations Air Navigation Services Part 10 (CAR-ANS Part 10) Regulatory Requirements on the Operation and Maintenance of Communications, Navigation, Surveillance, Airfield Lighting and Power Systems Services
- Civil Aviation Regulations Air Navigation Services Part 10B (CARANS Part 10B) Regulatory Requirements for ATM Service Providers
- Civil Aviation Regulations Air Navigation Services Part 11 Governing Air Traffic Services (CARANS Part 11)
- Civil Aviation Regulations Governing Aerodromes (CAR Aerodromes)

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## 2. POLICY

2.1 All service providers shall establish, maintain, and adhere to an SMS that is commensurate with the size, nature and complexity of the operations authorized to be conducted under its approval/certificate.

2.2 To maintain this enforcement policy that supports the implementation of SMS, the inspectors of CAAP will maintain an open communication channel with service providers.

2.3 No information derived from safety data collection and processing systems (established under an SMS) relating to reports classified as confidential, voluntary or equivalent category shall be used as the basis for enforcement action.

2.4 When a service provider operating under an SMS unintentionally contravenes the Civil Aviation Regulations (CAR) – Safety Management, specific review procedures will be used. These procedures will allow the inspector of CAAP responsible for the oversight of the service provider the opportunity to engage in dialogue with the SMS-approved organization. The objective of this dialogue is to agree on proposed corrective measures and an action plan that adequately address the deficiencies that led to the contravention and to afford the service provider a reasonable time to implement them.

This approach aims to nurture and sustain effective safety reporting, whereby service providers' employees can report safety deficiencies and hazards without fear of punitive action. A service provider can therefore, without apportioning blame and without fear of enforcement action, analyze the event and the organizational or individual factors that may have led to it, in order to incorporate remedial measures that will best help prevent recurrence.

2.5 CAAP, through the inspector responsible for the oversight of the service provider, shall evaluate the corrective measures proposed by the service provider or the systems currently in place to address the event underlying the contravention. If the corrective measures proposed (including any internal disciplinary actions) are considered satisfactory and likely to prevent recurrence and foster future compliance, the review of the violation should be concluded with no further punitive enforcement action by the regulator. In cases where either the corrective measures or the systems in place are considered inappropriate, CAAP shall continue to interact with the service provider to find a satisfactory resolution that would prevent enforcement action. However, in cases where the service provider refuses to address the event and provide effective corrective measures, CAAP thru Enforcement and Legal Services (ELS) shall consider taking enforcement action or other administrative action deemed appropriate.

2.6 Breaches of aviation regulations may occur for many different reasons, from a genuine misunderstanding of the regulations, to disregard for aviation safety. CAAP has a range of enforcement procedures in order to effectively address safety obligations under the R. A. 9497, in light of different circumstances. These procedures may result in a variety of actions, such as:

- a) counseling;
- b) remedial training; or
- c) variation, suspension or cancellation of authorizations.

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2.7 Enforcement decisions must not be influenced by:

- a) personal conflict;
- b) personal gain;
- c) considerations such as gender, race, religion, political views or affiliation; or;
- d) personal, political or financial power of those involved.

### 3. PROPORTIONALITY OF RESPONSES

Compliance decisions must be proportional to the identified breaches and the resulting safety risks they underlie, based on three principles:

- a) CAAP thru Enforcement and Legal Services (ELS) shall take action against those who consistently and deliberately operate outside civil aviation regulations;
- b) CAAP thru Enforcement and Legal Services (ELS) shall seek to educate and promote training or supervision of those who show commitment to resolving safety deficiencies; and
- c) CAAP thru Enforcement and Legal Services (ELS) shall give due and equitable consideration to distinguish premeditated violations from unintentional errors or deviations.

### 4. NATURAL JUSTICE AND ACCOUNTABILITY

Enforcement decisions must:

- a) be fair and follow due process;
- b) be transparent to those involved;
- c) take into account the circumstances of the case and the actions/attitudes of the service provider or individual when considering action;
- d) be consistent actions/decisions for like/similar circumstances; and
- e) be subject to appropriate internal and external review.

### 5. EXCEPTIONS

- 5.1 This policy is not applicable if there is evidence of a deliberate effort to conceal noncompliance.
- 5.2 This policy is not applicable if the service provider fails to maintain an acceptable SMS or its agreed safety performance.
- 5.3 This policy is not applicable if the service provider is deemed by the authority as a repeat violator.
- 5.4 In the above circumstances, the authority may deal with such non-compliance or violations according to established enforcement procedures as deemed appropriate.

  
CAPTAIN MANUEL ANTONIO L. TAMAYO  
SSP Accountable Executive

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**Appendix G**
**Acronyms/Abbreviation**

AAIIB	Aircraft Accident and Inquiry Investigation Board
AANSOO	Aerodrome and Air Navigation Safety Oversight Office
ACs	Advisory Circulars
ADs	Airworthiness Directives
ADREP	Accident/Incident Data Reporting
APRAST	Asia Pacific Regional Aviation Safety Team
ATS	Air Traffic Service
ALoSP	Acceptable Level of Safety Performance
AOs	Authority Orders
AOC	Air Operators Certificate
ARFFS	Aviation Rescue and Fire Fighting Service
ASRS	Aviation Safety Reporting Scheme
ATC	Air Traffic Control
ATM	Air Traffic Management
AWBs	Airworthiness Bulletins
CAAP	Civil Aviation Authority of the Philippines
CAR	Civil Aviation Regulations
CRAD	Central Records and Archiving Division
DND	Department of National Defense
DOTr	Department of Transportation
FSIS	Flight Standard Inspectorate Service
ICAO	International Civil Aviation Organization
MOS	Manual of Standards
MOU	Memorandum of Understanding
PAF	Philippine Air Force
PCG	Philippine Coast Guard
RASG-APAC	Regional Aviation Safety Group Asia-Pacific
RSD	Regulatory Standard Department
RVSM	Reduced Vertical Separation Minima
RSMP	Regulatory Safety Management Program
SAR	Search and Rescue
SARPs	Standards and Recommended Practices
SMS	Safety Management System
SMICG	Safety Management International Collaboration Group
SQMO	Safety and Quality Management Office
SRR	Search and Rescue Region
SSP	State Safety Program
USOAP	Universal Safety Oversight Audit Program
WMO	World Meteorological Organization

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## Appendix H

### Definition of Terms

For the purposes of this document:

**Acceptable Level of Safety Performance (ALoSP)** is the level of safety performance agreed by State authorities to be achieved for the civil aviation system in a State, as defined in its State safety program, expressed in terms of safety performance targets and safety performance indicators.

**Hazard** a condition or an object with the potential to cause or contribute to an aircraft incident or accident.

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

**Safety Performance Indicator (SPI)** is a measure (or metric) used to express the safety performance in a system.

**Safety Performance Target (SPT)** 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 performance". This concept is used to express safety expectations under a performance-based approach that is designed to complement regulatory compliance.*

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

**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 programs to which measures of reliability, availability, performance and/or accuracy can be specified.

**State Safety Program (SSP)** means an integrated set of regulations and activities aimed at improving safety.