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<p>Chapter 1 Reference</p> <p>Definition</p>	<p style="text-align: center;">INTERNATIONAL STANDARDS AND RECOMMENDED PRACTICES</p> <p style="text-align: center;">CHAPTER 1. DEFINITIONS</p> <p>When the following terms are used in the Standards and Recommended Practices for Safety Management, they have the following meanings:</p> <p>Accident. An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which:</p> <p>a) a person is fatally or seriously injured as a result of:</p> <ul style="list-style-type: none"> — being in the aircraft, or — direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or — direct exposure to jet blast, <p><i>except</i> when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew;</p>	<p>Civil Aviation (CA) Act 1990; Civil Aviation Rules (CARs), Part 1.</p>	<p>Less protective or partially implemented or not implemented</p>	<p>Reference to unmanned aircraft is not yet included.</p>	<p>Note: The Civil Aviation Act 1990, the Civil Aviation Rules, and Advisory Circulars are all available on the CAA web site, www.caa.govt.nz.</p>



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	<p>or</p> <p>b) the aircraft sustains damage or structural failure which:</p> <ul style="list-style-type: none"> — adversely affects the structural strength, performance or flight characteristics of the aircraft, and — would normally require major repair or replacement of the affected component, <p><i>except</i> for engine failure or damage, when the damage is limited to a single engine, (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tires, brakes, wheels, fairings, panels, landing gear doors, windcreens, the aircraft skin (such as small dents or puncture holes), or for minor damages to main rotor blades, tail rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or</p> <p>c) the aircraft is missing or is completely inaccessible.</p> <p><i>Note 1.— For statistical uniformity only, an injury resulting in death within thirty days of the date of the accident is classified, by ICAO, as a fatal injury.</i></p> <p><i>Note 2.— An aircraft is considered to be missing when the official search has been terminated and the wreckage has not been located.</i></p> <p><i>Note 3.— The type of unmanned aircraft system to be investigated is addressed in 5.1 of Annex 13.</i></p> <p><i>Note 4.— Guidance for the determination of aircraft damage can be found in Attachment E of Annex 13.</i></p>				



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Chapter 1 Reference Definition	Aeroplane. A power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces which remain fixed under given conditions of flight.	CA Act 1990; CARs, Part 1.	No Difference		
Chapter 1 Reference Definition	Aircraft. Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.	CA Act 1990; CARs, Part 1.	No Difference		
Chapter 1 Reference Definition	Hazard. A condition or an object with the potential to cause or contribute to an aircraft incident or accident.	Advisory Circular 100-1, Safety Management, 1.1.	No Difference		
Chapter 1 Reference Definition	Helicopter. A heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power-driven rotors on substantially vertical axes. <i>Note.— Some States use the term “rotorcraft” as an alternative to “helicopter”.</i>	CARs, Part 1.	No Difference		
Chapter 1 Reference Definition	Incident. An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation. <i>Note.— The types of incidents which are of interest for safety-related studies include the incidents listed in Annex 13, Attachment C.</i>	CA Act 1990; CARs, Part 1.	No Difference		



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Chapter 1 Reference Definition	<p>Industry codes of practice. Guidance material developed by an industry body, for a particular sector of the aviation industry to comply with the requirements of the International Civil Aviation Organization's Standards and Recommended Practices, other aviation safety requirements and the best practices deemed appropriate.</p> <p><i>Note.— Some States accept and reference industry codes of practice in the development of regulations to meet the requirements of Annex 19, and make available, for the industry codes of practice, their sources and how they may be obtained.</i></p>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Note: the term used in context in AC100-1.
Chapter 1 Reference Definition	<p>Operational personnel. Personnel involved in aviation activities who are in a position to report safety information.</p> <p><i>Note.— Such personnel include, but are not limited to: flight crews; air traffic controllers; aeronautical station operators; maintenance technicians; personnel of aircraft design and manufacturing organizations; cabin crews; flight dispatchers, apron personnel and ground handling personnel.</i></p>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	
Chapter 1 Reference Definition	<p>Safety. The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.</p>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Common usage term.



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Chapter 1 Reference Definition	<p>Safety data. A defined set of facts or set of safety values collected from various aviation-related sources, which is used to maintain or improve safety.</p> <p><i>Note.— Such safety data is collected from proactive or reactive safety-related activities, including but not limited to:</i></p> <ul style="list-style-type: none"> a) accident or incident investigations; b) safety reporting; c) continuing airworthiness reporting; d) operational performance monitoring; e) inspections, audits, surveys; or f) safety studies and reviews. 	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Common usage term.
Chapter 1 Reference Definition	<p>Safety information. Safety data processed, organized or analysed in a given context so as to make it useful for safety management purposes.</p>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Common usage term.
Chapter 1 Reference Definition	<p>Safety management system (SMS). A systematic approach to managing safety, including the necessary organizational structures, accountability, responsibilities, policies and procedures.</p>	Advisory Circular AC100-1, 1.1.	No Difference		
Chapter 1 Reference Definition	<p>Safety oversight. A function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.</p>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Used in Annex 19 and Doc 9859 context.



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Chapter 1 Reference Definition	<i>Safety performance.</i> A State or a service provider's safety achievement as defined by its safety performance targets and safety performance indicators.	AC100-1, 2.7.	No Difference	Not specifically defined, but described in Section 2.7.	
Chapter 1 Reference Definition	<i>Safety performance indicator.</i> A data-based parameter used for monitoring and assessing safety performance.	AC100-1, 2.7.4.	Different in character or other means of compliance	Not specifically defined, but described in 2.7.4.	
Chapter 1 Reference Definition	<i>Safety performance target.</i> The State or service provider's planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives.	AC100-1, 2.7.3.	Different in character or other means of compliance	Not specifically defined, but described in 2.7.3.	
Chapter 1 Reference Definition	<i>Safety risk.</i> The predicted probability and severity of the consequences or outcomes of a hazard.	AC100-1, 1.1.	No Difference		



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Chapter 1 Reference Definition	<p>Serious injury. An injury which is sustained by a person in an accident and which:</p> <ul style="list-style-type: none"> a) requires hospitalization for more than 48 hours, commencing within seven days from the date the injury was received; or b) results in a fracture of any bone (except simple fractures of fingers, toes or nose); or c) involves lacerations which cause severe haemorrhage, nerve, muscle or tendon damage; or d) involves injury to any internal organ; or e) involves second or third degree burns, or any burns affecting more than 5 per cent of the body surface; or f) involves verified exposure to infectious substances or injurious radiation. 	CAR 12.3.	No Difference		
Chapter 1 Reference Definition	<p>State of Design. The State having jurisdiction over the organization responsible for the type design.</p>	CARs, Part 1.	No Difference		
Chapter 1 Reference Definition	<p>State of Manufacture. The State having jurisdiction over the organization responsible for the final assembly of the aircraft.</p>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Common usage term.



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Chapter 1 Reference Definition	<i>State of the Operator.</i> The State in which the operator's principal place of business is located or, if there is no such place of business, the operator's permanent residence.	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	
Chapter 1 Reference Definition	<i>State safety programme (SSP).</i> An integrated set of regulations and activities aimed at improving safety.	New Zealand Aviation State Safety Programme.	No Difference		The SSP is available on the CAA web site at www.caa.govt.nz/SMS/state_safety_prog.html .
Chapter 1 Reference Definition	<i>Surveillance.</i> The State activities through which the State proactively verifies through inspections and audits that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State.	CARs.	Less protective or partially implemented or not implemented	Not specifically defined, but the function is implemented in accordance with CAA's Surveillance Policy.	



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<p>Chapter 2 Reference 2</p> <p>Standard</p>	<p style="text-align: center;">CHAPTER 2. APPLICABILITY</p> <p>The Standards and Recommended Practices contained in this Annex shall be applicable to safety management functions related to, or in direct support of, the safe operation of aircraft.</p> <p><i>Note 1.— Safety management provisions for States are contained in Chapter 3 and relate to a State safety programme.</i></p> <p><i>Note 2.— Within the context of this Annex, the term “service provider” refers to those organizations listed in Chapter 3, 3.3.2.1 and does not include international general aviation operators.</i></p> <p><i>Note 3.— Safety management provisions for specified aviation service providers and operators are in Chapter 4 and relate to safety management systems (SMSs).</i></p> <p><i>Note 4.— No provision of this Annex is intended to transfer to the State the responsibilities of the aviation service provider or operator. This includes functions related to, or in direct support of, the safe operation of aircraft.</i></p> <p><i>Note 5.— In the context of this Annex, “responsibility” (singular) refers to “State responsibility” with respect to international obligations under the Convention on International Civil Aviation, while “responsibilities” (plural) should be given its ordinary meaning (i.e., when referring to functions and activities that may be delegated).</i></p>	<p>CARs, Parts 100, 119, 139, 141, 145, 146, 148, 171, 172, 173, 174, 175.</p>	<p>No Difference</p>		<p>Organizations certificated under Parts 119, 139, 141, 145, 146, 148, 171, 172, 173, 174, and 175 are required to implement an SMS in accordance with Part 100, Safety Management. Transitional rules in each Part provide for the development of SMS to replace the previously-mandated QMS. Due dates for implementation are stepped according to the relevance of the certificated organization to international civil aviation.</p>



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<p>Chapter 3 Reference 3.1 Standard</p>	<p style="text-align: center;">CHAPTER 3. STATE SAFETY MANAGEMENT RESPONSIBILITIES</p> <p><i>Note 1.— The State safety oversight (SSO) system critical elements (CEs) found in Appendix 1 constitute the foundation of an SSP.</i></p> <p><i>Note 2.— Safety management provisions pertaining to specific types of aviation activities are addressed in the relevant Annexes.</i></p> <p><i>Note 3.— Basic safety management principles applicable to the medical assessment process of licence holders are contained in Annex 1. Guidance is available in the Manual of Civil Aviation Medicine (Doc 8984).</i></p> <p style="text-align: center;">3.1 State safety programme (SSP)</p> <p>States shall establish and maintain an SSP that is commensurate with the size and complexity of the State's civil aviation system, but may delegate safety management-related functions and activities to another State, Regional Safety Oversight Organization (RSOO) or Regional Accident and Incident Investigation Organization (RAIO).</p> <p><i>Note 1.— States retain responsibility for safety management-related functions and activities delegated to another State, RSOO or RAIO.</i></p> <p><i>Note 2.— Guidance on an SSP and the delegation of</i></p>	<p>New Zealand Aviation State Safety Programme.</p>	<p>No Difference</p>		<p>Available on the CAANZ web site at http://www.caa.govt.nz/SM/state_safety_prog.pdf . Some aspects of the SSP are still under development (as at 31 August 2016).</p>



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	<i>safety management-related functions and activities are contained in the Safety Management Manual (SMM) (Doc 9859).</i>				
Chapter 3 Reference 3.2.1.1 Standard	<p>3.2 State safety policy, objectives and resources</p> <p>3.2.1 Primary aviation legislation</p> <p>3.2.1.1 States shall establish primary aviation legislation in accordance with section 1 of Appendix 1.</p>	Civil Aviation Act 1990.	No Difference		The Act is New Zealand's primary aviation legislation.
Chapter 3 Reference 3.2.1.2 Recommendation	<p>3.2.1.2 Recommendation.— <i>States should establish an enforcement policy that specifies the conditions and circumstances under which service providers with an SMS are allowed to deal with, and resolve, events involving certain safety issues, internally, within the context of their SMS and to the satisfaction of the appropriate State authority.</i></p>	CAA "Enforcement Policy and Use of Intervention Tools."	No Difference		Note: not published externally.
Chapter 3 Reference 3.2.2.1 Standard	<p>3.2.2 Specific operating regulations</p> <p>3.2.2.1 States shall establish specific operating regulations in accordance with section 2 of Appendix 1.</p>	Civil Aviation Act 1990, Part 3, Rules.	No Difference		
Chapter 3 Reference 3.2.2.2 Standard	<p>3.2.2.2 States shall periodically review specific operating regulations, guidance material and implementation policies to ensure they remain relevant and appropriate.</p>	CAA policies and procedures.	No Difference		These items are subject to continual review and updating.



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Chapter 3 Reference 3.2.3.1 Standard	3.2.3 State system and functions 3.2.3.1 States shall establish State system and functions in accordance with section 3 of Appendix 1.	CA Act 1990, Part 6A; TAIC Act 1990.	No Difference		The relevant State agencies are the Civil Aviation Authority of New Zealand (CAANZ), and the Transport Accident Investigation Commission (TAIC), established under the Civil Aviation Act 1990, and the TAIC Act 1990 respectively. Comprehensive information on the respective systems and functions are available on the web sites www.caa.govt.nz and www.taic.org.nz .
Chapter 3 Reference 3.2.3.2 Recommendation	3.2.3.2 Recommendation. — <i>States should identify, define and document the requirements, obligations, functions and activities regarding the establishment and maintenance of the SSP, including the directives to plan, organize, develop, maintain, control and continuously improve the SSP in a manner that meets the State's safety objectives.</i>	New Zealand Aviation State Safety Programme.	No Difference		Available on the CAANZ web site at http://www.caa.govt.nz/MS/state_safety_prog.pdf . Some aspects of the SSP are still under development (as at 31 August 2016).
Chapter 3 Reference 3.2.3.3 Recommendation	3.2.3.3 Recommendation. — <i>States should establish a safety policy and safety objectives that reflect their commitment regarding safety and facilitate the promotion of a positive safety culture in the aviation community.</i>	New Zealand Aviation State Safety Programme. AC100-1.	No Difference		The SSP is available on the CAANZ web site at http://www.caa.govt.nz/MS/state_safety_prog.pdf . Some aspects of the SSP are still under development (as at 31 August 2016).



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Chapter 3 Reference 3.2.3.4 Recommendation	3.2.3.4 Recommendation. — <i>The safety policy and safety objectives should be published and periodically reviewed to ensure that they remain relevant and appropriate to the State.</i>	New Zealand Aviation State Safety Programme.	No Difference		Available on the CAANZ web site at http://www.caa.govt.nz/MS/state_safety_prog.pdf . Some aspects of the SSP are still under development (as at 31 August 2016) but should be in place well ahead of the applicable date of 7 November 2019.
Chapter 3 Reference 3.2.4 Standard	3.2.4 Qualified technical personnel States shall establish requirements for the qualification of technical personnel in accordance with section 4 of Appendix 1. <i>Note.— The term “technical personnel” refers to those persons performing safety-related functions for or on behalf of the State.</i>	Both CAANZ and TAIC have systems in place for recruitment, initial and recurrent training, and maintenance of relevant records.	No Difference		Note: not published externally.
Chapter 3 Reference 3.2.5 Standard	3.2.5 Technical guidance, tools and provision of safety-critical information States shall establish technical guidance and tools and provide safety-critical information in accordance with section 5 of Appendix 1.	Both CAANZ and TAIC have systems in place for the provision of the items listed in Appendix 1, 5.1; and CAANZ provides technical guidance as per 5.2 (see Remarks).	No Difference		Guidance on the implementation of relevant regulations (App 5, 1.2) is by means of Advisory Circulars (available on the CAA web site, http://www.caa.govt.nz/rules/ACs.htm).



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Chapter 3 Reference 3.3.1 Standard	<p>3.3 State safety risk management</p> <p>3.3.1 Licensing, certification, authorization and approval obligations</p> <p>States shall meet the licensing, certification, authorization and approval obligations in accordance with section 6 of Appendix 1.</p>	CA Act 1990, s7 to 9; and the Civil Aviation Rules applicable to the particular activity.	No Difference		



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Chapter 3 Reference 3.3.2.1 Standard	<p>3.3.2 Safety management system obligations</p> <p>3.3.2.1 States shall require that the following service providers under their authority implement an SMS:</p> <p>a) approved training organizations in accordance with Annex 1 that are exposed to safety risks related to aircraft operations during the provision of their services;</p> <p>b) operators of aeroplanes or helicopters authorized to conduct international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively;</p> <p><i>Note.— When maintenance activities are not conducted by an approved maintenance organization in accordance with Annex 6, Part I, 8.7, but under an equivalent system as in Annex 6, Part I, 8.1.2, or Part III, Section II, 6.1.2, they are included in the scope of the operator's SMS.</i></p> <p>c) approved maintenance organizations providing services to operators of aeroplanes or helicopters engaged in international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively;</p> <p>d) organizations responsible for the type design or manufacture of aircraft, engines or propellers in accordance with Annex 8;</p> <p>e) air traffic services (ATS) providers in accordance with Annex 11; and</p> <p>f) operators of certified aerodromes in accordance with</p>	<p>a) CARs, Part 141, 147; b) CARs, Part 119; c) CARs, Part 145; d) CARs, Part 146, 148; e) CARs, Part 172; f) CARs, Part 139.</p>	<p>No Difference</p>		



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	<p>Annex 14, Volume I.</p> <p><i>Note.— Further provisions related to the implementation of SMS by service providers can be found in Chapter 4.</i></p>				
<p>Chapter 3 Reference 3.3.2.2</p> <p>Recommendation</p>	<p>3.3.2.2 Recommendation.— <i>States should ensure that safety performance indicators and targets established by service providers and operators are acceptable to the State.</i></p> <p><i>Note.— Guidance on the identification of appropriate safety performance indicators and targets is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p>	<p>CARs, Parts 100, 119, 139, 141, 145, 146, 148, 171, 172, 173, 174, 175.</p>	<p>No Difference</p>		<p>Organizations certificated under these Parts are required to implement an SMS in accordance with Part 100, Safety Management. Transitional rules in each Part provide for the development of SMS to replace the previously-mandated QMS. Due dates for implementation are stepped according to the relevance of the certificated organization to international civil aviation. Thus, the SPIs and targets are still in the developmental stage; these should be in a mature state well ahead of the applicability date of 7 November 2019.</p>



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Chapter 3 Reference 3.3.2.3 Standard	3.3.2.3 The State of Registry shall establish criteria for international general aviation operators of large or turbojet aeroplanes in accordance with Annex 6, Part II, Section 3, to implement an SMS. <i>Note.— Further provisions related to the implementation of SMS by international general aviation operators can be found in Chapter 4.</i>	CARs.	Less protective or partially implemented or not implemented	Not implemented.	Unlikely to be in foreseeable future, due to small size of sector and prioritization of implementation plans, although voluntary adoption is encouraged. Likely to be in place by the applicability date of 7 November 2019.
Chapter 3 Reference 3.3.2.4 Standard	3.3.2.4 The criteria established by the State of Registry in accordance with 3.3.2.3 shall address the SMS framework and elements contained in Appendix 2. <i>Note.— Guidance on establishing the criteria to implement an SMS for international general aviation operators is contained in the Safety Management Manual (SMM) (Doc 9859).</i>		Not Applicable		To be considered in advance of the applicability date of 7 November 2019.
Chapter 3 Reference 3.3.3 Standard	3.3.3 Accident and incident investigation States shall establish a process to investigate accidents and incidents in accordance with Annex 13, in support of the management of safety in the State.	TAIC Act 1990; CA Act 1990, s72B(2)(d); CARs, Part 12; TAIC and CAA Policies and Procedures.	No Difference		



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Chapter 3 Reference 3.3.4.1 Standard	3.3.4 Hazard identification and safety risk assessment 3.3.4.1 States shall establish and maintain a process to identify hazards from collected safety data. <i>Note 1. — Further information regarding safety data collection, analysis and the sharing and exchange of safety information can be found in Chapter 5.</i> <i>Note 2.— Additional information to identify hazards and safety issues on which to base preventive actions may be contained in the Final Reports of accidents and incidents.</i>	CAA Aviation Safety Monitoring System (ASMS).	No Difference		Administered by the Intelligence, Risk & Safety Analysis Unit. The unit carries out sector risk profiling; also produces quarterly safety reports (see the CAA web site, http://www.caa.govt.nz/safety_info/safety_information.htm).
Chapter 3 Reference 3.3.4.2 Standard	3.3.4.2 States shall develop and maintain a process that ensures the assessment of safety risks associated with identified hazards.	CAA Aviation Safety Monitoring System (ASMS).	No Difference		Administered by the Intelligence, Risk & Safety Analysis Unit. The unit carries out sector risk profiling; also produces quarterly safety reports (see the CAA web site, http://www.caa.govt.nz/safety_info/safety_information.htm).
Chapter 3 Reference 3.3.5.1 Standard	3.3.5 Management of safety risks 3.3.5.1 States shall establish mechanisms for the resolution of safety issues in accordance with section 8 in Appendix 1.	Inherent in the CAA Surveillance Policy.	No Difference		Note: not published externally.



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Chapter 3 Reference 3.3.5.2 Recommendation	3.3.5.2 Recommendation. — <i>States should develop and maintain a process to manage safety risks.</i> <i>Note 1.— Actions taken to manage safety risks may include: acceptance, mitigation, avoidance or transfer.</i> <i>Note 2.— Safety risks and safety issues often have underlying factors which need to be carefully assessed.</i>	Intelligence, Risk & Safety Analysis Unit procedures.	No Difference		Administered by the Intelligence, Risk & Safety Analysis Unit. The unit carries out sector risk profiling; also produces quarterly safety reports (see the CAA web site, http://www.caa.govt.nz/safety_info/safety_information.htm).
Chapter 3 Reference 3.4.1.1 Standard	3.4 State safety assurance 3.4.1 Surveillance obligations 3.4.1.1 States shall meet the surveillance obligations in accordance with section 7 of Appendix 1. <i>Note.— The surveillance of the service provider takes into consideration the safety performance as well as the size and complexity of its aviation products or services.</i>	CAA Surveillance Policy, as well as the procedures applicable to the particular sector.	No Difference		Note: not published externally.
Chapter 3 Reference 3.4.1.2 Recommendation	3.4.1.2 Recommendation. — <i>States should establish procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need.</i> <i>Note.— Organizational risk profiles, outcomes of hazard identification and risk assessment, and surveillance outcomes may provide information for the prioritization of inspections, audits and surveys.</i>	CAA Surveillance Policy.	No Difference		Note: the policy addresses prioritization of surveillance activity in accordance with perceived risk.



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Chapter 3 Reference 3.4.1.3 Recommendation	3.4.1.3 Recommendation. — <i>States should periodically review the safety performance of an individual service provider.</i>	CAA Surveillance Policy.	No Difference		Note: the policy addresses prioritization of surveillance activity in accordance with perceived risk, but also provides for periodic surveillance (audit) based on the life cycle of the participant's operating certificate.
Chapter 3 Reference 3.4.2.1 Standard	3.4.2 State safety performance 3.4.2.1 States shall establish the acceptable level of safety performance to be achieved through their SSP. <i>Note 1.— An acceptable level of safety performance for the State can be achieved through the implementation and maintenance of the SSP as well as safety performance indicators and targets showing that safety is effectively managed and built on the foundation of implementation of existing safety-related SARPs.</i> <i>Note 2.— Guidance on establishing safety performance indicators and targets, as well as an acceptable level of safety performance, is contained in the Safety Management Manual (SMM) (Doc 9859).</i>	New Zealand Aviation State Safety Programme.	Not Applicable		This aspect of the SSP is not yet mature; under action for implementation by the applicability date of 7 November 2019.
Chapter 3 Reference 3.4.2.2 Recommendation	3.4.2.2 Recommendation. — <i>States should develop and maintain a process to evaluate the effectiveness of actions taken to manage safety risks and resolve safety issues.</i> <i>Note.— Safety assessment results may be used to support the prioritization of actions to manage safety risks.</i>	CAA Surveillance Policy.	No Difference		Note: not published externally.



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Chapter 3 Reference 3.4.2.3 Recommendation	3.4.2.3 Recommendation. — <i>States should evaluate the effectiveness of their individual SSPs to maintain or continuously improve their overall level of safety performance.</i>		Not Applicable		This aspect of the SSP is not yet mature; under action for implementation by the applicability date of 7 November 2019.
Chapter 3 Reference 3.5.1.1 Recommendation	<p style="text-align: center;">3.5 State safety promotion</p> <p>3.5.1 Internal communication and dissemination of safety information</p> <p>Recommendation.— <i>States should promote safety awareness and the sharing and exchange of safety information to support, within the State aviation organizations, the development of a positive safety culture that fosters an effective SSP.</i></p>		Not Applicable		This aspect of the SSP is not yet mature; under action for implementation by the applicability date of 7 November 2019.



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<p>Chapter 3 Reference 3.5.2 Recommendation</p>	<p>3.5.2 External communication and dissemination of safety information</p> <p>Recommendation.— <i>States should promote safety awareness and the sharing and exchange of safety information with the aviation community to foster the maintenance and improvement of safety and to support the development of a positive safety culture.</i></p> <p><i>Note 1.— Refer to Chapter 5, 5.4, for further details regarding safety information sharing and exchange.</i></p> <p><i>Note 2.— Promoting safety awareness could include identifying accessible safety training for the aviation community.</i></p>	<p>CAA web site, http://www.caa.govt.nz.</p>	<p>No Difference</p>		<p>The CAA web site is the principal means of disseminating of safety information. A notification service is available on https://notifications.caa.govt.nz/ for subscribers to obtain newly posted information automatically.</p>



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<p>Chapter 4 Reference 4.1.1</p> <p>Standard</p>	<p style="text-align: center;">CHAPTER 4. SAFETY MANAGEMENT SYSTEM (SMS)</p> <p><i>Note 1.— Guidance on implementation of an SMS is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p> <p><i>Note 2. — An organization may elect to extend one SMS across multiple service provider activities.</i></p> <p style="text-align: center;">4.1 General</p> <p>4.1.1 The SMS of a service provider shall:</p> <p>a) be established in accordance with the framework elements contained in Appendix 2; and</p> <p>b) be commensurate with the size of the service provider and the complexity of its aviation products or services.</p>	<p>AC100-1.</p>	<p>No Difference</p>		<p>The AC sets out the framework, and provides for the scaling of the SMS to fit the operation.</p>
<p>Chapter 4 Reference 4.1.2</p> <p>Standard</p>	<p>4.1.2 The State shall ensure that the service provider develops a plan to facilitate SMS implementation.</p>	<p>CARs, Parts 119, 139, 141, 145, 146, 147, 148, 171, 172, 173, 174, 175.</p>	<p>No Difference</p>		<p>Each Part contains a rule requiring the certificate holder to implement an SMS in accordance with Part 100, and transitional rules specifying due dates for submission of an implementation plan, and a due date for implementation.</p>



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Chapter 4 Reference 4.1.3 Standard	4.1.3 The SMS of an approved training organization, in accordance with Annex 1, that is exposed to safety risks related to aircraft operations during the provision of its services shall be made acceptable to the State(s) responsible for the organization's approval.	CARs, Parts 141 and 147.	No Difference		Each Part contains a rule requiring the certificate holder to implement an SMS in accordance with Part 100, and transitional rules specifying due dates for submission of an implementation plan, and a due date for implementation.
Chapter 4 Reference 4.1.4 Standard	4.1.4 The SMS of a certified operator of aeroplanes or helicopters authorized to conduct international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively, shall be made acceptable to the State of the Operator. <i>Note.— When maintenance activities are not conducted by an approved maintenance organization in accordance with Annex 6, Part I, 8.7, but under an equivalent system as in Annex 6, Part I, 8.1.2, or Part III, Section II, 6.1.2, they are included in the scope of the operator's SMS.</i>	CARs, Part 119.	No Difference		Rule 119.79 require the holders of Airline AOCs to establish an SMS in accordance with Part 100. Also, transitional rule 119.203 requires submission of an implementation plan by 30 July 2016, and an implementation due date of 1 February 2018, with the previously-mandated QMS continuing to apply until SMS implementation.



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Chapter 4 Reference 4.1.5 Standard	4.1.5 The SMS of an approved maintenance organization providing services to operators of aeroplanes or helicopters engaged in international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively, shall be made acceptable to the State(s) responsible for the organization's approval.	CARs, Part 145.	No Difference		Rule 145.65 require the holders of Aircraft Maintenance Organization certificates to establish an SMS in accordance with Part 100. Also, transitional rule 145.151 requires submission of an implementation plan by 30 July 2016, and an implementation due date of 1 February 2018, with the previously-mandated QMS continuing to apply until SMS implementation.
Chapter 4 Reference 4.1.6 Standard	4.1.6 The SMS of an organization responsible for the type design of aircraft, engines or propellers, in accordance with Annex 8, shall be made acceptable to the State of Design.	CARs, Part 146.	No Difference		Rule 146.65 requires the holders of Aircraft Design Organisation certificates to establish an SMS in accordance with Part 100. Also, transitional rule 146.151 requires submission of an implementation plan by 30 July 2018, and an implementation due date of 1 February 2021, with the previously-mandated QMS continuing to apply until SMS implementation.



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Chapter 4 Reference 4.1.7 Standard	4.1.7 The SMS of an organization responsible for the manufacture of aircraft, engines or propellers, in accordance with Annex 8, shall be made acceptable to the State of Manufacture.	CARs, Part 148.	No Difference		Rule 148.65 requires the holders of Aircraft Manufacturing Organisation certificates to establish an SMS in accordance with Part 100. Also, transitional rule 148.151 requires submission of an implementation plan by 30 July 2018, and an implementation due date of 1 February 2021, with the previously-mandated QMS continuing to apply until SMS implementation.
Chapter 4 Reference 4.1.8 Standard	4.1.8 The SMS of an ATS provider, in accordance with Annex 11, shall be made acceptable to the State responsible for the provider's designation.	CARs, Part 172.	No Difference		Rule 172.123 requires the holders of an ATS certificate to establish an SMS in accordance with Part 100. Also, transitional rule 172.451 requires submission of an implementation plan by 30 July 2016, and an implementation due date of 1 February 2018, with the previously-mandated QMS continuing to apply until SMS implementation.



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Chapter 4 Reference 4.1.9 Standard	4.1.9 The SMS of an operator of a certified aerodrome, in accordance with Annex 14, Volume I, shall be made acceptable to the State responsible for the aerodrome's certification.	CARs, Part 139.	No Difference		Rule 139.75 requires the holders of an aerodrome operator certificate to establish an SMS in accordance with Part 100. Also, transitional rule 139.551 requires submission of an implementation plan by 30 July 2016, and an implementation due date of 1 February 2018, with the previously-mandated QMS continuing to apply until SMS implementation.



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<p>Chapter 4 Reference 4.2 Standard</p>	<p>4.2 International general aviation — aeroplanes</p> <p><i>Note.— Guidance on the implementation of an SMS for international general aviation is contained in the Safety Management Manual (SMM) (Doc 9859) and industry codes of practice.</i></p> <p>The SMS of an international general aviation operator, conducting operations of large or turbojet aeroplanes in accordance with Annex 6, Part II, Section 3, shall be commensurate with the size and complexity of the operation and meet the criteria established by the State of Registry.</p> <p><i>Note 1.— Further provisions related to the criteria to be established by the State of Registry can be found in Chapter 3.</i></p> <p><i>Note 2.— Guidance concerning the responsibilities of the State of Registry in connection with lease, charter and interchange operations is contained in the Manual of Procedures for Operations Inspection, Certification and Continued Surveillance (Doc 8335). Guidance concerning the transfer of State of Registry responsibilities to the State where the aircraft operator has its principal place of business or, if it has no such place of business, its permanent address in accordance with Article 83 bis is contained in the Manual on the Implementation of Article 83 bis of the Convention on International Civil Aviation (Doc 10059).</i></p>	<p>CARs.</p>	<p>Less protective or partially implemented or not implemented</p>	<p>Not implemented.</p>	<p>Unlikely to be in foreseeable future, due to small size of sector and prioritization of implementation plans, although voluntary adoption is encouraged.</p>



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<p>Chapter 5 Reference 5.1.1 Standard</p>	<p style="text-align: center;">CHAPTER 5. SAFETY DATA AND SAFETY INFORMATION COLLECTION, ANALYSIS, PROTECTION, SHARING AND EXCHANGE</p> <p><i>Note.— The objective of this chapter is to ensure the continued availability of safety data and safety information to support safety management activities.</i></p> <p style="text-align: center;">5.1 Safety data collection and processing systems</p> <p>5.1.1 States shall establish safety data collection and processing systems (SDCPS) to capture, store, aggregate and enable the analysis of safety data and safety information.</p> <p><i>Note 1.— SDCPS refers to processing and reporting systems, safety databases, schemes for exchange of information, and recorded information including but not limited to:</i></p> <ul style="list-style-type: none"> <i>a) data and information pertaining to accident and incident investigations;</i> <i>b) data and information related to safety investigations by State authorities or aviation service providers;</i> <i>c) mandatory safety reporting systems as indicated in 5.1.2;</i> 	<p>CAA Aviation Safety Monitoring System (ASMS) database.</p>	<p>No Difference</p>		



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	<p>d) <i>voluntary safety reporting systems as indicated in 5.1.3; and</i></p> <p>e) <i>self-disclosure reporting systems, including automatic data capture systems, as described in Annex 6, Part I, Chapter 3, as well as manual data capture systems.</i></p> <p><i>Note 2.— Guidance related to SDCPS is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p> <p><i>Note 3.— The term “safety database” may refer to a single or multiple database(s).</i></p> <p><i>Note 4.— SDCPS may include inputs from State, industry and public sources, and may be based on reactive and proactive methods of safety data and safety information collection.</i></p> <p><i>Note 5.— Sector-specific safety reporting provisions are contained in other Annexes, PANS and SUPPs. There is a recognized benefit to the effective implementation of an SSP in having an integrated approach for the collection and analysis of the safety data and safety information from all sources.</i></p>				
<p>Chapter 5 Reference 5.1.2 Standard</p>	<p>5.1.2 States shall establish a mandatory safety reporting system that includes the reporting of incidents.</p>	<p>CA Act 1990, s26, and CARs, Part 12 Accidents, Incident, and Statistics.</p>	<p>No Difference</p>		



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Chapter 5 Reference 5.1.3 Standard	5.1.3 States shall establish a voluntary safety reporting system to collect safety data and safety information not captured by mandatory safety reporting systems.	CARs, Part 12.	Different in character or other means of compliance	Resources preclude the establishment of a separate voluntary system, but voluntary reports can be made via the existing system; confidentiality can be requested.	Additionally, any participant or member of the public can raise an "Aviation Related Concern" via a toll-free number or via the CAA's online reporting system (isi@caa.govt.nz). See web page www.caa.govt.nz/Accidents_and_Incidents/accidents_and_incidents.htm .
Chapter 5 Reference 5.1.4 Recommendation	5.1.4 Recommendation. — <i>State authorities responsible for the implementation of the SSP should have access to the SDCPS as referenced in 5.1.1 to support their safety responsibilities, in accordance with the principles in Appendix 3.</i> <i>Note.</i> — <i>State authorities responsible for the implementation of the SSP include accident investigation authorities.</i>	CARs, Part 12.	No Difference		Reporting is to the CAA. Quarterly Aviation Safety Summary Reports are available on www.caa.govt.nz/safety_info/safety_reports.htm .
Chapter 5 Reference 5.1.5 Recommendation	5.1.5 Recommendation. — <i>The safety database should use standardized taxonomy to facilitate safety information sharing and exchange.</i> <i>Note.</i> — <i>States are encouraged to use an ADREP-compatible system. More information on ADREP can be found in Annex 13, Chapter 7.</i>	CAA Aviation Safety Monitoring System (ASMS).	Less protective or partially implemented or not implemented	The ASMS database utilizes selected ADREP references, but is not fully compatible.	



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<p>Chapter 5 Reference 5.2.1 Standard</p>	<p>5.2 Safety data and safety information analysis</p> <p>5.2.1 States shall establish and maintain a process to analyse the safety data and safety information from the SDCPS and associated safety databases.</p> <p><i>Note 1.— Specific State provisions for the identification of hazards as part of their safety risk management and safety assurance processes can be found in Chapter 3.</i></p> <p><i>Note 2.— The purpose of the safety data and safety information analysis performed by the State is to identify systemic and cross-cutting hazards that might not otherwise be identified by the safety data analysis processes of individual service providers and operators.</i></p> <p><i>Note 3.— The process may include predictive methods of safety data analysis.</i></p>	<p>CAA Aviation Safety Monitoring System (ASMS); Intelligence, Risk & Safety Analysis Unit procedures.</p>	<p>No Difference</p>		
<p>Chapter 5 Reference 5.3.1 Standard</p>	<p>5.3 Safety data and safety information protection</p> <p>5.3.1 States shall accord protection to safety data captured by, and safety information derived from, voluntary safety reporting systems and related sources in accordance with Appendix 3.</p> <p><i>Note.— Sources include individuals and organizations.</i></p>	<p>CAR 12.63.</p>	<p>Less protective or partially implemented or not implemented</p>	<p>The rule affords prosecution immunity to the submitter, within defined parameters; submitters may request confidentiality. The CAA cannot guarantee absolute protection of safety data and information, due to the provisions of the Official Information Act 1982.</p>	



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<p>Chapter 5 Reference 5.3.2</p> <p>Recommendation</p>	<p>5.3.2 Recommendation.— <i>States should extend the protection referred to in 5.3.1 to safety data captured by, and safety information derived from, mandatory safety reporting system and related sources.</i></p> <p><i>Note 1.— A reporting environment where employees and operational personnel may trust that their actions or omissions that are commensurate with their training and experience will not be punished is fundamental to safety reporting.</i></p> <p><i>Note 2.— Guidance related to both mandatory and voluntary safety reporting systems is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p>	<p>CAR 12.63.</p>	<p>Less protective or partially implemented or not implemented</p>	<p>The rule affords prosecution immunity to the submitter, within defined parameters; submitters may request confidentiality. The CAA cannot guarantee absolute protection of safety data and information, due to the provisions of the Official Information Act 1982.</p>	<p>The rule provides for release if unnecessary danger is revealed; false information has been provided; or if required by court order.</p>
<p>Chapter 5 Reference 5.3.3</p> <p>Standard</p>	<p>5.3.3 Subject to 5.3.1 and 5.3.2, States shall not make available or use safety data or safety information collected, stored or analysed in accordance with 5.1 or 5.2 for purposes other than maintaining or improving safety, unless the competent authority determines, in accordance with Appendix 3, that a principle of exception applies.</p>	<p>CAR 12.63.</p>	<p>No Difference</p>		<p>The rule affords prosecution immunity to the submitter, within defined parameters; submitters may request confidentiality. The rule also provides for release if unnecessary danger is revealed; false information has been provided; or if required by court order.</p>
<p>Chapter 5 Reference 5.3.4</p> <p>Standard</p>	<p>5.3.4 Notwithstanding 5.3.3, States shall not be prevented from using safety data or safety information to take any preventive, corrective or remedial action that is necessary to maintain or improve aviation safety.</p> <p><i>Note.— Specific provision aimed at ensuring that there is no overlap with the protection of investigation records in Annex 13 is contained in Appendix 3, 1.2.</i></p>	<p>CAR 12.63.</p>	<p>No Difference</p>		<p>The rule provides for release if unnecessary danger is revealed; false information has been provided; or if required by court order.</p>



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Chapter 5 Reference 5.3.5 Standard	5.3.5 States shall take necessary measures, including the promotion of a positive safety culture, to encourage safety reporting through the systems referred to in 5.1.2 and 5.1.3. <i>Note. — Guidance related to positive safety culture is contained in the Safety Management Manual (SMM) (Doc 9859.)</i>	CARs.	Less protective or partially implemented or not implemented	This concept is not sufficiently mature to inspire the necessary confidence amongst the aviation community.	
Chapter 5 Reference 5.3.6 Recommendation	5.3.6 Recommendation. — <i>States should facilitate and promote safety reporting by adjusting their applicable laws, regulations and policies, as necessary.</i>	CARs.	Less protective or partially implemented or not implemented	This concept is not sufficiently mature to inspire the necessary confidence amongst the aviation community.	
Chapter 5 Reference 5.3.7 Recommendation	5.3.7 Recommendation. — <i>In support of the determination referred to in 5.3.3, States should institute and make use of appropriate advance arrangements between their authorities and State bodies entrusted with aviation safety and those entrusted with the administration of justice. Such arrangements should take into account the principles specified in Appendix 3.</i> <i>Note.— These arrangements may be formalized through legislation, protocols, agreements or memoranda of understanding.</i>	CARs.	Less protective or partially implemented or not implemented	This concept is not sufficiently mature to inspire the necessary confidence amongst the aviation community.	



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Chapter 5 Reference 5.4.1 Standard	<p>5.4 Safety information sharing and exchange</p> <p><i>Note.— Sharing refers to giving, while exchange refers to giving and receiving in return.</i></p> <p>5.4.1 If a State, in the analysis of the information contained in its SDCPS, identifies safety matters considered to be of interest to other States, that State shall forward such safety information to them as soon as possible. Prior to sharing such information, States shall agree on the level of protection and conditions on which safety information will be shared. The level of protection and conditions shall be in line with Appendix 3.</p>	No specific reference; this occurs routinely.	No Difference		Particularly relevant to airworthiness matters.
Chapter 5 Reference 5.4.2 Standard	<p>5.4.2 States shall promote the establishment of safety information sharing or exchange networks among users of the aviation system, and facilitate the sharing and exchange of safety information, unless national law provides otherwise.</p> <p><i>Note.— Information on the sharing of safety information can be found in the ICAO Code of Conduct on the Sharing and Use of Safety Information in the Global Aviation Safety Plan (Doc 10004).</i></p>	CARs.	Different in character or other means of compliance	There is no formal process, but the concept is frequently encouraged at CAA safety seminars, training workshops, and by means of safety promotion material such as the bi-monthly CAA safety magazine "Vector".	Safety information is freely available on the CAA web site, www.caa.govt.nz.

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