



Report on entire Annex

Annex Reference	SAFETY MANAGEMENT Standard or Recommended Practice	State Legislation, Regulation or Document Reference	Level of implementation of SARP's	Text of the difference to be notified to ICAO	Comments including the reason for the difference
<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: 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, except 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; or</p> <p>b) the aircraft sustains damage or structural failure which: adversely affects the structural strength, performance or flight characteristics of the aircraft, and would normally require major repair or replacement of the affected component, except for engine failure or damage, when the damage</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>	



Report on entire Annex

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	<p>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, windscreens, 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>N1. 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>N2. 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>N3. The type of unmanned aircraft system to be investigated is addressed in 5.1 of Annex 13.</i></p> <p><i>N4. Guidance for the determination of aircraft damage can be found in Attachment F of Annex 13.</i></p>				
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		



Report on entire Annex

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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		
Chapter 1 Reference Definition	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. <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>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	



Report on entire Annex

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Chapter 1 Reference Definition	Operational personnel. Personnel involved in aviation activities who are in a position to report safety information. <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>	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	
Chapter 1 Reference Definition	Safety management system (SMS). A systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.	Advisory Circular AC00-4.	No Difference		
Chapter 1 Reference Definition	Safety performance indicator. A data-based parameter used for monitoring and assessing safety performance.	AC00-4, 2.7.3.	No Difference		
Chapter 1 Reference Definition	Safety performance target. The planned or intended objective for safety performance indicator(s) over a given period.	AC00-4, 2.7.2.	No Difference		



Report on entire Annex

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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.	AC00-4, 2.7.	Different in character or other means of compliance	Definition can be inferred from the text of Section 2.7.	
Chapter 1 Reference Definition	<i>Safety risk.</i> The predicted probability and severity of the consequences or outcomes of a hazard.	AC00-4.	Different in character or other means of compliance	The AC uses the ISO 31000 definition: The effect of uncertainty on objectives.	
Chapter 1 Reference Definition	<i>Safety.</i> 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.	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	



Report on entire Annex

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Chapter 1 Reference Definition	 Serious injury. An injury which is sustained by a person in an accident and which: 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.	CARs, Part 12.	No Difference		
Chapter 1 Reference Definition	 State of Design. The State having jurisdiction over the organization responsible for the type design.	CARs, Part 1.	No Difference		
Chapter 1 Reference Definition	 State of Manufacture. The State having jurisdiction over the organization responsible for the final assembly of the aircraft.	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	Common usage term.



Report on entire Annex

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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.	CARs.	Less protective or partially implemented or not implemented	Not specifically defined.	
Chapter 2 Reference 2.0 Standard	<p 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>N1.Safety management provisions for States are contained in Chapter 3 and relate to a State safety programme.</i></p> <p><i>N2.Safety management provisions for specified aviation service providers and operators are in Chapter 4 and relate to safety management systems (SMSs). Supplementary safety management provisions specific to individual service providers or operators are contained in other Annexes, as referenced in this Annex.</i></p>	CARs, Parts 119, 139, 141, 145, 146, 148, 171, 172, 173, 175.	Different in character or other means of compliance	Organizations certified under these Parts are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements. See www.caa.govt.nz/sms .



Report on entire Annex

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Chapter 3 Reference 3.1.1 Standard	<p style="text-align: center;">CHAPTER 3. STATE SAFETY MANAGEMENT RESPONSIBILITIES</p> <p><i>N1. This chapter outlines the safety management responsibilities of the State, through compliance with SARPs, the conduct of its own safety management functions and the surveillance of SMSs implemented in accordance with the provisions in this Annex.</i></p> <p><i>N2. Safety management system provisions pertaining to specific types of aviation activities are addressed in the relevant Annexes.</i></p> <p><i>N3. 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>Each State shall establish an SSP for the management of safety in the State, in order to achieve an acceptable level of safety performance in civil aviation. The SSP shall include the following components:</p> <ul style="list-style-type: none"> a) State safety policy and objectives; b) State safety risk management; c) State safety assurance; and d) State safety promotion. <p><i>N4. The SSP established by the State is commensurate with the size and the complexity of its aviation activities.</i></p> <p><i>N5. A framework for the implementation and maintenance of an SSP is contained in Attachment A, and guidance on a State safety programme is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p>	CARs.	Different in character or other means of compliance	New Zealand's civil aviation legislation and rules, together with the CAA's processes, effectively comprise New Zealand's safety programme.	Work is in progress to ensure all elements of an SSP are embodied, including SMS rules under development.



Report on entire Annex

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Chapter 3 Reference 3.1.2 Standard	The acceptable level of safety performance to be achieved shall be established by the State. <i>Guidance on defining an acceptable level of safety performance is contained in the Safety Management Manual (SMM) (Doc 9859).</i>	AC00-4, 2.7.1.	No Difference		Note; The reference details the intent; the actual defining is work in progress.



Report on entire Annex

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<p>Chapter 3 Reference 3.1.3 Standard</p>	<p>As part of its SSP, each State shall require that the following service providers under its authority implement an SMS:</p> <ul style="list-style-type: none"> 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; 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; <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> 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; d) organizations responsible for the type design or manufacture of aircraft, in accordance with Annex 8; e) air traffic services (ATS) providers in accordance with Annex 11; and <i>Note.— The provision of AIS, CNS, MET and/or SAR services, when under the authority of an ATS provider, are included in the scope of the ATS provider's SMS. When the provision of AIS, CNS, MET and/or SAR services are wholly or partially provided by an entity other than an ATS provider, the related services that come under the authority of the ATS provider, or those aspects of the services with direct operational implications, are included in the scope of the ATS provider's SMS.</i> f) operators of certified aerodromes in accordance with Annex 14. 	<p>CARs, Parts 141, 119, 145, 146 and 148, 172, 139 respectively.</p>	<p>Different in character or other means of compliance</p>	<p>Organizations certified under these Parts are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.</p>	<p>Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements. See www.caa.govt.nz/sms.</p>



Report on entire Annex

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Chapter 3 Reference 3.1.4 Standard	As part of its SSP, each State shall require that international general aviation operators of large or turbojet aeroplanes in accordance with Annex 6, Part II, Section 3, implement an SMS. <i>Note.— International general aviation operators are not considered to be service providers in the context of this Annex.</i>	CARs.	Less protective or partially implemented or not implemented	Not implemented.	Unlikely to be in foreseeable future, due to small size of sector, although voluntary adoption is encouraged.
Chapter 3 Reference 3.2 Standard	Each State shall establish and implement a safety oversight system in accordance with Appendix 1.	CARs; CAA surveillance system	No Difference		
Chapter 4 Reference 4.1.1 Standard	<p style="text-align: center;">CHAPTER 4. SAFETY MANAGEMENT SYSTEM (SMS)</p> <p>N1. <i>Guidance on implementation of an SMS is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p> <p>N2. <i>The term “service provider” refers to those organizations listed in Chapter 3, 3.1.3.</i></p> <p style="text-align: center;">4.1 General</p> <p>Except as required in 4.2, the SMS of a service provider shall:</p> <ul style="list-style-type: none"> a) be established in accordance with the framework elements contained in Appendix 2; and b) be commensurate with the size of the service provider and the complexity of its aviation products or services. 	AC00-4.	No Difference		



Report on entire Annex

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Chapter 4 Reference 4.1.2 Standard	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, Part 141.	Different in character or other means of compliance	Part 141 organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements.
Chapter 4 Reference 4.1.3 Standard	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.	Different in character or other means of compliance	Part 119 certificated organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements.
Chapter 4 Reference 4.1.4 Standard	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.	Different in character or other means of compliance	Part 145 certificated organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements.
Chapter 4 Reference 4.1.5 Standard	The SMS of an organization responsible for the type design of aircraft, in accordance with Annex 8, shall be made acceptable to the State of Design.	CARs, Part 146.	Different in character or other means of compliance	Part 146 certificated organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements.



Report on entire Annex

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Chapter 4 Reference 4.1.6 Standard	The SMS of an organization responsible for the manufacture of aircraft, in accordance with Annex 8, shall be made acceptable to the State of Manufacture.	CARs, Part 148.	Different in character or other means of compliance	Part 148 certificated organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements.
Chapter 4 Reference 4.1.7 Standard	The SMS of an ATS provider, in accordance with Annex 11, shall be made acceptable to the State responsible for the provider's designation. <i>Note.— The provision of AIS, CNS, MET and/or SAR services, when under the authority of an ATS provider, are included in the scope of the ATS provider's SMS. When the provision of AIS, CNS, MET and/or SAR services are wholly or partially provided by an entity other than an ATS provider, the related services that come under the authority of the ATS provider, or those aspects of their services with direct operational implications, are included in the scope of the ATS provider's SMS.</i>	CARs, Part 172.	Different in character or other means of compliance	Part 172 certificated organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Note: New Zealand's sole ATS provider, Airways New Zealand (a State-owned enterprise) has already adopted SMS.
Chapter 4 Reference 4.1.8 Standard	The SMS of an operator of a certified aerodrome, in accordance with Annex 14, shall be made acceptable to the State responsible for the aerodrome's certification.	CARs, Part 139.	Different in character or other means of compliance	Part 139 certificated organizations are required to have an internal QMS, the elements of which are mostly compatible with those of an SMS.	Organizations are being actively encouraged to develop their QMS into SMS ahead of any rules requirements.



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Chapter 4 Reference 4.2.1 Standard	<p>4.2 International general aviation — aeroplanes</p> <p><i>Note.— Guidance on the implementation of an SMS for 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.</p>	CARs.	Less protective or partially implemented or not implemented	No requirements exist for private (general aviation) operations at this time; none envisaged in the foreseeable future.	
Chapter 4 Reference 4.2.2 Recommendation	<p>Recommendation.— <i>The SMS should as a minimum include:</i></p> <ul style="list-style-type: none"> a) <i>a process to identify actual and potential safety hazards and assess the associated risks;</i> b) <i>a process to develop and implement remedial action necessary to maintain an acceptable level of safety; and</i> c) <i>provision for continuous monitoring and regular assessment of the appropriateness and effectiveness of safety management activities.</i> 	AC00-4.	No Difference		



Report on entire Annex

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Chapter 5 Reference 5.1.1 Standard	<p style="text-align: center;">CHAPTER 5. SAFETY DATA COLLECTION, ANALYSIS AND EXCHANGE</p> <p><i>Note.— The objective of these specifications is to support safety management activities by collection and analysis of safety data and by a prompt and secure exchange of safety information, as part of the SSP.</i></p> <p style="text-align: center;">5.1 Safety data collection</p> <p><i>Reporting systems</i> Each State shall establish a mandatory incident reporting system to facilitate collection of information on actual or potential safety deficiencies.</p>	CARs, Part 12.	No Difference		
Chapter 5 Reference 5.1.2 Standard	Each State shall establish a voluntary incident reporting system to facilitate collection of information on actual or potential safety deficiencies that may not be captured by the mandatory incident reporting system.	CARs, Part 12.	Different in character or other means of compliance	Resources preclude the establishment of a separate voluntary system, but voluntary reports can still be made via the existing system; confidentiality can be requested.	
Chapter 5 Reference 5.1.3 Recommendation	<p>Recommendation.— <i>Subject to Standard 5.3.1, State authorities responsible for the implementation of the SSP should have access to appropriate information available in the incident reporting systems referenced in 5.1.1 and 5.1.2 to support their safety responsibilities.</i></p> <p><i>N1.State authorities responsible for the implementation of the SSP include accident investigation authorities.</i></p> <p><i>N2.Each State is encouraged to establish other safety data collection and processing systems to collect safety information that may not be captured by the incident reporting systems mentioned in 5.1.1 and 5.1.2 above.</i></p>	CARs, Part 12.	No Difference		Reporting is to the CAA.



Report on entire Annex

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Chapter 5 Reference 5.2.1 Standard	<p align="center">5.2 Safety data analysis</p> <p>Each State shall establish and maintain a safety database to facilitate the effective analysis of information on actual or potential safety deficiencies obtained, including that from its incident reporting systems, and to determine any actions required for the enhancement of safety.</p> <p><i>Note.— The term “safety database” may refer to a single or multiple database(s) and may include the accident and incident database. Provisions on an accident and incident database are included in Annex 13 — Aircraft Accident and Incident Investigation. Additional guidance on a safety database is also included in the Safety Management Manual (SMM) (Doc 9859).</i></p>	CAA Aviation Safety Monitoring System (ASMS).	No Difference		
Chapter 5 Reference 5.2.2 Recommendation	<p>Recommendation.— <i>Each State should, following the identification of preventive actions required to address actual or potential safety deficiencies, implement these actions and establish a process to monitor implementation and effectiveness of the responses.</i></p> <p><i>Note.— Additional information on which to base preventive actions may be contained in the Final Reports on investigated accidents and incidents.</i></p>	CAA current practice - various policies and procedures.	No Difference		
Chapter 5 Reference 5.2.3 Recommendation	<p>Recommendation.— <i>The database systems should use standardized formats to facilitate data exchange.</i></p> <p><i>Note.— Each State is encouraged to use an ADREP-compatible system.</i></p>	ASMS: taxonomies directly relate to ADREP.	No Difference		



Report on entire Annex

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Chapter 5 Reference 5.3.1 Standard	<p align="center">5.3 Safety data protection</p> <p><i>Note.— Attachment B contains legal guidance for the protection of information from safety data collection and processing systems.</i></p> <p>A voluntary incident reporting system shall be non-punitive and afford protection to the sources of the information.</p> <p><i>N1.A non-punitive environment is fundamental to voluntary reporting.</i></p> <p><i>N2.Each State is encouraged to facilitate and promote the voluntary reporting of events that could affect aviation safety by adjusting their applicable laws, regulations and policies, as necessary.</i></p> <p><i>N3.Guidance related to both mandatory and voluntary incident reporting systems is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p>	CAR 12.63.	Different in character or other means of compliance	The rule affords immunity from prosecution within defined parameters; submitters may request confidentiality.	
Chapter 5 Reference 5.3.2 Recommendation	<p>Recommendation.— States should not make available or use safety data referenced in 5.1 or 5.2 for other than safety-related purposes, unless exceptionally, an appropriate authority determines in accordance with their national legislation, the value of its disclosure or use in any particular instance, outweighs the adverse impact such action may have on aviation safety.</p>	CAR 12.63.	No Difference		The rule provides for release if unnecessary danger is revealed; false information has been provided; and if required by court order.
Chapter 5 Reference 5.4.1 Recommendation	<p align="center">5.4 Safety information exchange</p> <p>Recommendation.— If a State, in the analysis of the information contained in its database, identifies safety matters considered to be of interest to other States, that State should forward such safety information to them as soon as possible.</p>	No specific reference; this occurs routinely.	No Difference		



Report on entire Annex

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Chapter 5 Reference 5.4.2 Recommendation	<p>Recommendation.— <i>Each State should promote the establishment of safety information sharing networks among users of the aviation system and should facilitate the free exchange of information on actual and potential safety deficiencies.</i></p> <p><i>Note.</i>— <i>Standardized definitions, classifications and formats are needed to facilitate data exchange. Guidance material on the specifications for such information-sharing networks are available from ICAO.</i></p>	CARs.	Less protective or partially implemented or not implemented	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".	

- END -