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CIVIL AVIATION SAFETY PROGRAMME OF THE REPUBLIC OF LATVIA

Version	3
References	Annexes 1, 6, 8, 11, 13, 14 and 19 to the Chicago Convention

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Foreword

In order to ensure a high level of aviation safety and reduce the possibility of aviation accidents, Latvia, as one of the member states of the International Civil Aviation Organization (ICAO), has developed the Civil Aviation Safety Programme of the Republic of Latvia (hereinafter – the State Safety Programme) in accordance with Annex 19 to the Convention on International Civil Aviation, signed on 7 December 1944 in Chicago (hereinafter – Chicago Convention), which determines the role of the state in aviation safety management and activities of the management, including aviation safety supervision and aviation safety risk control measures.

The State Safety Programme is developed taking into account the standards and recommended practices of Annexes 1, 6, 8, 11, 13, 14 and 19 to the Chicago Convention, Regulation (EU) 2018/1139 of the European Parliament and of the Council of 4 July 2018 on common rules in the field of civil aviation and establishing a European Union Aviation Safety Agency, and amending Regulations (EC) No 2111/2005, (EC) No 1008/2008, (EU) No 996/2010, (EU) No 376/2014 and Directives 2014/30/EU and 2014/53/EU of the European Parliament and of the Council, and repealing Regulations (EC) No 552/2004 and (EC) No 216/2008 of the European Parliament and of the Council and Council Regulation (EEC) No 3922/91 (hereinafter – Regulation No 2018/1139), the European Plan for Aviation Safety (EPAS) developed by the European Aviation Safety Agency (EASA), and Commission Implementing Decision (EU) 2015/347 of 2 March 2015 concerning the inconsistency of certain targets included in the national or functional airspace block plans submitted pursuant to Regulation (EC) No 549/2004 of the European Parliament and of the Council of 10 March 2004 laying down the framework for the creation of the single European sky with the Union-wide performance targets for the second reference period and setting out recommendations for the revision of those targets.

The measures for the implementation of the State Safety Programme are included in the State Plan for Aviation Safety (SPAS), which sets aviation safety objectives in the field of civil aviation in Latvia in accordance with the European Plan for Aviation Safety. Within the framework of the North European Functional Airspace Block (hereinafter – NEFAB), the State Agency "Civil Aviation Agency" (hereinafter – the Civil Aviation Agency) developed the air navigation performance improvement plan for the safety indicators of the second reporting period (2015-2019) for the Latvian air navigation service provider SJSC Latvijas gaisa satiksme (LGS) and the State of Latvia in accordance with the requirements of Article 5 of Commission Implementing Regulation (EU) No 390/2013 of 3 May 2013 laying down a performance scheme for air navigation services and network functions. The annual monitoring report on the objectives achieved in the plan for the second reporting period was prepared within the framework of NEFAB and submitted to the Performance Review Body of European Commission by 1 June of each year. In accordance with the Commission Implementing Regulation (EU) 2019/317 of 11 February 2019 laying down a performance and charging scheme in the single European sky and repealing Implementing Regulations (EU) No 390/2013 and (EU) No 391/2013, the air navigation performance improvement plan for 2020-2024 has been developed at the national level. The safety goals developed for both periods of 2015-2019 and 2020-2024 for the state and SJSC Latvijas gaisa satiksme (LGS) have been approved by the European Commission, and they are an integral part of the State Safety Programme.

1 Introduction

Annex 19 to the Chicago Convention determines that each ICAO member state is obliged to establish a civil aviation safety programme (hereinafter – state safety programme), which serves as a management system to determine and manage aviation safety in the state. The state safety programme is implemented according to the size and complexity of the aviation industry of the given member state, and is designed with the aim to ensure the acceptable level of aviation safety established in the state, thus demonstrating the functionality of the state safety programme and safety management system (SMS) of aviation service providers. The requirements regarding the issues of the state safety programme at the European Union level are included in Regulation No 2018/1139 and its implementing rules.

In accordance with ICAO standards and recommended practices, each member state of the Chicago Convention must determine and be able to achieve an acceptable level of aviation safety in the state, which is determined and maintained based on the state safety programme. The concept of the acceptable level of aviation safety complements the aviation safety management approach, which is based not only on the compliance of aviation service providers with the requirements of laws and regulations, but also on the performance analysis of civil aviation activities (*performance based approach*).

The structure of state's safety programme as specified in Annex 19 to the Chicago Convention is used as the basis for the State Safety Programme:

1) safety policy and objectives;
2) safety risk management;
3) safety assurance;
4) safety promotion.

The State Safety Programme is based on the concept of critical elements of ICAO. Section 3 of the State Safety Programme covers ICAO critical elements CE-1, CE-2, CE-3 and CE-4, Sections 4 and 6 include critical elements CE-5 and CE-8, while Section 5 reflects critical elements CE-6 and CE-7.

2 Acronyms and Abbreviations

ADREP	ICAO Accident and Incident Data Reporting System
ANGIIB	Aviation Accident and Incident Investigation Bureau
AOC	Air Operator's Certificate
ATO	Approved Training Organisation
CAMO	Continuing Airworthiness Management Organisation
CAO	Combined Airworthiness Organisation
CAT	Commercial Air Transport
DTO	Declared Training Organisation
EASA	European Union Aviation Safety Agency
EASP	European Aviation Safety Programme
EPAS	European Plan for Aviation Safety
ECAC	European Civil Aviation Conference
ECCAIRS	European Co-ordination Centre for Accident and Incident Reporting Systems
EUROCONTROL	European Organisation for the Safety of Air Navigation
FSTD	Flight Simulation Training Device
GASP	Global Aviation Safety Plan
ICAO	International Civil Aviation Organization
ISO	International Organisation for Standardisation
JAA	Joint Aviation Authorities
JRC	Joint Research Centre (of the European Commission)
NCC	Non-commercial air operations with complex motor-powered aircraft
NCO	Non-commercial air operations with other-than complex motor-powered aircraft
NMO	National training organisation
SAFA/SACA	Safety Assessment of Foreign Aircraft (SAFA) / Safety Assessment of Community Aircraft (SACA)
SMS	Safety Management System
SPAS	State Plan for Aviation Safety
SPO	Specialised operations
SSP	State Safety Programme
TNGIIB	Transport Accident and Incident Investigation Bureau
LUC	Light Unmanned Aircraft System Operator Certificate

3 Aviation Safety Policy and Objectives

3.1 Legal Regulation of Aviation Safety

Since 1992, Latvia has been a member of ICAO and complies with the basic principles, standards and recommendations of the international civil aviation operations defined in the Chicago Convention in order to ensure the safety, security, efficiency and regularity of flights in ICAO member states. According to Article 44 of the Chicago Convention, ICAO's aims and objectives are to develop the principles and techniques of international air navigation and to foster the planning and development of international air transport in order to:

- ensure the safe and development-oriented international civil aviation worldwide;
- meet the needs of the peoples of the world for safe, regular, efficient and economical air transport and;
- promote safety and security of flight in international air navigation.

At the level of the European Union, aviation safety is regulated by the European Union regulations, which are binding in Latvia since Latvia joined the European Union in 2004. The basic requirements are defined in Regulation No 2018/1139 and its implementing rules. The essential requirements of the European Union of civil aviation safety and security are based on ICAO standards and recommended practices.

Aviation safety requirements, applicable to civil aviation in the territory of the Republic of Latvia and not regulated by European Union, are included in the Law On Aviation and in the Cabinet Regulations issued on the basis of the Law On Aviation. The legal acts of the Republic of Latvia in the field of aviation are based on ICAO international standards and recommended practices included in the annexes of the Chicago Convention. There is a list available on the Civil Aviation Agency website's section *Laws and Regulations* with the legal acts of the Republic of Latvia, including the Cabinet Regulations, which, among other, determine the requirements in the aviation safety. In addition to the above-mentioned obligations, the Republic of Latvia has also committed to fulfil its obligations to the European Organisation for the Safety of Air Navigation (EUROCONTROL) and the European Civil Aviation Conference (ECAC).

EUROCONTROL, founded in 1960, coordinates and plans air traffic control Europe-wide. In performing its functions, it cooperates with state institutions, air navigation service providers, civil and military airspace users, airports and other organisations. EUROCONTROL functions cover all gate-to-gate air navigation services, including strategic and tactical flight flow control, air traffic controller training, regional controlled airspace and collection of air navigation service fees. Latvia has been a member of EUROCONTROL since 2011.

ECAC is an intergovernmental organisation that promotes continued development of a safe, efficient and sustainable European air transport system by seeking to promote harmonise civil aviation policies and practices amongst its Member States and, at the same time, promote understanding on policy matters between its Member States and other parts of the world. ECAC's strategic priorities are civil aviation security, safety and the environment issues. Latvia has been a member of ECAC since 1993.

The goal of the Civil Aviation Agency in the field of aviation safety is to ensure compliance with requirements of the European Union and ICAO, thereby guaranteeing a high level of aviation safety. This is achieved by certification and oversight of the personnel and organisations in the field of aviation. In order to accomplish the goal, set by the Civil Aviation Agency, the Civil Aviation Agency keeps up with the aviation safety initiatives of both the European Union and ICAO.

In order to ensure that civil aviation activities of the Republic of Latvia meet ICAO standards and recommended practices, for carrying out its oversight function, the Civil Aviation Agency has developed internal quality procedures, comprising also internal compliance

monitoring and risk management procedure. Upon receiving information on the changes proposed by ICAO to the annexes of the Chicago Convention, the Civil Aviation Agency coordinates the performance evaluation of the Civil Aviation Agency's and civil aviation organisations (air operators, maintenance organisations, training organisations, air navigation service providers and aerodrome operators), thus identifying the performance of overall civil aviation system's compliance with ICAO new amendments. If there are differences identified between the amendments proposed by ICAO in the annexes to the Chicago Convention and the legal acts of the Republic of Latvia, the Civil Aviation Agency acts in accordance with the procedures specified in its Management System manual and, if necessary, initiates the changes in the legal acts of the Republic of Latvia.

Regarding the second edition of Annex 19 to the Chicago Convention, which came applicable on 7 November 2019, Latvia has sent notification of differences to ICAO and prepared an implementation plan for the requirements of Annex 19:

Requirements of Annex 19	Planned Implementation Date
3.3.2.1 c)	It is planned to adopt amendments to Commission Regulation (EU) No 1321/2014 of 26 November 2014 on the continuing airworthiness of aircraft and aeronautical products, parts and appliances, and on the approval of organisations and personnel involved in these tasks and to apply them from the 3rd quarter of 2022.
3.3.2.1 d)	It is planned to adopt amendments to Commission Regulation (EU) No 748/2012 of 3 August 2012 laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organisations and apply them from the 3rd quarter of 2022.
4.1.5	It is planned to adopt amendments to Commission Regulation (EU) No 1321/2014 of 26 November 2014 on the continuing airworthiness of aircraft and aeronautical products, parts and appliances, and on the approval of organisations and personnel involved in these tasks and to apply them from the 3rd quarter of 2022.
4.1.6	It is planned to adopt amendments to the Commission Regulation (EU) No 748/2012 of 3 August 2012 laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organisations and apply them from the 3rd quarter of 2022.
4.1.7	

The Civil Aviation Agency, as an active participant in oversight and promotion of the European and international civil aviation safety, takes part in the discussion of the European Plan for Aviation Safety. Representatives of the Civil Aviation Agency are members of various working groups and events promoting aviation safety. The interaction scheme of the institutions in the field of aviation safety is shown in Appendix 1.

3.2 Aviation Safety Policy Statement

The aviation safety policy statement reflects the commitment of the Republic of Latvia to fulfil its obligations regarding the management of aviation safety in the state and the

achievement of set goals in aviation safety. The aviation safety policy statement was prepared in accordance with the guidelines of ICAO document No 9859.

3.3 Duties and Responsibilities of Aviation Safety

Annex 19 to the Chicago Convention requires member states to develop a state's safety programme in order to achieve an acceptable level of safety. Guidelines for the development of the state's safety programme are defined in ICAO document No 9859.

The member states of the European Union have agreed to jointly implement the requirements for aviation safety, thereby determining that the development of the state's safety programme is not solely the responsibility of the member states, but also depends on the European Union's policy and principles in aviation safety. At the level of the European Union, the member states are bounded by the European Plan for Aviation Safety. The Republic of Latvia and other European Union member states take part in the development and discussion of the Global Aviation Safety Plan (GASP).

On 1 September, 1993, the Civil Aviation Administration of Latvia was established by Order No 220 of the Ministry of Transport of the Republic of Latvia for the management function of civil aviation safety in the state. On 1 January 2006, the Civil Aviation Administration was transformed into the state agency "Civil Aviation Agency".

In accordance with Section 6 of the Law On Aviation, a prospective development programme and draft conceptions for civil aviation are developed by the Aviation Department of the Ministry of Transport of the Republic of Latvia, while the Civil Aviation Agency:

- exercises State oversight of the use of the airspace of the Republic of Latvia and civil aviation operations, as well as certification of civil aviation personnel and organisations;
- draw ups measures to ensure civil aviation safety and security;
- prepares the laws and regulations governing civil aviation operations;
- examines the cases of administrative offences in the field of civil aviation and imposes administrative penalties in accordance with the procedure established by law;
- investigates incidents in cases when such investigations are not performed by the Transport Accident and Incident Investigation Bureau.

The structure of the Civil Aviation Agency is shown in Figure 1. Under the authority of the director of the Civil Aviation Agency, there are 12 structural units dealing with such issues as air navigation, aviation security, aviation medicine, personnel licensing, the European Union and Foreign affairs, aircraft and unmanned aircraft operations, aerodrome standards and safety, airworthiness, finance, audit and quality management, legal oversight of aviation safety and personnel qualification.

The director of the Civil Aviation Agency is appointed by the Minister of Transport. The Director of the Civil Aviation Agency is under the direct authority of the Minister of Transport.

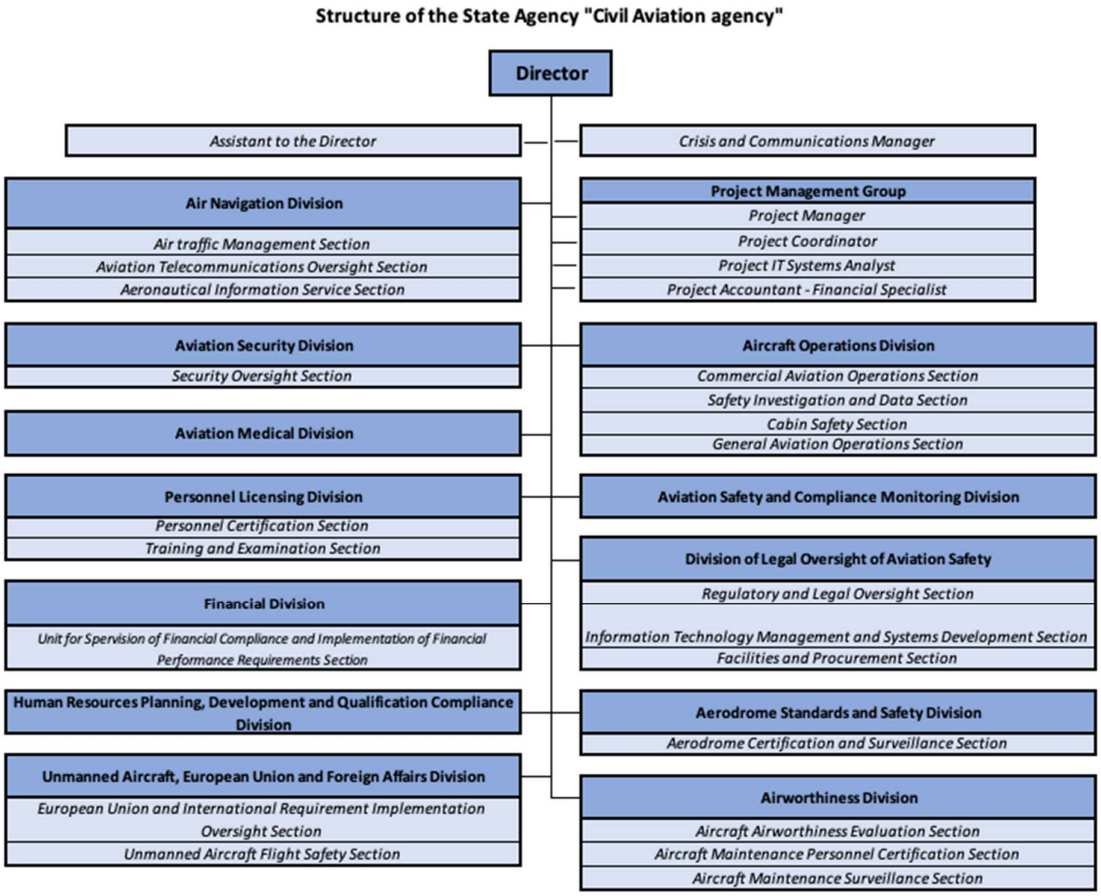

Figure 1. Structure of the State Agency "Civil Aviation Agency".

The ultimate responsibility for the development of the State Safety Programme and its regular reviews lies with the director of the Civil Aviation Agency.

The responsibilities of the Civil Aviation Agency include the development and amendment of the State Safety Programme in accordance with the guidelines of ICAO document No 9859. The State Safety Programme review frequency depends on the frequency of amendments to the European Aviation Safety Programme or ICAO document No 9859 applicable to its Member States. The State Safety Programme is regularly reviewed in order to fully reflect all changes related to aviation safety in the Republic of Latvia. The State Safety Programme is approved by the director of the Civil Aviation Agency. Whereas, the use of the airspace of the Republic of Latvia is coordinated and managed by SJSC Latvijas gaisa satiksme, (LGS) which is subject of the Ministry of Transport of the Republic of Latvia.

3.4 Investigation of Aviation Accidents and Incidents

In the Republic of Latvia, civil aviation accidents and incidents are investigated by the Transport Accident and Incident Investigation Bureau (hereinafter – TNGIIB). Aviation Accident and Incident Investigation Bureau (hereinafter – ANGIIB) was set up on 1 January 2006 as a subordinate institution of the Ministry of Transport by the Cabinet Regulation No 822 of 21 December 2005. Starting from 1 July 2007, the ANGIIB was renamed as the Transport Accident and Incident Investigation Bureau. Currently, TNGIIB conducts aviation accident and incident investigations, railway accident investigations, and marine accident and incident investigations.

TNGIIB is functionally independent from all other aviation institutions of the Republic of Latvia, which assess the airworthiness of aircraft, certify air operators, organise flights,

provide maintenance of aircraft, assess personnel qualifications and organise air traffic control and airport operations.

In accordance with the conditions of the Section 6, Paragraph three of the Law On Aviation, TNGIIB performs the following functions:

- investigates civil aviation accidents, serious incidents and, if it is necessary for the improvement of aviation safety, also incidents;
- develop safety recommendations for the prevention of the causes of civil aviation accidents, serious incidents and incidents in the future operations of civil aviation and control the compliance with such aviation safety recommendations;
- notify the Ministry of Transport of any civil aviation accidents, serious incidents, and incidents that have occurred in the territory of the Republic of Latvia and in other countries;
- notify the bodies referred to in Article 9(2) of Regulation No 996/2010 of any civil aviation accidents, serious incidents, and incidents that have occurred in the territory of the Republic of Latvia.

The procedures for the investigation of civil aviation accidents and incidents are prescribed by the Cabinet Regulation No 423 of 31 May 2011 "Procedures for Investigation of Civil Aviation Accidents and Incidents". Civil aviation accidents, serious incidents and incidents shall be investigated pursuant to Annex 13 to the Chicago Convention on International Civil Aviation signed on 7 December 1944 (hereinafter - Convention) and Regulation (EU) No 996/2010 of the European Parliament and of the Council of 20 October 2010 on the investigation and prevention of accidents and incidents in civil aviation and repealing Directive 94/56/EC.

The only aim of investigating civil aviation accidents and incidents is to increase the aviation safety and to prevent the recurrence of aviation accidents and incidents, as well as to develop safety recommendations if necessary. The investigations conducted by the TNGIIB are in no way related to the finding out an individual guilt or responsibility.

3.5 Compliance Policy

In order to ensure compliance of aviation service providers in the territory of the Republic of Latvia with the international, the European Union and the Republic of Latvia laws and regulations of the aviation industry, the Civil Aviation Agency annually conducts the oversight of the service providers' activities in accordance with the inspection and audit plan, as well as in accordance with the provisions of the Law On Aviation prohibits activities related to the use of airspace of the Republic of Latvia or operation of civil aviation aircraft, aerodromes and other civil aviation objects and equipment, if the provisions of this law and other legal acts issued on the basis thereof are violated, and also actions that endanger aviation safety and examines the cases of administrative offence in the field of civil aviation, as well as imposes administrative penalties in accordance with the Law on Administrative Liability.

The Law on Administrative Liability, in force since 1 July 2020, prescribes the basic rules of administrative liability, progress of administrative offence proceedings, enforcement of administrative penalties and also international cooperation in administrative offences proceedings, while specific penalties are provided in sectoral laws. Liability for offences in civil aviation is stipulated in the Law On Aviation.

In case of violations of international, European Union, as well as the state's laws and regulations, the Civil Aviation Agency can perform the actions entrusted to it – suspend, limit or revoke licenses, certificates and other documents issued if the safety of civil aviation is affected.

4 Aviation Safety Risk Management

For carrying out an effective management of aviation safety risks both in terms of quality and resources, the state brings about not only common reactive actions, i.e., accident investigations, but also proactive actions.

In accordance with the requirements specified in the annexes to the Chicago Convention and the implementing rules of Regulation No 2018/1139, the aviation safety management system must be introduced for:

- aircraft and unmanned aircraft operators;
- maintenance and continuing airworthiness management organisations;
- aircrew training organisations;
- air navigation service providers;
- aerodrome operators;
- flight simulator qualification certificate holders;
- aero-medical centres.

In accordance with the requirements of legal acts of the Republic of Latvia, the Civil Aviation Agency:

a) requires service providers to implement SMS;
b) verifies whether the service provider's SMS is acceptable to the Civil Aviation Agency;
c) verifies and ensures that service providers' SMS is effective, as well as hazard identification and risk management/mitigation processes are effective.

Taking into account the provisions of the ICAO guidelines, the Civil Aviation Agency as an oversight institution also uses the principles of aviation safety management in its activities, for example, when developing binding legal acts of the aviation industry or setting risk-based priorities in oversight.

4.1 Agreement with Service Providers on Aviation Safety Indicators

The European Plan for Aviation Safety prescribes that aviation safety indicators and parameters should be set out by each member state. EASA member states, based on the aviation safety indicators and goals determined at the European Union level, stipulates the aviation safety indicators and goals to be achieved at the state level consisting of systemic level, operational level and the state safety programme level. In the Republic of Latvia, the Civil Aviation Agency and service providers mutually agree on aviation safety performance indicators and goals that indicate the overall level of aviation safety in the state.

The aviation safety performance indicators (SPI) and targets (SPT) reflected in the SMS of service providers must comply with the aviation safety performance indicators (SPI) and targets (SPT) determined in the state’s safety management system. State-defined SPI and SPT are included in the State Plan for Aviation Safety.

The oversight of the state's overall aviation safety performance is carried out by EASA and ICAO, taking into account the requirements specified in Annex 19 to ICAO.

4.2 Aviation Safety Management System Requirements for Service Providers

ICAO defines a safety management system as a systematic approach to managing safety, including the necessary organisational structures, accountability, responsibilities, policies and procedures.

The content and functionality of the service providers' aviation safety management system must be relevant for the size and complexity of the organisation, acceptable to the Civil Aviation Agency and consistent with the ICAO Safety Management System outlining:

- regular identification of safety hazards;
- implementation of improvements necessary to maintain the level of aviation safety agreed on by the service providers and the Civil Aviation Agency;
- continuous monitoring and regular assessment of the safety level.
- continuous improvement of the effectiveness of the aviation safety management system.

At the level of the European Union, the requirements for SMS implementation are prescribed both in Regulation No 2018/1139 and its implementing rules. Before developing and implementing SMS, service providers should familiarize themselves with European Union level regulations and ICAO Document No 9859, where the main concepts of aviation safety are presented, helping understand the importance of the aviation safety management system in activities performed by service providers.

4.2.1 Aircraft and Unmanned Aircraft Operators

The requirements for air operators regarding SMS are established in the Commission Regulation (EU) No 965/2012 of 5 October 2012, laying down technical requirements and administrative procedures related to air operations pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council (hereinafter – Regulation No 965/2012). The requirements set out in Regulation No 965/2012 apply to all air operators obtaining air operator certificate (AOC) and all air operators who are obliged to declare their activities in accordance with the requirements of Regulation No 965/2012.

The air operators who have been certified in the Republic of Latvia perform activities to fully comply with ICAO and the European Union requirements regarding safety management system within the organisation, including:

- top management's commitment in the field of SMS;
- hazard identification;
- preventative risk assessment and mitigation;
- promotion of aviation safety;
- communication on aviation safety issues.

The Regulation No 965/2012 applies to commercial air transport (CAT) operations with aeroplanes and helicopters, non-commercial operations with complex motor-powered aircraft (NCC), non-commercial operations with other than complex motor-powered aircraft (NCO), specialised operation (SPO). For operators engaged in commercial air transport (CAT) operations with airplanes and helicopters, non-commercial operations with complex motor-powered aircraft (NCC), non-commercial operations with other than complex motor-powered aircraft (NCO) and specialised operations (SPO), SMS should be established and maintained. Derogations from the mentioned requirements are permissible only for non-complex organisations.

The requirements regarding the SMS of the operator of unmanned aircraft are included in the Commission Implementing Regulation (EU) 2019/947 of 24 May 2019 on the rules and procedures for the operation of unmanned aircraft (hereinafter – Implementing Regulation (EU) 2019/947). The requirements set out in Implementing Regulation (EU) 2019/947 apply to specific categories of unmanned aircraft operators, holding the light unmanned aircraft system operator certificate (LUC).

4.2.2 Maintenance Organisations

For organisations related to airworthiness, SMS requirements are planned to be implemented gradually. SMS requirements for continuing airworthiness management organisations (CAMO) are embedded in the Part-CAMO, Annex Vc to Commission Regulation No 1321/2014. Requirements for design and production organisations as well as maintenance

organisations are planned to be introduced with amendments to Regulation No 1321/2014 and Regulation No 748/2012, introducing SMS requirements:

- Part-21 regarding design (Subpart J) and production (Subpart G) organisations;
- Part-145 regarding maintenance organisations.

SMS requirements are not planned to be implemented for Part-147 Maintenance training and examination organisations, albeit SMS elements are planned to be included in the Part-66 Basic Knowledge syllabus (RMT.0255).

SMS requirements have not been implemented in Part-CAO (Regulation No 1321/2014, Annex Vd), which sets requirements for combined airworthiness organisations.

4.2.3 Aircrew Training Organisations, Flight Simulator Qualification Certificate Holders, Aero-Medical Centres

The requirements for SMS regarding approved training organisations (ATOs), flight simulation training device (FSTD) qualification certificate holders and aero-medical centres (AeMC) are currently defined in Regulation (EU) No 1178/2011 of 3 November 2011, laying down technical requirements and administrative procedures related to civil aviation aircrew pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council and its amendments (hereinafter – Regulation No 1178/2011).

Derogations from the basic requirements for the implementation of SMS for training organisations providing training for applicants and holders of light aircraft pilot licence (LAPL), private pilot licence (PPL), student pilot licence (SPL) and balloon pilot licence (BPL) are incorporated in Regulation No 1178/2011 ORA.GEN.200 (c).

The requirements for safety policy of declared training organisations (DTOs) are defined in Annex VIII (Part-DTO) to Regulation No 1178/2011.

The requirements for safety policy referring to national training organisations (NMOs) providing training for the light aircraft pilot licence and the associated ratings and certificates for the privileges to conduct flights with the aircrafts specified in Annex I to Regulation No 2018/1139, are determined in the Cabinet Regulations No 373 “The procedure in respect of pilot training organisations”, issued in accordance of Section 31, Paragraph three of the Law On Aviation.

4.2.4 Air Navigation Service Providers

The requirements for SMS regarding to air navigation service providers are defined in Commission Implementing Regulation (EU) 2017/373 of 1 March 2017 laying down common requirements for providers of air traffic management/air navigation services and other air traffic management network functions and their oversight, repealing Regulation (EC) No 482/2008, Implementing Regulations (EU) No 1034/2011, (EU) No 1035/2011 and (EU) 2016/1377 and amending Regulation (EU) No 677/2011 (hereinafter – Regulation No 2017/373). Taking into account the requirements of Regulation No 2017/373, air navigation service providers in the Republic of Latvia shall have in place a SMS. In accordance with the requirements of Regulation No 2017/373, the service provider may use and apply only those procedures and introduce only those changes that have been approved by the Civil Aviation Agency as the competent authority.

Considering the fact that the European Union has introduced SMS requirements for air navigation service providers and continues to work on the development of SMS standards for other service providers, it is not planned to set requirements for SMS at the national level. According to ICAO Document No 9870 “Manual on the Prevention of Runway Incursions”, Local Runway Safety Teams (LRST) have been established at airports, incorporating representatives of aerodromes, air navigation service providers and airspace. The Civil Aviation Agency can participate in these meetings as an observer and monitors the safety of runway use.

Within the framework of aviation safety oversight and the implementation of Regulation No 2017/373, the Civil Aviation Agency has approved the Change Management, Safety Support Assessment and Occurrence Reporting Manuals developed by SJSC Latvijas gaisa satiksme (LGS), forming integral parts of the Management System of SJSC Latvijas gaisa satiksme (LGS), ensuring provision of safe services in the Riga Flight Information Region (hereinafter – Riga FIR). The Riga FIR consists of the sovereign airspace of the Republic of Latvia and ICAO-delegated airspace over neutral waters.

Regarding the airspace of the Republic of Latvia, where air traffic management services of SJSC Latvijas gaisa satiksme (LGS) are provided and reliable statistics on aircraft movements are available, the Civil Aviation Agency has approved the quantitative safety level of SJSC Latvijas gaisa satiksme (LGS) as aviation accidents 1.55x10 ^(- 9) with full ATM/ANS contribution for 1 flight hour in the entire Riga FIR. The maintenance of the quantitative safety level is monitored constantly, taking into account the operation of functional system of individual air traffic management systems, and information on the progress of this monitoring is provided to the Civil Aviation Agency. The Civil Aviation Agency monitors the aviation safety management processes of air navigation service providers within the framework of annual audit and inspection programme.

The requirements for SMS regarding air traffic controllers' training providers are included in Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

4.2.5 Aerodrome Operators

In order to get the aerodrome certification in the territory of the Republic of Latvia, aerodrome operators are required to comply with the Cabinet Regulations No 635 of 1 August 2006 "Regulations on Civil Aviation Aerodromes Creation, Certification and Operation" and Commission Regulation (EU) No 139/2014 of 12 February 2014 laying down requirements and administrative procedures related to aerodromes pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, stating for the aerodrome operators obligation to implement and maintain management system, comprising also SMS elements.

4.3 Aviation Safety Management

According to the European Aviation Safety Programme Manual, EASA has decided to implement an aviation safety programme in Europe using the Deming cycle – PLAN-DO-CHECK-ACT, each cycle facilitate a process of continuous improvement.

The scheme developed by EASA proposes that during the PLAN phase, in which aviation safety issues are identified at the state level, the responsible authorities of the Member State:

- collect and compile aviation safety data (accidents, incidents, voluntary reports, inspection results, etc.);
- develop a systematic method to identify hazards;
- identify potential new potential issues (e.g. climate change);
- conduct risk assessment to identify priorities;
- develop 2nd Tier (high level risks) to monitor key safety areas;
- establish achievable targets for further activities with available resources.

The DO phase comprises the activities that the state and the civil aviation organisations under its oversight do to manage SMS in accordance with the specifics of their scope of activities.

The DO phase consists of core functions as follows:

- development of legal acts in areas not covered by Regulation No 2018/1139;
- oversight in the field of aircraft airworthiness, operation, air navigation, and aerodromes;
- promotion of aviation safety, comprising investigation of aviation accidents and incidents and data analysis, dissemination of information on aviation safety, as well as the development of scientific works in areas relevant to the aviation industry of the Republic of Latvia.

CHECK phase are the activities conducted to check the performance of the state in order to make sure that the initial expectation of the functionality and effectiveness of the Civil Aviation Safety Programme of the Republic of Latvia are being met in practice. This phase also includes work with appropriately selected safety performance indicators that illustrate the improvement or decrease of aviation safety in specific areas, such as runway excursion, loss of control in flight, airspace infringement, etc. In this phase, the state checks its performance over a specified period of time against its Plan for Aviation Safety.

In the CHECK phase, the state:

- reviews the compliance of the activities of both the responsible authorities and civil aviation organisations with the Civil Aviation Safety Programme of the Republic of Latvia and the goals set in its Plan for Aviation Safety;
- is involved in updating the EASP.

In the ACT phase, the state carries out actions to eliminate deficiencies that occurred during the implementation of its Plan for Aviation Safety. The decision regarding the actions that are necessary actions is based on the monitoring of performance carried out during the CHECK phase, as well as on the oversight data collected on the DO phase.

During the ACT phase, the state:

- initiates and implements actions to improve the Civil Aviation Safety Programme of the Republic of Latvia;
- responds to the results of the analysis of the SSP functionality.

Figure 2. Expanded Deming cycle

4.4 Hazard Identification and Safety Risk Management

Hazard and current issues identification has one of the most important roles in state's aviation safety management. In order to effectively identify potential hazards, all possible sources of information must be gathered. The sources of aviation safety information mainly mean the mandatory and voluntary occurrence reporting system of civil aviation, aviation data analysis (safety information provided by organisations – reports, aviation safety investigation results, bulletins), analysis of inspection and audit results performed during oversight, safety assessment of foreign aircraft (SAFA/SACA) outcome examination, analysis of training exam results. Information received from other countries and the goals set in the European Plan for Aviation Safety for improving aviation safety can also be considered as safety information.

The principles of safety risk management are no different for service providers and state institutions – their main goal is to identify hazards and reduce their potential consequences. When necessary, control measures are applied to eliminate the hazard or reduce the level of risk to an acceptable level. Such activities may include issuance of airworthiness directives, change of certification standards, changes in legal acts, changes in aviation safety policy, preparation of aviation safety promotion programs, organising safety seminars and working groups, etc. The objective of aviation safety risk management is to ensure risk control and compliance with ALoSP.

Both reactive and proactive approaches are used to identify hazards, which can result from the information provided in incident reports, from oversight activities and from the decrease of aviation safety performance level observed during oversight on daily bases (statistical analyses). It should be taken into account that hazards exist at all levels of the aviation system. Accidents and incidents occur when hazards meet triggering factors, meaning that hazards must be identified and eliminated on time.

An effective hazard identification process is ensured by:

a) enabling access to safety information;
b) establishing a safety analysis team with appropriate analytical capabilities, relevant aviation experience, appropriate training and experience in hazard identification techniques;

c) allocating resources to perform the necessary actions.

Hazards shall be identified starting any new activity (system development), changing existing activities (system changes), as well as within the framework of constant monitoring, for example, as a result of data monitoring analysis if the amount of hazard increases.

The assessment and control of aviation safety risks is performed in a such way as to improve the entire aviation system as a whole. Model-based risk assessment can be performed variously, choosing the most effective way in the given environment and not causing new hazards.

The Civil Aviation Agency develops, registers and recommends safety risk mitigation/risk control strategies, for example, takes immediate actions in relation to service providers, initiates amendments in legal acts, issues the administrative acts, distributes announcements, materials, organises information campaigns, etc. The proposed aviation safety risk control measures are evaluated – ideally, they should be reasonable in terms of costs, easy and quick to perform, effective and should not introduce unwanted side effects into the system. The effectiveness of the proposed measures should be evaluated to make sure they deliver the expected results.

5 Aviation Safety Assurance

5.1 Safety Management System Monitoring

The Aviation Safety and Compliance Monitoring Division of the Civil Aviation Agency monitors the compliance of the Civil Aviation Agency's operations with internal procedures and international, including European Union, laws and regulations, and ensures that internal processes meet the requirements of LVS EN ISO 9001:2015. On 6 October 2006, the Civil Aviation Agency received the first LVS EN ISO 9001:2008 certificate confirming that the management system of the Civil Aviation Agency is structured and internationally recognised, thus allowing the Civil Aviation Agency to assess the structure of its internal processes and compliance with the ISO standard. In 2018, the quality management system of the Civil Aviation Agency was recertified according to the requirements of the LVS EN ISO 9001:2015 standard stating the necessity for the competent authority to develop a risk management procedure. The certificate is issued for three years and the last re-certification was carried out on 6 July 2021, confirming that the competent authority has performed its functions effectively for developing, maintaining and improving management system and that the requirements for the aviation industry and laws and regulations are understood and followed, but risks and opportunities, affecting service compliance with requirements, are identified and managed.

The long-term audit development plan of the Civil Aviation Agency determines that all identified management, operating and support processes of the Civil Aviation Agency are audited at least once every two years, ensuring that internal audits are evenly distributed during this period.

As part of the air navigation performance improvement plan, the Civil Aviation Agency annually reviews the self-assessment of the air navigation services in the implementation of just culture, the effectiveness of the safety management system and the use of the risk analysis tool, as well as reports at a national level oversight institution covering the relevant aspects. The prepared report is sent to EASA within the implementation of air navigation performance improvement plan.

A summary report on aviation safety objectives and other objectives on flexible use of airspace, air traffic flow and economic issues is submitted annually to the European Commission as part of the oversight process.

Also, international ICAO oversight regularly is carried out in the Republic of Latvia, during which Latvia's ability to implement basic ICAO requirements in the field of aviation safety is examined. The oversight of the Civil Aviation Agency at the European level is performed by EASA in accordance with the Commission Implementing Regulation (EU) No 628/2013 of 28 June 2013 on working methods of the European Aviation Safety Agency for conducting standardisation inspections and for monitoring the application of the rules of Regulation (EC) No 216/2008 of the European Parliament and of the Council and repealing Commission Regulation (EC) No 736/2006. In accordance with the requirements of Article 7 of the mentioned Regulation, a Continuous Monitoring Report is issued twice a year, in which the competent authority’s, i.e., the Civil Aviation Agency’s ability to fulfil the safety oversight functions and tasks assigned to it is assessed as one of the indicators being taken into account is the size and complexity of the aviation industry and the staff and financial resources allocated for oversight. Guided by the principle of continuous monitoring, which is implemented, taking into account the above-mentioned continuous monitoring report, EASA adapts the inspection programme reflecting both improvements of safety indicators and their deterioration in Member States.

5.2 Acceptable Level of Safety Performance (ALoSP)

Currently, it is difficult for European Union countries to perform a comparative assessment of the safety performance indicators (SPI) of the service providers and the state’s

safety indicators due to the lack of such regional or international indicators that would allow determining an adequate level of safety performance target (SPT) in the state. For this reason, the assessment of the aviation safety status is mostly entrusted to service providers whose SPI/SPT are coordinated with the Civil Aviation Agency, which carries out the activities defined in the oversight programme to control the effectiveness of the SMS.

Nevertheless, in Latvia, SPIs considered as priority aviation safety indicators are measured, which are included in EPAS, developed by EASA in consultation with EU member states.

These SPIs include the following unwanted events and their indicators that may lead to:

1. in commercial aviation (aeroplane) – aeroplanes upset in flight (LOC-I), runway safety (RI/RE), near collision in the air (MAC), ground safety (RAMP), collision or near collision with the ground or near-controlled flight into terrain (CFIT), environment of the aircraft;
2. operation of helicopter –helicopters upset in flight (LOC-I), as well as the risk of collision with the ground and objects;
3. General aviation – maintenance of control, meteorological conditions, prevention of midair collisions, flight control.

Information on SPI/SPT can be found in Section 5.1 of the State Safety Programme and in the Plan for Safety of Republic of Latvia. Achieving these goals requires cooperation and coordination of activities between service providers and the Civil Aviation Agency.

6 Aviation Safety Promotion

6.1 Training, Communication and Sharing of Aviation Safety Information

6.1.1 Training at the Civil Aviation Agency

Employees of the Civil Aviation Agency, upon commencing, takes training participate in training in accordance with the initial training plan, and also, during employment at the Civil Aviation Agency, attend courses, seminars, etc., to maintain their qualification according to the annual Qualification Plan of the Civil Aviation Agency.

Each employee's participation in refresher or recurrent training is documented in accordance with the Civil Aviation Agency's internal procedures.

Training in the field of aviation safety management is a part of the Civil Aviation Agency's employee qualification plan, within the framework of which Civil Aviation Agency employees attend training organised by ICAO, JAA and other training providers.

6.1.2 Communication and Sharing of Information in the Civil Aviation Agency

Communication and sharing of information in the field of aviation safety at the Civil Aviation Agency is closely related to mandatory and voluntary reporting. The Civil Aviation Agency organises meetings in which the responsible employees of Civil Aviation Agency's divisions examine the incidents received through mandatory and voluntary reporting and analyse their impact on the aviation safety.

Upon receiving the aviation final reports from foreign or the Republic of Latvia transport accident and incident investigation bureaus, the Civil Aviation Agency registers recommendations and controls their implementation in practice.

After receiving recommendations from aviation accident and incident investigation bureaus (foreign or the Republic of Latvia), the Civil Aviation Agency analyses the recommendations and evaluates their applicability in the operation of civil aviation organisations or in the Civil Aviation Agency.

The Civil Aviation Agency regularly follow up the latest safety information bulletins of various aircraft and related parts manufacturers and civil aviation authorities. The implementation of bulletin recommendations in practice is controlled in accordance with the operating procedures developed by the Civil Aviation Agency.

6.2 Training, Communication and Sharing of Aviation Safety Information Outside the Civil Aviation Agency

6.2.1 Training Outside the Civil Aviation Agency

In order to promote the understanding of aviation service providers on the territory of the Republic of Latvia about the aviation safety management system as a whole and its components, the Civil Aviation Agency in cooperation with the ICAO and JAA training organisation has organised training on SMS issues, in which both representatives of the Civil Aviation Agency and representatives of service providers participated. In such way, the Civil Aviation Agency and industry representatives were provided with a common vision of what must be achieved in the field of aviation safety both at the sate's and service providers level.

6.2.2 Communication and Sharing of Aviation Safety Information Outside the Civil Aviation Agency

The Civil Aviation Agency annually publishes an aviation safety review, prepared in accordance with the requirements of Paragraph nine of Cabinet Regulation No 634 of 3 November 2015 "Procedures for Reporting Occurrences in Civil Aviation", in order to inform the public of the level of civil aviation safety in Republic of Latvia. In the review, aggregated information on the incidents reported within the Republic of Latvia reporting system is

published and, by means of analysis, the hazards, aviation safety performance indicators, a list of the most important factors, as well as the effectiveness of the Civil Aviation Agency's activities in the field of flight safety monitoring are determined. The safety review can be found on the website of the Civil Aviation Agency: *https://www.caa.gov.lv/lv/drosibas-parskati*.

Every year, the Civil Aviation Agency organises a refresher seminar for general aviation flight instructors with the focus on current issues of general aviation safety and latest amendments in legislation. For commercial aviation organisations, the Civil Aviation Agency holds meetings on current issues in the field of aviation safety and legislative changes as necessary.

In accordance with the statutes of the Civil Aviation Agency, the Civil Aviation Agency publishes recommendations and advisory materials as a part of Aircraft Operations Division Communication Documents (AOD COM), comprising disclosure and implementation guidelines of the legal acts applicable to air operators.

6.2.3 Aviation Safety Data Circulation

One of the basic elements of the aviation safety management system of the Republic of Latvia is the civil aviation incident reporting system, developed on the requirements of the Regulation (EU) 376/2014 of the European Parliament and the Council of 3 April 2014 on reporting, analysis and follow-up of occurrences in civil aviation and repealing Regulation (EU) No 996/2010 of the European Parliament and of the Council and Directive 2003/42/EC of the European Parliament and of the Council, and Regulations (EC) No 1321/2007 and (EC) No 1330/2007 (hereinafter – Regulation No 376/2014).

The information included in the ECCAIRS database serves only to improve aviation safety, properly protects the reporter and other persons mentioned in the occurrence reports in order to guarantee the constant availability of aviation safety information.

The requirements for collecting, storing, protecting and sharing information about occurrences in civil aviation are set out in Regulation 376/2014 and Cabinet Regulation No 634 of 3 November 2015 “Procedures for Reporting Occurrences in Civil Aviation”. The list of mandatorily reportable incidents can be found in Commission Implementing Regulation (EU) 2015/1018 of 29 June 2015 laying down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014 of the European Parliament and of the Council.

All received occurrence reports are registered in the ECCAIRS database, which has been maintained and used by the Civil Aviation Agency since May 2006. The ECCAIRS database records both voluntary and mandatory reported occurrence reports: incidents, serious incidents and aviation accidents. Since 19 June, 2008, data from the national database are regularly included in the European Central Repository.

On receiving reports, the Civil Aviation Agency:

a) evaluates and enters the data into the ECCAIRS database;
b) decides which of the occurrences need to be investigated and whether additional information shall be requested;
c) verifies whether the air operators (AOC), maintenance organisations, air navigation service providers (ANS) and other organisations take the necessary actions to prevent or correct the situations reflected in the reports;
d) asks foreign institutions responsible for aviation to take the necessary actions to prevent or correct the situations reflected in the reports;
e) analyses the reports as a whole to detect negative trends that are not noticeable individually per each reporter;

f) in accordance with the requirements of the legal acts of the Republic of Latvia, publishes the safety information obtained from the reports;
g) communicates the outcome of the aviation safety analysis to those who could benefit from them in the field of aviation safety;
h) within the scope of its competence, provides recommendations or instructions to individual industry sectors;
i) within the scope of its competence, performs activities related to the changes of legal acts;
j) exchange data with other member states of the European Union.

Mandatory and voluntary occurrence reporting systems serve as means for assessing the level of aviation safety, as well as its possible improvement. The voluntary reporting system facilitate the collection of details on occurrences that are not subject to mandatory reporting, but often reveal latent conditions, thus free data exchange is essential for aviation safety analysis. Free data exchange of information is promoted by the principle of 'just culture' or reporting culture. This means that the reports are collected solely for the purpose of improving the level of aviation safety, identifying the causes of incidents and existing hazards. They are not collected to punish anyone, but to identify and analyse deficiencies, especially systemic deficiencies, and to eliminate them. The principle of the 'just culture' does not tolerate occurrences related to wilful violations or gross negligence and destructive acts of an obvious risk and profound failure of professional responsibility.

Regarding information exchange, the Civil Aviation Agency constantly cooperates with ICAO, European Union institutions, accident and incident investigation bureaus and national aviation institutions.

Civil Aviation Safety Policy Statement of the Republic of Latvia

Civil aviation safety management is one of the main responsibilities of the Republic of Latvia in the field of aviation. In the Republic of Latvia, the state agency "Civil Aviation Agency" carries out oversight and implements the state policy in the field of civil aviation safety. The Republic of Latvia is committed to develop, implement, maintain and constantly improve strategies and processes to guarantee that for any activity performed in the aviation industry, that takes place under the oversight of the Republic of Latvia, the highest possible level of aviation safety is ensured, maintaining compliance with the state's and international standards.

The civil aviation organisations of the Republic of Latvia must prove that their safety management systems adequately reflect aspects of aviation safety. By means of this approach it is expected improvement of aviation safety management and safe practices, including the reporting on aviation safety issues.

The accountable managers of civil aviation organisations of the Republic of Latvia are responsible for ensuring a high level of aviation safety in the Republic of Latvia.

The Republic of Latvia undertakes:

a) to develop general policy framework for the development of legal acts and the performance of certain activities according to the principles of aviation safety management and a comprehensive analysis of the state's aviation system;
b) to consult with representatives of aviation industry segments on issues related to the development of legal acts;
c) to support the management of aviation safety in the state by providing an effective aviation safety reporting and communication system;
d) to cooperate with service providers in solving aviation safety problems;
e) to ensure the efficient use of the resources of the state agency "Civil Aviation Agency" and the availability of qualified personnel for the performance of oversight functions;
f) to perform aviation safety monitoring by means of the aviation safety risk analyses and priorities of resource allocation;
g) to comply with both the state's and European Union requirements, as well as international requirements and standards and, wherever possible, to set higher requirements and standards in the field of aviation safety;
h) to stimulate the aviation industry, to apply the concepts and principles of aviation safety management and to promote the education of aviation industry in the field of aviation safety;
i) to monitor the implementation of the aviation safety management system in civil aviation organisations;
j) to ensure that all oversight activities meet the highest standards of aviation safety;
k) to take measures to protect the collection and processing of aviation safety data in order to encourage persons to provide essential aviation safety related information about hazards and to ensure a continuous aviation safety management data flow and exchange between the Republic of Latvia and service providers;
l) to maintain the Civil Aviation Safety Programme of the Republic of Latvia and to assess its actual progress of implementation, taking into account clearly defined aviation safety indicators and aviation safety targets.

The policy of the Republic of Latvia in the field of civil aviation safety must be respected by all employees of the Civil Aviation Agency performing aviation safety oversight.

Director of the State Agency "Civil Aviation Agency"