



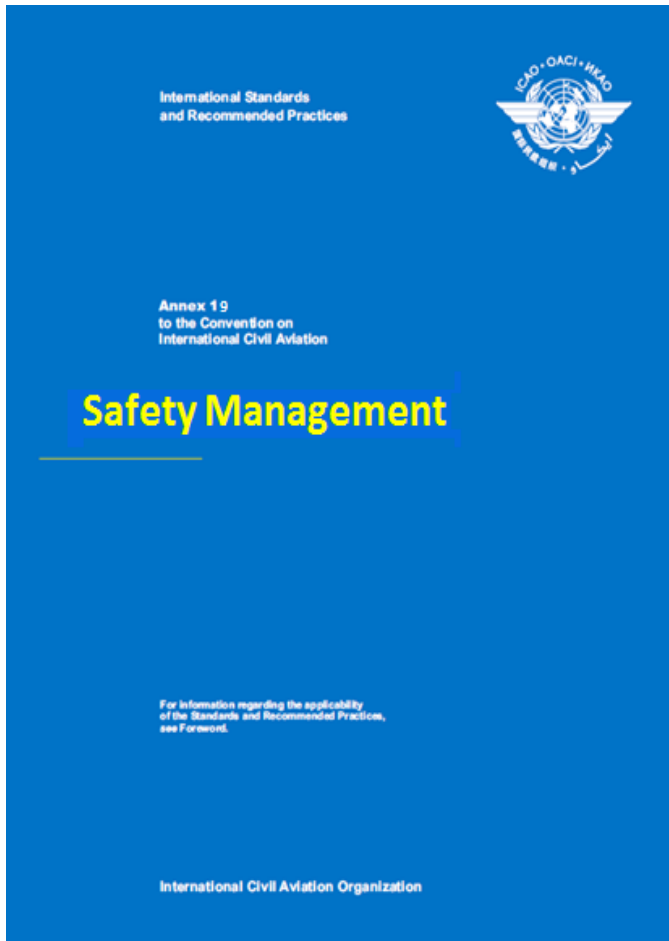
INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

USOAP Continuing Monitoring Approach (CMA): Roll-Out of State Safety Programme (SSP)

October 2015 Update

Annex 19



- Adopted by the Council on 25 February 2013;
- Became effective on 15 July 2013; and
- Became applicable on 14 November 2013.

Annex 19, Chapter 3

State Safety Management Responsibilities



3.1 State safety programme (SSP)

3.1.1 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:

- a) State safety policy and objectives;
- b) State safety risk management;
- c) State safety assurance; and
- d) State safety promotion.

3.1.2 The acceptable level of safety performance to be achieved shall be established by the State.

Annex 19, Chapter 3

State Safety Management Responsibilities



- The sources of the Annex 19 provisions are found in Attachment D to State Letter AN 8/3-13/30, which is posted on the ICAO Safety Management website:
<http://www.icao.int/safety/SafetyManagement/Pages/SARPs.aspx>.
- Additionally, the four components of the SSP framework have been elevated to the status of Standards in order to match the status of the SMS framework.

SMM (Doc 9859, 3rd Edition)



- The *Safety Management Manual* (SMM), 3rd edition and English version, was posted on ICAO-NET on 8 May 2013.
- Substantial enhancements have been introduced, including:
 - Organization risk profile assessment
 - SMS-QMS integration
 - Hazard identification and risk mitigation
 - Hazard prioritization procedure
 - Safety Performance Indicator (SPI) and Acceptable Level of Safety Performance (ALoSP) development
 - SMS audit checklist
 - Risk-based surveillance/inspection
 - Phased SSP and SMS implementation
 - Mandatory and voluntary reporting systems

2014 – 2016

Global Aviation Safety Plan (GASP)



- GASP recognizes the importance of the establishment and maintenance of fundamental safety oversight systems as a prerequisite to the full implementation of an SSP.
- States with mature safety oversight systems have the foundations in place to implement provisions associated with SSP.



2014 – 2016

Global Aviation Safety Plan (GASP)

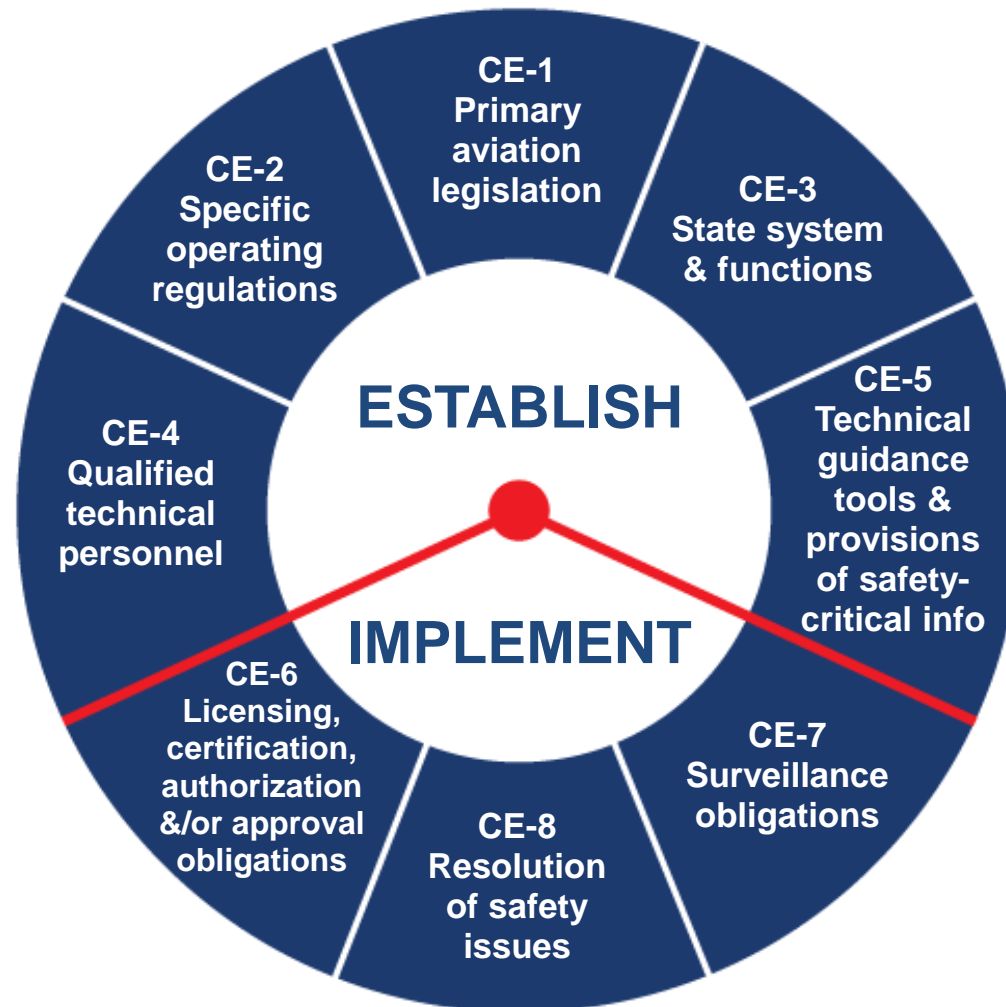


- GASP calls on those States with mature safety oversight systems to progress toward full implementation of an SSP.
- In the near term, States that have achieved effective implementation (EI) levels of over 60% are to fully implement SSP by 2017, with SSP fully implemented in all Member States by 2022.
- Safety oversight remains the foundation upon which the SSP is built.

ICAO carries out audits and other monitoring activities to determine its Member States' safety oversight capabilities by:

- Assessing the effective implementation of the 8 CEs in 8 audit areas (i.e. LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA) through Protocol Questions (PQs); and
- Verifying the status of the Member States' implementation of:
 - Safety-related ICAO SARPs;
 - Associated procedures; and
 - Guidance material.

Critical Elements (CEs) of a Safety Oversight System



CEs of a Safety Oversight System



The definitions of the eight CEs of a safety oversight system are found in Annex 19, Appendix 1.

Guidance on the eight CEs is provided in the *Safety Oversight Manual, Part A — The Establishment and Management of a State's Safety Oversight System* (Doc 9734).

USOAP CMA Audit Areas



Primary aviation legislation and
civil aviation regulations (LEG)
Chicago Convention &
Annexes 2 and 19

Civil aviation organization
(ORG)
SAAQ

Personnel licensing and
training (PEL)
Annexes 1 and 19

Aircraft operations (OPS)
Annexes 6, 9, 18, 19 and
PANS-OPS

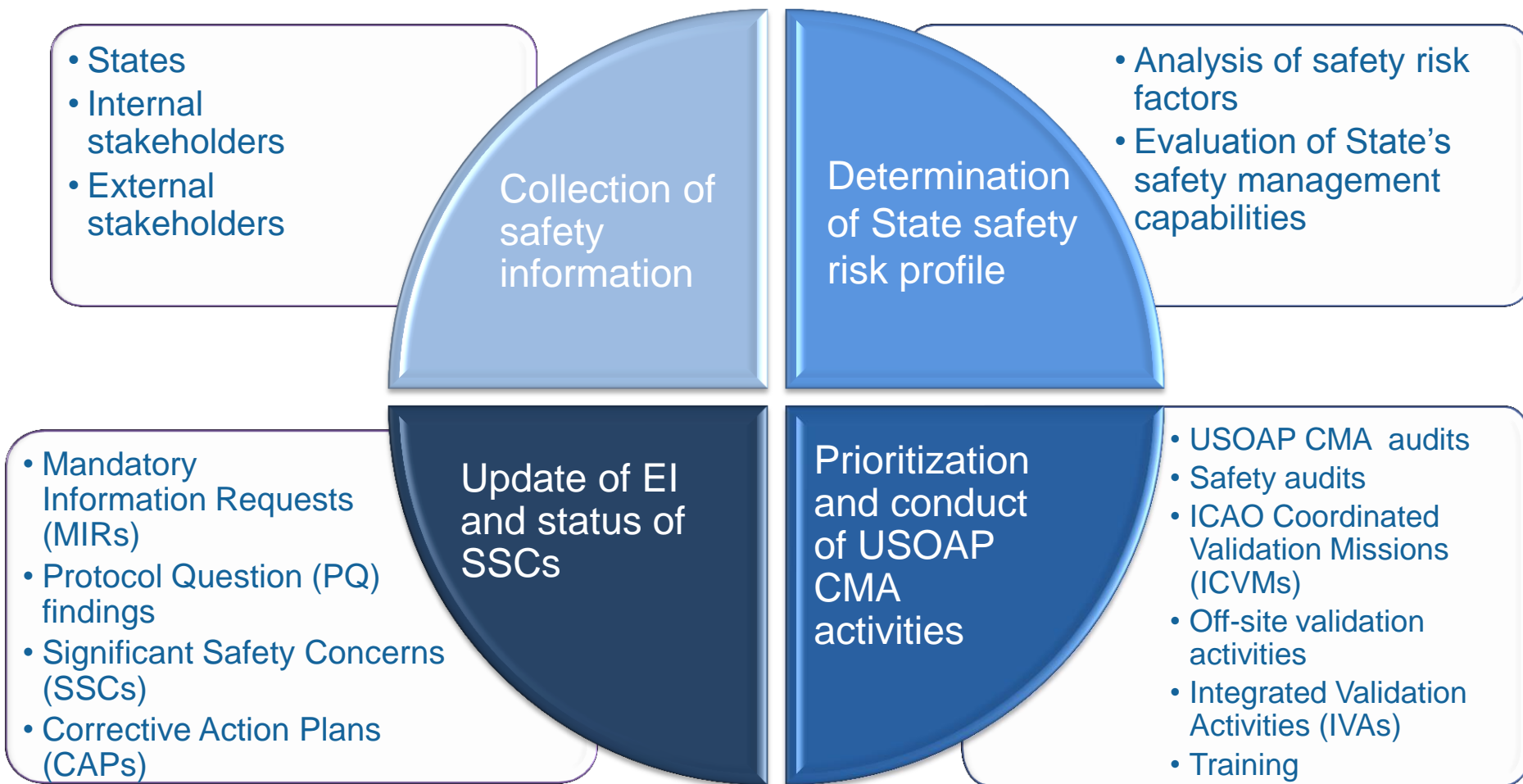
Airworthiness of aircraft
(AIR)
Annexes 6, 7, 8, 16 and 19

Aircraft accident and
incident investigation (AIG)
Annexes 13 and 19

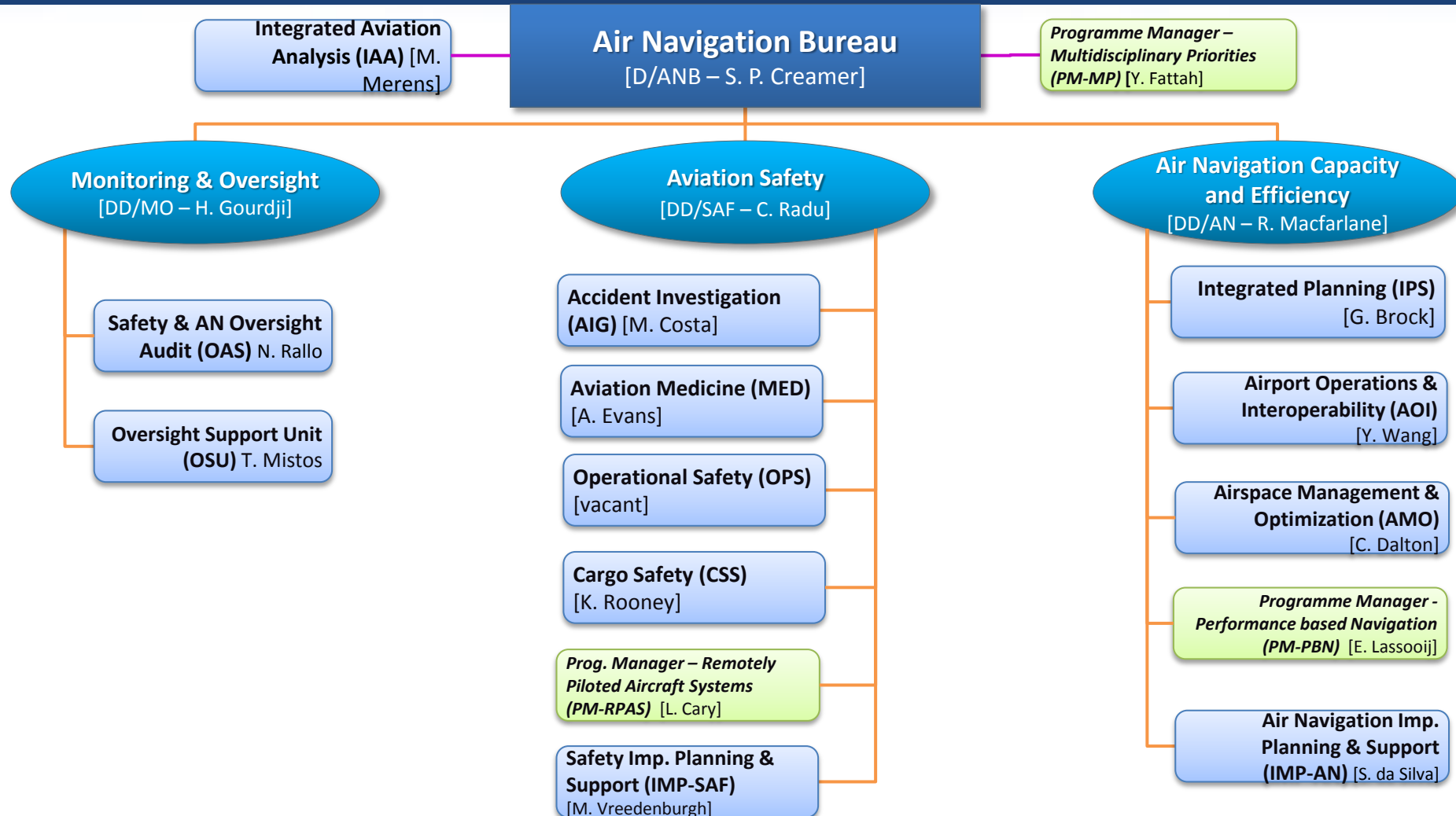
Air navigation services (ANS)
Annexes 2, 3, 4, 5, 10, 11, 12,
15, 19 and PANS-ATM

Aerodromes and ground
aids (AGA)
Annexes 14 and 19

USOAP CMA Components



Monitoring and Oversight within ANB Structure



SSP Roll-Out under USOAP CMA: Initial Timelines



- An Electronic Bulletin (EB 2014/61) was published on 22 October 2014 to inform Member States of the USOAP audit of the implementation of the ICAO safety management (SM) provisions.
- The EB indicated that the audit of the new SM-related PQs would commence in States with an EI of over 60% in January 2016.
- States with an EI of over 60% would have one year, until the end of 2015, to complete their self-assessments of the new SM-related PQs.
- The applicability and relevance of the PQs would be reviewed and, if necessary, amended annually.

Updating of the PQs

- The USOAP CMA Protocol Questions (PQs) have been updated to address the safety management (SM) provisions.
- New SM-related PQs have been added in each relevant audit area and are posted on the USOAP CMA Online Framework (OLF):
<http://www.icao.int/usoap/>.
- States are still asked to submit their up-to-date SSP Gap Analysis on iSTARS.

Recent Developments

- Not all guidance material and training material necessary to support the new SM-related PQs are available to date.
- A number of States with an EI of over 60% would not be ready for an audit of the new SM-related PQs in 2016.
- For these reasons, the launch of audits of the new SM-related PQs will be postponed to January 2018.
- ICAO will perform a few assessments of the implementation of the new SM-related PQs in selected volunteer States throughout 2016 (in conjunction with ICVMs).
- ICAO will amend the SM-related PQs in 2016 to introduce improvements as needed.

Upcoming Communications



- ICAO will publish an Electronic Bulletin by end of end 2015 to inform States that:
 - The launch of the USOAP CMA audits of the new SM-related PQs is postponed to January 2018;
 - States are required to continue to complete their self-assessment of the new SM-related PQs on the OLF; and
 - ICAO will perform a few assessments of the implementation of the new SM-related PQs, in selected volunteer States, throughout 2016.

A Gradual Process

- Effective SSP implementation is a gradual process, requiring time to mature fully.
- Factors that affect the time required to establish an SSP include the complexity of the air transportation system and the maturity level of the aviation safety oversight capabilities of the State.
- Similarly, the monitoring by ICAO of States' SM implementation will be a gradual process.



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THANK YOU