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Agenda Item 3: Aviation Safety Management
3.4 Other Aviation Safety Matters

EVOLUTION OF SAFETY OVERSIGHT SYSTEM FOR SAFETY MANAGEMENT

(Presented by the Dominican Republic)

EXECUTIVE SUMMARY

This Working Paper summarizes the strategy of the Civil Aviation Authority of the Dominican Republic to adapt its safety oversight system facing the SSP implementation.

Action:	<ul style="list-style-type: none">a) Note the contents of this working paper for SSP implementation.b) Join efforts to comply with safety related regional agreements.
<i>Strategic Objective:</i>	<ul style="list-style-type: none">• Safety
<i>References:</i>	<ul style="list-style-type: none">• Doc 10022 Assembly Resolutions in Force (as of 4 October 2013);• Doc 10046 Report of the Second High-Level Safety Conference 2015. Montréal, 2-5 February 2015.; and• Annex 19 to the Convention on International Civil Aviation, Safety Management.

1. Introduction

1.1 Aviation has maintained a steady improvement in safety levels, which makes it the safest transportation system. The number of air operations grows continuously at a rate that is expected, at least, to be maintained, while expectations about the safety of aircraft operations are increasing. In response, the International Civil Aviation Organization (ICAO) has developed a strategy based on adequate risk management in aviation operations, proposing a scheme that encourages analysis of information for decision-making, proactively addressing potential failures in civil aviation system.

1.2 Similarly, changes in public administration schemes demand civil aviation authorities to be more transparent and accountable, improving the use of the limited resources that are allocated, responding in a timely manner to the needs of stakeholders, ensuring increasing safety levels. In this regard, the Dominican Republic Civil Aviation Institute (IDAC), Civil Aviation Authority (CAA) of the Dominican Republic, has assumed the challenge of implementing the Standards and Recommended Practices (SARPs) of Annex 19 to the Chicago Convention, improving safety levels and serving more efficiently its purpose as regulator.

2. 8 Critical Elements as the foundation of the State Safety Oversight System

2.1 The 38th Session of the Assembly agreed to integrate the framework of SSP to the 8 Critical Elements of the State safety oversight system. Later on, in the Second High-Level Safety Conference 2015 (HLSC 2015) it was agreed that in such integration the 8 Critical Elements should remain visible and the foundation for safety oversight.

2.2 Regardless of how this integration will be finally achieved, for the Dominican Republic the result should be a regulatory framework that provides the basis for compliance with SARPs, avoiding duplication of requirements, ensuring safety levels already achieved and enabling continuous improvement based on the verification of the effectiveness of supervisory actions.

3. Strategy of the Dominican Republic for Safety Oversight

3.1 For the Dominican Republic the integration of SSP framework to the 8 Critical Elements does not imply the disappearance of any of its surveillance activities in place, but to strengthen them, using safety information to improve the effectiveness and efficiency of surveillance and inspections. Today, these activities are a combination of prescriptive surveillance, and safety performance measurement.

3.2 Prescriptive Surveillance

3.2.1 Safety oversight activities, as currently exercised, will remain the basis of the safety oversight system of the Dominican Republic. Taking into consideration aspects ranging from the size and complexity of our aviation system, to cultural aspects, the need to guarantee the safety performance obtained so far as a result of improved oversight activities already in place will be our main priority. We expect that with the collection of safety related information these activities will be improved, effectively covering the points where the safety performance shows greater concern, and prioritizing activities based on risk management.

3.3 Supervision of SMS

3.3.1 The Dominican Republic Institute of Civil Aviation (IDAC) approved in 2008 the first edition of the Dominican Republic Aviation Regulations for Safety Management, in which the requirements for SMS of service providers are listed. This started a collaborative approach, which remains to date, by which the authority ensures the implementation and operation of the SMS based on two specific activities:

- **SMS Operation Monitoring.** Given the limited availability of knowledge and experience in the SMS, IDAC has assumed the role of maintaining an on-going program of assistance for the implementation and operation of service providers' SMS. Through this program, IDAC personnel with the required skills is responsible to periodically visit each SMS implemented or in process of certification, and assists in the operation of the system according to the requirements of the Dominican Republic Aviation Regulations.
- **SMS Audit.** At least once every 12 months all service providers receive an audit of its SMS by IDAC, which evaluates compliance with the requirements of the Dominican Republic Aviation Regulations. During this audit the service provider must demonstrate that it meets the objectives associated with its safety policy and implements the SMS elements.

4. Main challenges for SSP implementation

4.1 It is taken as parameter to implement the SSP that the state should have a mature safety oversight system based on the effective implementation of SARPs. ICAO considers that this is achieved reaching effective implementation (EI) that exceeds 60%. No one questions that the first priority of States should be the effective implementation of SARPs; in addition, the Civil Aviation Authority of the Dominican Republic has been able to identify other points that must be taken into consideration for the proper implementation of the SSP.

4.2 Qualified personnel

4.2.1 Having personnel qualified to assimilate the concept of SSP and SMS is the necessary condition that enables the implementation of safety management systems. Generally, the training of aviation personnel is focused on technical skills that are specific to its duties; however, since these systems propose a systematic approach to managing safety, including organizational changes and the use of management tools of operational and administrative processes, aviation personnel requires skills that are not necessarily developed by traditional technical training plans.

4.2.2 For this, IDAC has developed a safety promotion program which includes direct collaboration with the Academia Superior de Ciencias Aeronáuticas (ASCA) of the Dominican Republic (ICAO Regional Training Centre of Excellence), by which it has been able to train human resources capable of supporting the implementation processes conducted in the Dominican Republic. Through ASCA, IDAC ensures not only training for their staff, but also the availability of training required by service providers.

4.3 Management of civil aviation authority activities

4.3.1 Another important aspect to take into consideration is the capacity of the civil aviation authority to plan, implement, verify and take corrective actions of its own activities.

4.3.2 IDAC has implemented an integrated management system certified by ISO 9001: 2008, 14001: 2004 and OHSAS 18001: 2007 standards, and follows the best practices of ISO 27001: 2013 standards. For the SSP implementation, IDAC has chosen an approach that relies on existing management processes as part of this integrated management system. With that we assure a systematic process to manage safety oversight, by standardizing activities, verifying its effectiveness and efficiently working for continuous improvement.

4.4 Sharing and proper use of safety related information

4.4.1 Information is the raw material that enables safety management systems (SMS) and the State safety programs (SSP) to function as tools for risk-based decision making.

4.4.2 Therefore, in the State's ability to collect, analyse and share safety related information is a key part of the effectiveness of safety management systems, especially the SSP. Aspects such as the legal foundation to protect safety related information and ensure its use for the purposes for which it was collected are vital to operating the SSP.

4.4.3 Additionally, the maturity with which stakeholders adopt the use of safety information, not for individual and short-term purposes but as a tool for consolidating aviation system should also be considered.

5. Conclusions

5.1 The Dominican Republic has achieved significant progress with its State safety oversight system, which is reflected in an EI of 86.19% and 76.4% progress in the implementation of the SSP.

5.2 Because of this, we are well aware of the challenges faced for strengthening the State safety oversight system and the implementation of initiatives to the evolution of this system according to ICAO global plans and goals.

6. Suggested actions

6.1 The Meeting is invited to:

- a) Note the contents of this working paper for SSP implementation; and
- b) Join efforts to comply with safety related regional agreements