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SAFETY

Update on SSP Implementation Assessments (SSPIAs) under the USOAP CMA

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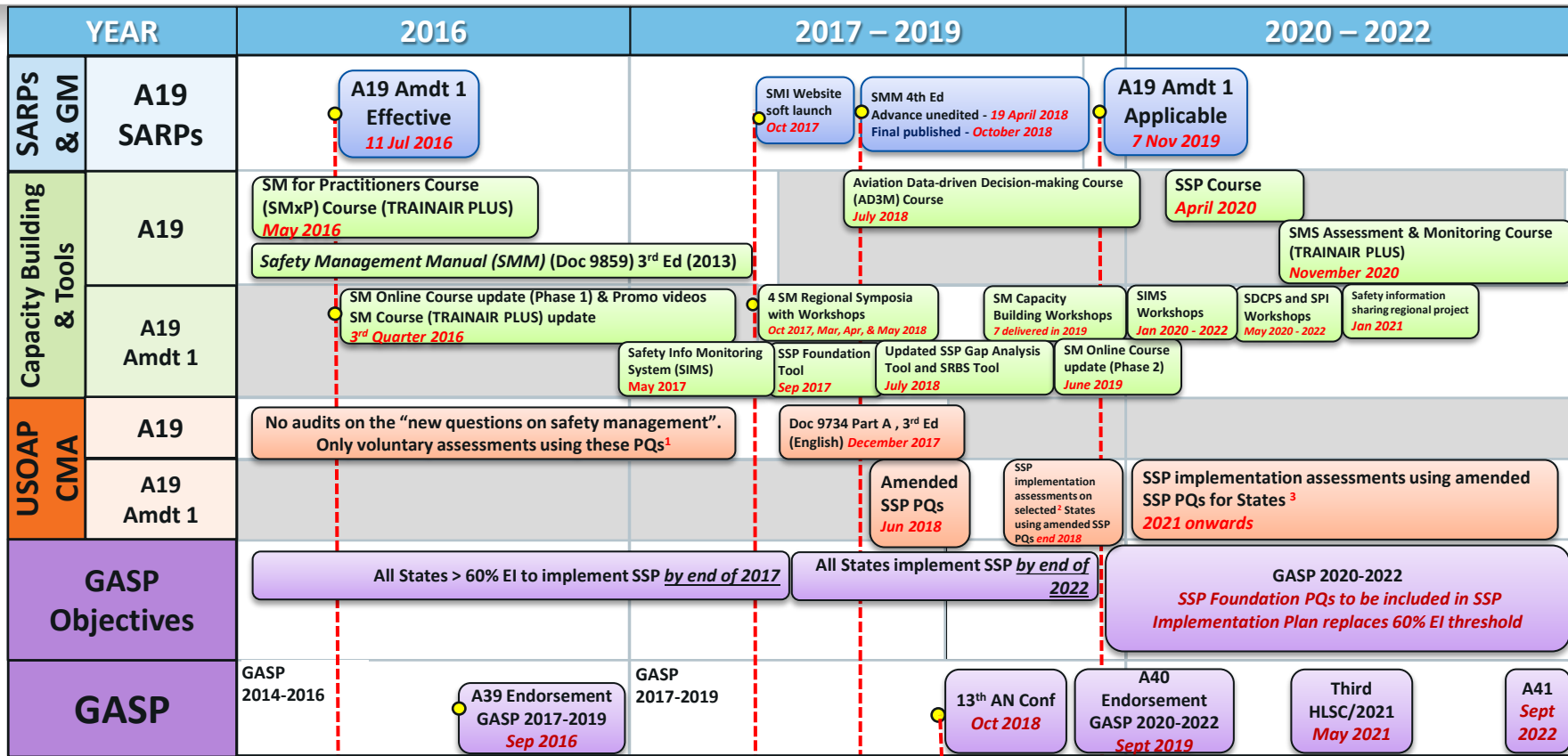


OUTLINE

- 1) ICAO Activities in support of Safety Management implementation
- 2) Roll-out of SSP implementation assessments: amended SSP-related PQs
- 3) Phase 1 of SSPIAs (2018 – 2020)
- 4) Plans for Phase 2 of SSPIAs (2021 onwards)
- 5) Associated guidance material
- 6) Training of ICAO SSP implementation assessors



ICAO Activities in support of Safety Management implementation



¹ Confidential and on cost-recovery basis
² By mutual agreement – non confidential assessments
³ Criteria to be established by ICAO in line with GASP



Roll-out of SSP implementation assessments: Amended SSP-related PQs



Amended SSP-related PQs:

- Reflect Annex 19 Amdt 1, SMM 4th edition and lessons learnt from voluntary assessments conducted.
- Form a dedicated list of PQs (complementing the PQs on “core” safety oversight and investigation functions).
- Are not linked to Critical Elements (CEs), but to applicable SSP components (e.g. State Safety Risk Management, State Safety Assurance and State Safety Promotion).
- Are not assessed as “satisfactory/non-satisfactory”, but in terms of *progress achieved*.
- Are supported by references from ICAO manuals.
- Are broken down into 8 areas:
GEN (SSP general aspects), SDA (safety data analysis – general aspects),
PEL, OPS, AIR (AMO aspects only), ANS (ATS aspects only), AGA and AIG.



The amended SSP-related PQs have as a ‘background’ the following key questions related to SSP implementation:

- What are the State’s main/ top safety risks?
- How does the State know it?
- What is the State doing about it?
- Is it working?



Phase 1 of SSPIAs (2018 – 2020)



SSP implementation assessments (SSPIAs):

- *Complement, and do not impact, the State's Effective Implementation (EI) score.*
- Do not generate findings.
- Do not require the State to submit a “corrective action plan” (CAP).
- Are conducted by a limited pool of assessors, to ensure consistency.
- Utilize the SSP-related PQs in selected areas (e.g. GEN + SDA + OPS + ANS + AIG).



Notification of and preparation for an SSPIA:

- ICAO notifies the volunteer State by letter, at least 4 months before the start of the SSPIA onsite mission.
- The notification letter provides:
 - the name of Team Leader (TL), and
 - the areas to be covered: typically GEN, SDA, two “CAA” areas (i.e. PEL, OPS, AIR, ANS or AGA) and AIG.
- Scheduled SSPIAs are listed in the January edition (update) of the “USOAP CMA Activity Plan” published by Electronic Bulletin (EB).
- The State is invited to provide by email and at the latest one month before start of assessment:
 - relevant documentation; and
 - concise tentative replies to the SSP-related PQs addressed in the activity.
- The information provided by the State in preparation for the SSPIA is not shared with other States.
- The SSPIA preparation is coordinated between ICAO TL and State NCMC.



Conduct of the SSPIA onsite mission:

- In phase 1, the average duration of an SSPIA onsite mission is 8 working days.
- The objective is to perform a qualitative (non-quantitative) assessment of the progress made by the State in implementing SSP, by :
 - Engaging in interactive discussions with the State counterparts (for the areas and PQs within the scope of the mission) regarding the progress made by the State in implementing SSP and any further steps/enhancements planned;
 - Sampling and reviewing evidence as needed;
 - Identifying achievements made by the State;
 - Identifying opportunities for enhancement;
 - Verbally reporting preliminary results to the State during the closing meeting; and
 - Reporting to the Safety and Air Navigation Oversight Audit Section (OAS) of ICAO.
- An SSPIA includes at least one industry visit.



- SSPIA final reports are concise, objective and reflect (rather than ‘measure’) the progress achieved by the State in SSP implementation.
- The SSPIA final report (containing a summary of the State’s achievements in SSP implementation) is shared with all States on the USOAP CMA Online Framework (OLF), for the purpose of exchanging experience and sharing effective practices.
- A more comprehensive version of the SSPIA final report (also identifying opportunities for enhancement in SSP implementation) is provided only to the assessed State.
- Steps and timelines for the report production are similar to those applied for CMA audits.
- Examples and tools of effective implementation may also be identified, and States are invited to share them with ICAO for considered publication on the ICAO Safety Management Implementation website (www.icao.int/SMI).



Update on completed and scheduled SSPIAs:

- Three SSPIA have been completed under Phase 1: Finland (November 2018), Spain (November 2019) and the United Arab Emirates (December 2019).
- Three SSPIAs are scheduled to be conducted in 2020: Italy (March/April), Republic of Korea (August) and Singapore (November).
- The 2021 SSPIAs will be announced in the 2021 USOAP activity plan update to be published by EB in January 2021.



Follow-up on completed SSPIAs:

- After the completion of the SSPIA report, the State is invited to provide updates to ICAO on further actions taken and/or planned to enhance SSP implementation.



Sharing of experience between States:

- The published SSPIA report will provide information to all States on achievements made by the assessed State.
- States are invited to contact those States that have received an SSPIA in order to learn from their experience.



Plans for Phase 2 of SSPIAs (2021 onwards)



- In 2020, ICAO will start developing guidance to support the determination of maturity levels (0: not present and not planned, 1: not present but being worked on, 2: present, 3: present and effective, 4: present and effective for years and in continuous improvement) for each PQ.
- The target is to start using in 2021 the SSP-related PQs including guidance to support the determination of maturity levels. This will enable a quantitative measurement of the level of progress achieved by the State in SSP implementation.
- The first SSPIA to be conducted under Phase 2 will start no earlier than 6 months after the publication of the assessment tool (i.e. SSP-related PQs + guidance to support the determination of maturity levels) on the OLF.



Draft criteria to prioritize the scheduling of SSPIAs:

- Level of implementation of SSP Foundation PQs and evidence of:
 - A robust and sustainable safety oversight system and aircraft accident/serious incident investigation system; and
 - An effective mandatory safety reporting system, State aircraft accident and incident database and safety analyses; and
- Effective completion and updates of PQ self-assessment by the State (for all PQs, including SSP-related PQs).



Associated guidance material



Issues	Guidance Material
SSP-related PQs	SMM, 4 th edition
Core “safety-oversight and investigation” aspects	Doc 9734 — <i>Safety Oversight Manual, Part A — The Establishment and Management of a State Safety Oversight System</i>
Methodology for preparation, conduct and reporting of SSP implementation assessments	Existing internal process + guidance to be included in the next edition of Doc 9735 — <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>



Training of ICAO SSP implementation assessors



- A team of assessors is being trained progressively to address SSP-related PQs in the various areas.
- Assessors include ICAO staff as well as secondees from States and Regional Safety Oversight Organizations.



REVIEW

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