



WORKING PAPER

ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

BEGINNING OF THE AUDIT CYCLE BASED ON SSP/SMS PQs

(Presented by Peru and supported by SAM States and LACAC States²)

EXECUTIVE SUMMARY

This working paper presents to the Assembly observations encountered when completing the gap analysis questionnaire in the iSTARS application and during the development of Protocol Questions (PQs) for the implementation of the State Safety Programme (SSP) with reference to the 4th edition of Doc 9859, *Safety Management Manual (SMM)*, for the beginning of the audit cycle.

Action: The Assembly is invited to:

- a) propose that ICAO restructure the iSTARS gap analysis questionnaire and the SSP PQs in such a way so as to ensure that they are connected, making it possible to address the PQs for SSP implementation when the gap analysis is carried out, thus avoiding work duplication; and
- b) propose that ICAO draw up guidance that facilitates the development of SSP PQs with more specific guiding references in order to specify the actions to be taken by States to ensure that subjective criteria are not adopted when defining the evidence required to close a PQ finding.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	Not applicable
<i>References:</i>	<ul style="list-style-type: none">• Annex 19 – <i>Safety Management</i>• SAM Region Safety Plan (SAMSP)• ICAO Doc 9859

¹ Spanish version provided by Peru.

² Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela.

1. INTRODUCTION

1.1 Protocol Questions (PQs) are the key instrument for assessing the level of effective implementation (EI) of a State's safety oversight system. They are based on the Convention, safety-related Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS), documents, and other related guidance material from ICAO, considering that critical elements (CEs), as instruments for the defence of a State's safety oversight system, are required for the effective implementation of related Standards, policies and procedures.

2. BACKGROUND

2.1 The SAM Region has developed a safety plan, the objectives of which are in line with the objectives addressed in the latest revision of the Global Aviation Security Plan (GASP). Specifically, the intent of GASP is to ensure that States establish an effective SSP that addresses the organizational challenges faced by the States when implementing an SSP and includes SMS implementation by service providers within individual States, in accordance with Annex 19.

2.2 Along the same line, the South American Safety Plan (SAMSP) considers the following objectives for SSP implementation:

- By 2022: implementing a sustainable SSP
- By 2025: implementing an effective SSP

2.3 On 19 June 2018, ICAO launched the SSP assessments as part of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA), where amended SSP-related PQs, linked to the corresponding SSP components, are issued in their Spanish-language version.

2.4 At the 8th SSP Implementation Meeting in Lima, from 22 to 26 April 2019, the progress was reviewed and the new requirements for SSP implementation from the 4th edition of Doc 9859 were presented, recommending the use of all the tools available on the ICAO website, such as the iSTARS in the interest of safety.

3. ANALYSIS

3.1 In the secure web portal, ICAO has version 3.0 of iSTARS, called SPACE, a computer tool that offers users a variety of safety-related applications from its catalogue and where it is possible to determine the analysis of gaps through a questionnaire that enables an initial overview of the existing gaps and the required resources and workload expected for SSP implementation.

3.2 In the development of the questionnaire for analysing the gaps in the iSTARS application to ensure SSP implementation, it has been determined that a number of questions are similar to the PQs from the SSP, requiring the same questions to be developed once again.

3.3 The development of the 80 SSP-related PQs would ensure effective implementation of the SSP, together with the eight critical elements (CEs) from the safety oversight system, which the State must comply with in order to have effective oversight capacity, ensuring the implementation of all the ICAO SARPs related to safety, as well as the procedures, guidance material and related best practices.

3.4 The recent publication of the 4th edition of Doc 9859 reinforces concepts based on performance and the achievement of results, emphasizing the benefits of safety management in aspects such as better understanding of interfaces and safety relationships, as well as better communication with the industry and internal and external training. This requires that States determine the new existing gaps and the actions to be taken by the States to meet those requirements.

3.5 The recent issue of SSP PQs and the publication of the 4th edition of Doc 9859 has made it possible to emphasize that the scope and direction of the PQs, as they are linked to the SSP components and backed by references from the 4th edition of Doc 9859, leave a wide margin of actions to be taken by the State to meet the expectations of the PQ with the difficulty of specifying the evidence required to prove that the PQ is closed, which would allow auditors the possibility of using their discretion.

4. **CONCLUSION**

4.1 Although the iSTARS gap analysis questionnaire and the SSP PQs greatly assist in determining what is missing and the resources required for SSP implementation, they must be connected in such a way that when the iSTARS questionnaire is developed, the PQs are addressed thus avoiding work duplication.

4.2 The observations put forward in the preceding paragraphs must be rectified in order to ensure that PQs are addressed in a more direct manner and the actions that the States must develop within the SSP implementation process ensure a positive result prior to future audits.

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