



ASSEMBLY — 39TH SESSION

TECHNICAL COMMISSION

Agenda Item 33: Aviation safety and air navigation monitoring and analysis

STRATEGY FOR THE IMPLEMENTATION OF THE STATE SAFETY PROGRAMME (SSP)
WITHIN THE SAFETY MANAGEMENT FRAMEWORK

(Presented by Peru; endorsed by the Countries of the SAM Region and the 22*
Member States of the Latin American Civil Aviation Commission (LACAC))

EXECUTIVE SUMMARY

This Working Paper analyses the progress of SSP implementation, the challenges and impact it could have on the SAM Region's effective implementation (EI) results, considering that ICAO plans to begin the audits related to the 91 Protocol Questions (PQs) from the SSP as of 01 January 2018.

Action: The Assembly is invited to analyse the arguments raised in this Working Paper in order to assess the possibility of postponing the commencement of the audits that consider the 91 PQs from Annex 19.

<i>Strategic objectives:</i>	Safety
<i>Financial implications:</i>	N/A
<i>References:</i>	Annex 19 - <i>Safety Management</i> Doc 9734, <i>Safety Oversight Manual, Part A</i>

1. BACKGROUND

1.1 Standardizing global civil aviation activities is one of the core functions of ICAO. A tool, which enables ICAO to verify the standardization of such activities, is the USOAP audits, whereby States are assessed in order to ensure the effective implementation of Standards and Recommended Practices (SARPs).

¹ Spanish version provided by Peru

1.2 Protocol questions (PQs) are specific elements that are used in the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the level of effective implementation of a State's safety oversight system.

1.3 As of 01 January 2018, ICAO has scheduled the commencement of State audits, including against the 91 Safety-related PQs from Annex 19 that consider SSP implementation, of all States which demonstrate that they have achieved over 60 percent Effective Implementation (EI) of the State System. This condition applies to approximately 70 percent of the States in the SAM Region.

2. DISCUSSION

2.1 *Progress in the SAM Region*

2.1.1 The States of the Region are working in coordination in order to comply with the requirements of Annex 19; a result of this teamwork is the recent analysis of a shortfall present in the Region, which has revealed that many aspects informed by the States had no correlation with the actual situation, in terms of service providers having effective SMSs, as well as the States' SSPs.

2.1.2 This work, carried out with a high self-criticism capacity, has enabled the Region to reach three significant findings which determine that:

- a) the vast majority of States are not in a position to be audited against the 91 PQs that will be included as of the year 2018 since 70 percent of them have achieved over 60% EI;
- b) since the SMS oversight activities were assumed by those responsible for SSP tasks, leaving safety inspectors aside, this has led to confusion in responsibilities; and
- c) the States are required to develop work schedules that reflect the challenges adopted by the Region in order to comply with the requirements raised by ICAO within the shortest timeframe.

2.1.3 There are several factors at the root cause of this situation; among other things, the following can be mentioned: the absence of more specific guidance material establishing the way in which the theoretical framework could be put into practice, and the absence of training for those responsible for implementing Annex 19 requirements.

2.2 *Agreed-upon Challenges*

2.2.1 Training

2.2.1.1 The States of the SAM Region consider training a key and priority element for SSP and SMS implementation to ensure that the provision of skills and knowledge to the different stakeholders involved in the aforementioned safety management systems constitutes an essential condition to achieve effective implementation.

2.2.1.2 In this context, consideration should be given to the establishment of a new, comprehensive training program, specifically under ICAO's responsibility, with special emphasis on

those responsible for the SSP, for safety (oversight) inspectors and for those responsible for the SMS of service providers.

2.2.2 Guidance material

2.2.2.1 To develop new guidance material, which includes the following material: guidelines, manuals, procedures and checklists, supplemented with the regional experience and reality and with special emphasis on the way in which the theoretical framework could be put into practice.

2.2.3 Information exchange

2.2.3.1 To establish as a permanent and systematic practice in the Region, the smooth and timely exchange of experiences obtained through the implementation of Annex 19 requirements in order to establish a common tool for solving similar issues.

2.2.4 Regular coordination meetings

2.2.4.1 To conduct regular coordination and follow-up meetings in order to monitor the progress of the Region's States in complying with the requirements established by Annex 19 and to enable mutual support in order to achieve the objectives within the shortest timeframes.

2.2.5 To carry out the objectives referred to in the Declaration of Bogota.

2.2.5.1 To achieve effective implementation of the SSP and SMS by 2020.

2.3 Impact on the Region

2.3.1 Considering the actual situation related to compliance with Annex 19 requirements and the major impact represented by the 91 PQs in percentage with respect to the total PQs considered in the audit, this leads to the fact that the States that will be audited as of 2018 will have a high probability of reducing their effective implementation percentage, generating with this a distorted image in public opinion regarding a supposed regression in safety, while in practice, there could be significant progress made.

2.3.2 The above-mentioned distortion could also lead to the fact that States that are below 60 percent and are not likely to be audited in 2018 could position themselves above those States that had initially obtained a higher EI percentage, which would be inconsistent.

3. CONCLUSION

3.1 The Assembly is invited to urge ICAO to review the possibility of postponing the audits against the 91 PQs to the year 2020.