



**Agenda Item 2: Declaration of Bogota: Follow-up to the implementation of safety oversight priorities**

**Follow up of goals related to the implementation of the State Safety Programme (SSP) and Safety Management System (SMS)**

(Presented by the Secretariat)

<b>SUMMARY</b>	
This working paper (WP) presents updated information on the follow up of safety goals established in the Declaration of Bogota regarding the implementation of the State Safety Programme (SSP) and the Safety Management System (SMS)	
<b>References:</b>	
<ul style="list-style-type: none"><li>• Resolution A38-2 – ICAO global planning for safety and air navigation.</li><li>• Report of the Thirteenth Meeting of the Civil Aviation Authorities of the SAM Region (RAAC/13) (Bogota, Colombia, 4 to 6 December 2013).</li><li>• Report of the Fourth Annual Meeting of State Safety Programme (SSP) Coordinators (Lima, Peru, 16 to 18 March 2015).</li></ul>	
<i>ICAO Strategic Objectives</i>	<i>A - Safety</i>

**1. Introduction**

1.1 The Global Coordination Meeting (GCM) of the Planning and Implementation Regional Groups (PIRG) and the Regional Aviation Safety Groups (RASG) (Montreal, Canada, 19 March 2013), chaired by the President of the ICAO Council, convened in the need to measure performance improvement, support the regional performance registration, and establish a set of indicators and metrics.

1.2 The revised version of the first edition of the ICAO Global Aviation Safety Plan (GASP) (Doc 10004, 2013) establishes that continuous improvement of global safety is fundamental to guarantee the important function of air transport in permanently pushing forward the world's sustainable economic and social development.

1.3 During the Thirteenth Meeting of the Civil Aviation Authorities of the South American Region (RAAC/13) (Bogotá, 4 to 6 December 2013), SAM States issue the Declaration of Bogota, through which they declared their commitment in achieving regional goals up to December 2016. Within these regional goals, the following were established for the implementation of the State Safety Plan (SSP) and Safety Management System (SMS):

- Reach 67% of SSP implementation.
- Reach 100% of the service providers SMS oversight capacity.

1.4 Measuring progress in these goals is made according the agreements reached in this respect during the South America Regional Air Navigation and Safety Directors Meeting (Lima, 21 to 22 October 2013), consisting in verifying the SSP and SMS implementation progress according the milestones indicated in **Appendix A**. This verification is carried out during the annual SAM States SSP coordinators meetings, for which a group of questions were developed based on the milestones shown in **Appendix C**. It should be noted that this type of measurement is based on the perception of the State on its progress, and this has not been audited by the USOAP.

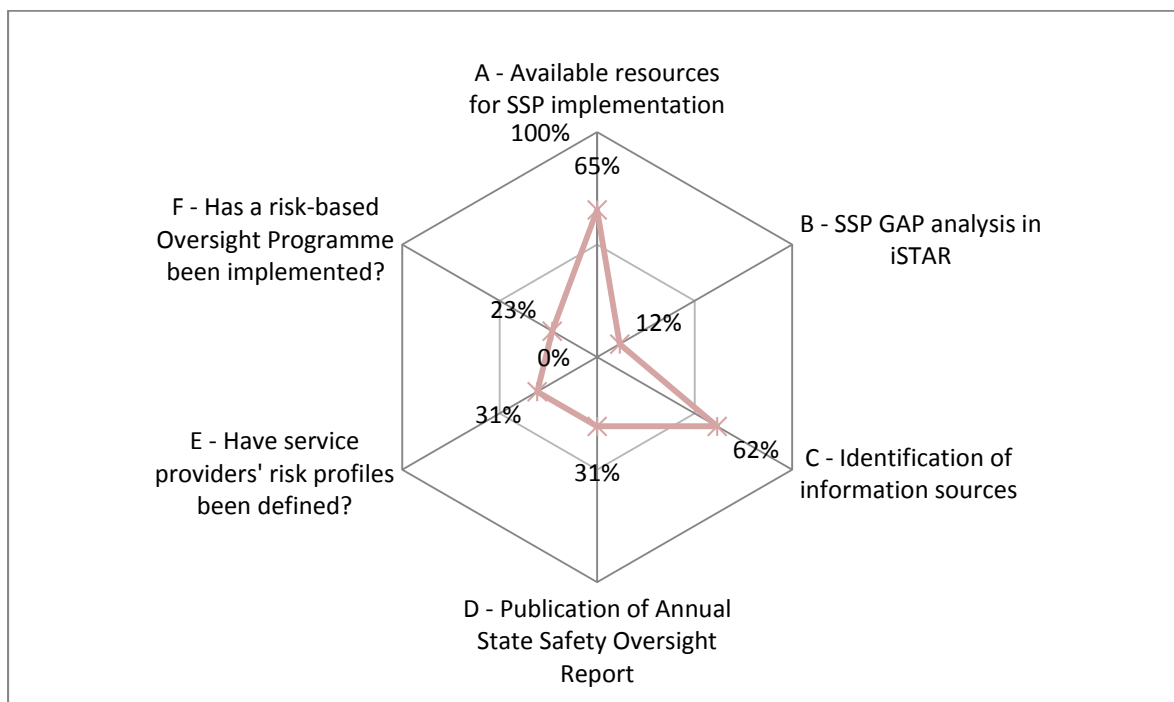
## 2. Follow up of goals agreed in the Declaration of Bogota for the implementation of the SSP and SMS

### 2.1 *State Safety Programme (SSP)* (2016 goal: Reach 67% of SSP implementation)

2.1.1 According to information provided by the SAM Regional Air Navigation and Safety Directors Meeting (Lima, 21 al 22 October 2013) the compliance rate in the SAM Region based on SSP measuring up to March 2013 was 6%.

2.1.2 According to information provided by the Fourth Annual Meeting of State Safety Programme (SSP) Coordinators (Lima, Peru, 16 to 18 March 2015) progress was observed at the regional level in respect to SSP implementation, reaching a regional rate of 42%<sup>1</sup>, being milestones distribution as indicated in the chart below:

**Graph on the implementation progress of SSP in the SAM Region**



<sup>1</sup> Please note that this measuring is based on the perception of the State and it has not been audited by the USOAP.

2.1.3 As observed in the chart, milestone B, *SSP gap analysis in iSTAR*, is one of the activities with the lowest rate of implementation by the States. However, in the Fourth Annual Meeting of State Safety Programme (SSP) Coordinators was informed that while many States had conducted gap analysis, this had not been uploaded into the iSTAR tool.

2.1.4 In the case of milestone A on *Available resources for SSP*, this milestone is essential for the implementation and progress of the SSP, and it can be improved by the appointment of the person responsible of SSP and the resources available for implementation.

2.1.5 Considering the above, in order to reach the Declaration of Bogota goal which is 67%, it will be necessary to improve 15% the SSP implementation. This implies that States must reach, at least, the implementation of milestone A referred to *Available resources for SSP*, and milestone B on *GAP analysis* be implemented.

2.1.6 In **Appendices B and C** to this working paper, the graph per State on SSP and SMS implementation is being presented, as well as a summary chart on the progress of each milestone by State.

2.2 ***Safety Management System (SMS)***  
(2016 goal: Reach 100% of the service providers SMS oversight capacity)

2.2.1 The Declaration of Bogota agreed goal regarding SMS implementation was to reach 100% of the service providers SMS oversight capacity.

2.2.2 In the Fourth Annual Meeting of State Safety Programme (SSP) Coordinators (Lima, Peru, 16 to 18 March 2015), States reported 83% progress on this implementation at regional level, missing only 17% to reach the established SMS goal. However, this is also a measuring of the State perception.

2.2.3 In **Appendix C** to this working paper, a summary chart is being presented indicating progress by SMS milestone. This chart shows that, though some States already have SMS regulations for their operators, these have not yet included SMS evaluation in their Safety Oversight Plan.

2.2.4 In this regard, during the Fourth Annual Meeting of State Safety Programme (SSP) Coordinators it has been noted that the CAAs need to train their Safety Inspectors so that they be competent in SMS evaluation. Therefore, to continue the progress in SMS implementation, it is necessary that the CAAs train their inspectors and, if assistance is required, States can request support from the SRVSOP or Regional Office. With respect to the above, it has been observed that in some States the persons in charge of SSP have assumed SMS surveillance and acceptance activities, leaving aside Safety Inspectors.

**3. Suggested actions:**

3.1 The Safety Directors Meeting is invited to:

- a) Acknowledge the information presented in this working paper and appendices; and
- b) Analyse and comment on:
  - ✓ Performance indicators; and
  - ✓ Proposals for actions to be taken in each area assessed.

-----

## APPENDIX A

### MILESTONES FOR SSP IMPLEMENTATION

---

**A. Resources available** for SSP implementation.

- |                    |  |
|--------------------|--|
| Associate elements | a) Assignment of SSP responsible.<br>b) The SSP has enough resources (equipment and personnel) to carry out the tasks needed for data collection, analysis and other associate functions according to the size and complexity of the civil aviation systems. |
|--------------------|--|
- 

**B. SSP GAP analysis** in iSTAR completed and updated in a continuous basis.

---

**C. Information sources identification** (reactive, proactive and predictive)

---

**D. Publication of National Annual Safety Oversight Reports.**

- |                    |   |
|--------------------|---|
| Associate elements | a) High level safety meetings are carried out where analysis, decisions and follow-up of results are made based on the Safety Oversight Annual Report<br>b) . |
|--------------------|---|
- 

**E. Definition of Service providers risk profiles.**

---

**F. Risk-based oversight programme** implemented.

---

### MILESTONES FOR SMS IMPLEMENTATION

---

**A. Publication of the SMS regulation** for all operators (AGA, ATS, OPS and AIR).

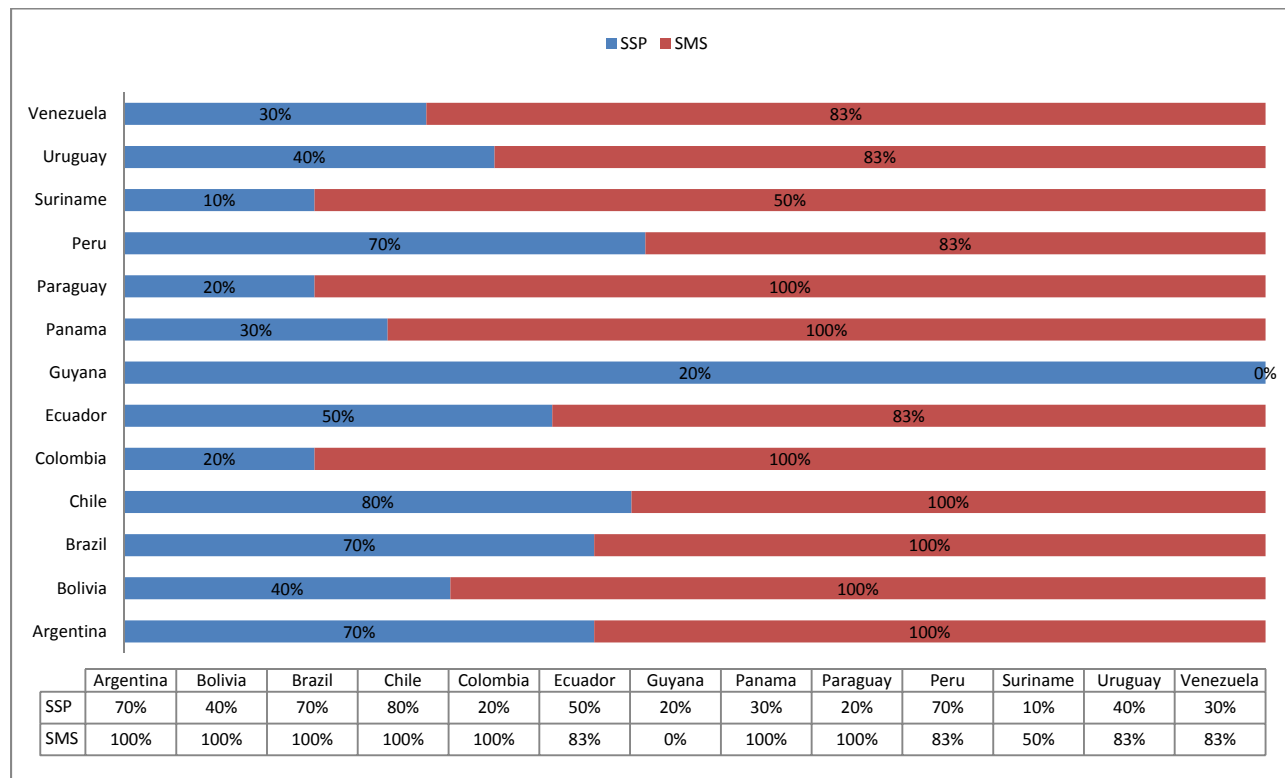
---

**B. Implementation in the Safety Oversight Plan of State** the assessment of the service providers SMS by competent inspectors on SMS evaluation.

---

## APPENDIX B

## SUMMARY GRAPH ON SSP AND SMS IMPLEMENTATION RATE BY STATE



*Note: This graph shows the results expressed by the States. These data has not been audited by the USOAP.*

## APPENDIX C

## SUMMARY CHART ON STATE SSP AND SMS IMPLEMENTATION BY MILESTONE

Questions		States												
State Safety Programme SSP		ARG	BOL	BRA	CHI	COL	ECU	GUY	PAN	PAR	PER	SUR	URU	VEN
<b>A</b>	<b>Resources available for SSP implementation</b>													
	a) Has the State designated an SSP responsible?	0	1	1	1	1	1	1	1	0	1	1	1	1
	b) Does SSP have enough resources to carry out tasks demanded by data compilation, analysis and other associated functions according to size and complexity of the civil aviation system?	1	1	1	1	0	1	0	0	0	0	0	0	1
<b>B</b>	<b>Analysis of SSP gap in iSTAR</b>													
	a) Has it been completed?	1	0	0	0	0	0	0	0	0	1	0	0	0
	b) Is it being constantly updated?	1	0	0	0	0	0	0	0	0	0	0	0	0
<b>C</b>	<b>Identification of information sources: Information sources are being identified:</b>													
	a) Reactive?	1	1	1	1	1	1	0	1	1	1	0	1	1
	b) Proactive?	1	1	1	1	0	1	0	0	1	1	0	1	0
	c) Predictive	1	0	0	1	0	0	1	0	0	1	0	1	0
<b>D</b>	<b>Publication of National Safety Annual Reports</b>													
	Are high level safety meetings carried out for the analysis; decision making and follow up on the results of the safety annual report?	1	0	1	1	0	1	0	0	0	0	0	0	0
<b>E</b>	<b>Have service providers' risk profiles been determined?</b>	0	0	1	1	0	0	0	1	0	1	0	0	0
<b>F</b>	<b>Has a risk-based Oversight Programme been implemented?</b>	0	0	1	1	0	0	0	0	0	1	0	0	0
	<b>Total</b>	70%	40%	70%	80%	20%	50%	20%	30%	20%	70%	10%	40%	30%
<b>A</b>	<b>Safety Management System (SMS) - Has the State published the SMS regulatory requirements for all its operators?</b>													
	AGA	1	1	1	1	1	1	0	1	1	1	1	1	1
	ATS	1	1	1	1	1	1	0	1	1	1	1	1	1
	OPS	1	1	1	1	1	1	0	1	1	1	0	1	1
	AIR	1	1	1	1	1	1	0	1	1	1	1	1	1
	PEL	1	1	1	1	1	1	0	1	1	1	0	1	1
<b>B</b>	<b>Has the State implemented in its Safety Oversight Plan the SMS assessment of Service providers with qualified inspectors in SMS assessment?</b> <i>Understanding by implemented, that a procedure for establishing an oversight plan has been included in the operators SMS evaluation, and that SMS evaluations are being carried out according to the plan.</i>	1	1	1	1	1	0	0	1	1	0	0	0	0
	<b>Total</b>	100%	100%	100%	100%	100%	83%	0%	100%	100%	83%	50%	83%	83%

Note:

- 1) The value 1 indicates that implementation has been completed; and value 0, that is has not been completed.
- 2) This chart shows the results expressed by States. This has not been audited by USOAP.