



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

Follow-up on goals concerning the implementation of the State Safety Programme (SSP) and the Safety Management System (SMS)

(Presented by the Secretariat)

SUMMARY	
This working paper presents updated information on the safety goals established in the Declaration of Bogota with respect to the implementation of the State Safety Programme (SSP) and the Safety Management System (SMS).	
References:	
<ul style="list-style-type: none">• Report of the Thirteenth meeting of Civil Aviation Authorities of the SAM Region (RAAC/13) (Bogota, Colombia, 4-6 December 2013).• Report of the First meeting of Air Navigation and Safety Directors of the SAM Region (Lima, Peru, 21-22 October 2013)• Report of the Second meeting of Air Navigation and Safety Directors of the SAM Region (Lima, Peru, 14-16 September 2015)• Report of the Fourth annual meeting of National Safety Programme (SSP) Coordinators (Lima, Peru, 16-18 March 2015).	
ICAO strategic objectives:	<i>A - Safety</i>

1. Introduction

1.1 At the Thirteenth meeting of Civil Aviation authorities of the SAM Region (RAAC/13), (Bogota, 4-6 December 2013), the SAM States undertook in the Declaration of Bogota to attain the following regional goals concerning the implementation of the State safety programme (SSP) and the safety management system (SMS):

- *67% implementation of the SSP; and*
- *100% capacity to oversee the safety management system of service providers.*

1.2 Progress was measured based on the milestones listed in **Appendix A** and agreed by the First meeting of Air Navigation and Safety Directors of the SAM Region (Lima, 21-22 October 2013). This measurement is conducted at the annual meetings of SSP coordinators of SAM States, to which end a set of milestone-based questions was developed, as shown in **Appendix C**. It should be noted that this type of measurements are based on the State's perception of progress, where the State has not been subject yet to USOAP continuous monitoring approach (CMA) activities.

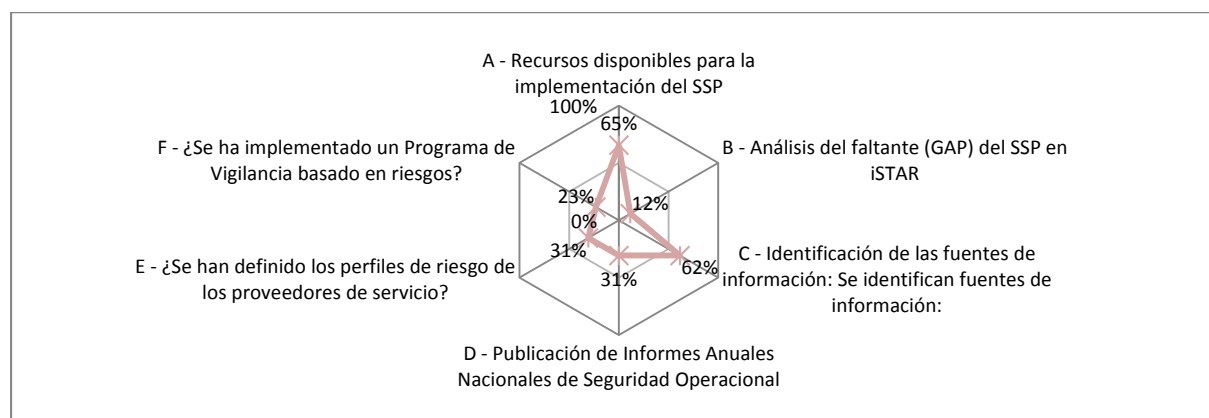
2. Follow-up on the goals agreed in the Declaration of Bogota concerning the implementation of the SSP and SMS

State safety programme (SSP): Attain 67% of SSP implementation

2.1.1 Based on reports submitted at the First meeting of Air Navigation and Safety Directors of the SAM Region (Lima, 21-22 October 2013), the percentage of compliance in the SAM Region based on this measurement of the SSP by March 2013 was 6%.

2.1.2 As stated at the Fourth annual meeting of National Safety Programme coordinators (Lima, 16-18 March 2015), progress has been made in SSP implementation in the region, attaining a regional average of 42%¹, with a milestone distribution as shown in the following table:

Graph on the status of implementation of the SSP in the SAM Region



2.1.3 As shown in the graph, Milestone B concerning the *SSP gap analysis using iSTAR*, is one of the activities with the lowest rate of implementation by States. However, the Fourth meeting of SSP coordinators took note that, although several States had conducted a gap analysis, they still had to load this analysis into the iSTAR tool.

2.1.4 In the case of Milestone A concerning *resources available for the SSP*, this milestone is indispensable for SSP implementation and development. Accordingly, it can be enhanced in terms of the designation of the person responsible for the SSP and resources available for its implementation.

2.1.5 In view of the above, and in order to attain the 67% goal of the Declaration of Bogota, a 15% improvement in SSP implementation will be required. To this end, the States will need to complete at least the implementation of Milestone A concerning *resources available for SSP implementation*, and implement Milestone B concerning the *gap analysis*.

2.1.6 **Appendices B and C** to this paper contain a graph showing SSP and SMS implementation by State and a table summarising the progress made on each milestone by each State.

Safety management system (SMS): Attain 100% of service provider SMS oversight capacity

2.1.7 The goal set in the Declaration of Bogota regarding SMS implementation was to achieve 100% of service provider SMS oversight capacity.

2.1.8 At the Fourth annual meeting of National Safety Programme coordinators (Lima, 16-18 March 2015), the States reported an average progress of 83% in this implementation at regional level.

¹ Note that this measurement is based on the State's perception and that it has not yet been audited by the USOAP.

Accordingly, 17% is still pending completion in order to meet the goal established for the SMS. Nevertheless, we insist that this measurement is based on the State's perception.

2.1.9 **Appendix C** to this paper contains a table summarising the progress made in each SMS milestone. This table shows that, although some States have SMS requirements for their operators, they have not yet incorporated SMS assessment into their Safety Oversight Plan.

2.1.10 In this sense, the Fourth annual meeting of SSP coordinators took note that CAAs needed to train their safety inspectors so that they could become proficient in SMS assessments. In this regard, it has been noted that those responsible for the SSP in some States have taken over SMS oversight and acceptance functions, leaving out safety inspectors and AIG authorities.

2.1.11 Through State Letter AN 6/37-16/68 dated 25 July 2016, the Secretary General of ICAO urged States to use the ICAO State safety programme (SSP) gap analysis tool and the Universal safety oversight audit programme (USOAP) self-assessment to facilitate SSP observation and implementation. **Appendix D** to this working paper contains a copy of the aforementioned letter.

2.1.12 At the Fifth SSP implementation meeting (Lima, Peru, 7-11 November 2016), SAM States will be requested to report on the status of compliance with the 91 protocol questions (PQs) of the SSP. Safety directors, aviation accident and incident investigation (AIG) authorities, and SSP implementation coordinators will be convened to this meeting.

3. Suggested action

3.1 The Meeting is invited to:

- a) take note of the information presented in this working paper and its appendices; and
- b) analyse and comment on:
 - ✓ indicator performance; and
 - ✓ the measures proposed for adoption by the Fifth SSP implementation meeting.

APPENDIX A

SSP IMPLEMENTATION MILESTONES

A. Resources available for SSP implementation.

- | | |
|------------------|---|
| Related elements | <ul style="list-style-type: none"> a) Designation of a person responsible for the SSP. b) The SSP has sufficient resources (equipment and personnel) to perform the tasks required for data collection, analysis, and other related functions, in accordance with the size and complexity of the civil aviation system. |
|------------------|---|

B. SSP gap analysis in iSTAR completed and constantly updated.

C. Identification of information sources (reactive, proactive, and predictive)

D. Publication of Annual National Safety Reports.

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|------------------|--|
| Related elements | <ul style="list-style-type: none"> a) High-level safety meetings are conducted to analyse, make decisions, and monitor the results of the annual safety report. |
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E. Definition of service provider risk profiles.

F. Risk-based oversight programme implemented.

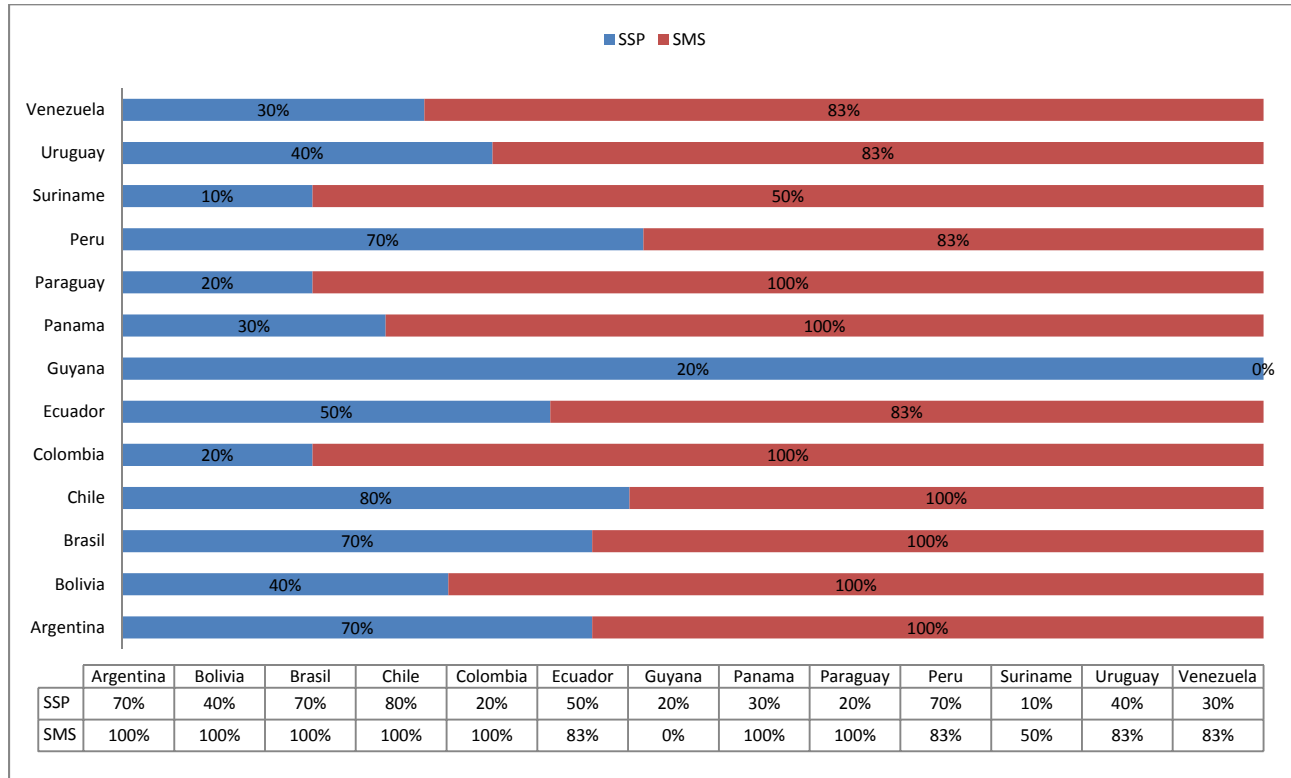
SMS implementation follow-up milestones

A. Publication of the SMS regulatory requirement applicable to all operators (AGA, ATS, OPS, and AIR).

B. Implementation in its Safety Oversight Plan of service provider SMS assessments by inspectors proficient in SMS assessments.

APPENDIX B

SUMMARY GRAPH OF THE PERCENTAGE OF SSP AND SMS IMPLEMENTATION BY STATE



Note: This graph shows the results provided by the States; this data has not been audited by the USOAP

APPENDIX C

SUMMARY TABLE ON SSP AND SMS MILESTONE IMPLEMENTATION, BY STATE

Preguntas		Estados												
		ARG	BOL	BRA	CHI	COL	ECU	GUY	PAN	PAR	PER	SUR	URU	VEN
Programa Estatal de Seguridad SSP														
A	Recursos disponibles para la implementación del SSP													
	a) ¿El Estado ha nombrado un responsable del SSP?	0	1	1	1	1	1	1	1	0	1	1	1	1
	b) ¿Dispone el SSP de suficientes recursos para realizar las tareas que demande la recolección de datos, análisis y las otras funciones asociadas de acuerdo al tamaño y complejidad del sistema de aviación civil?	1	1	1	1	0	1	0	0	0	0	0	0	1
B	Análisis del faltante (GAP) del SSP en iSTAR													
	a) ¿Se ha completado?	1	0	0	0	0	0	0	0	0	1	0	0	0
	b) ¿Se actualiza constantemente?	1	0	0	0	0	0	0	0	0	0	0	0	0
C	Identificación de las fuentes de información: Se identifican fuentes de información:													
	a) ¿Reactivas?	1	1	1	1	1	1	0	1	1	1	0	1	1
	b) ¿Proactivas?	1	1	1	1	0	1	0	0	1	1	0	1	0
	c) ¿Predictivas?	1	0	0	1	0	0	1	0	0	1	0	1	0
D	Publicación de Informes Anuales Nacionales de Seguridad Operacional													
	¿Se realizan reuniones de seguridad operacional de alto nivel, donde se analiza; se toma decisiones y se da seguimiento a los resultados que arroja el informe anual de seguridad operacional?	1	0	1	1	0	1	0	0	0	0	0	0	0
E	¿Se han definido los perfiles de riesgo de los proveedores de servicio?	0	0	1	1	0	0	0	1	0	1	0	0	0
F	¿Se ha implementado un Programa de Vigilancia basado en riesgos?	0	0	1	1	0	0	0	0	0	1	0	0	0
	Total	70%	40%	70%	80%	20%	50%	20%	30%	20%	70%	10%	40%	30%
A	Sistema de gestión de la seguridad operacional (SMS)													
	¿Ha publicado el Estado el requerimiento normativo													
	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	El Estado: ¿ha implementado en su Plan de vigilancia de la seguridad operacional la evaluación de los SMS de los proveedores de servicio con inspectores competentes en evaluación de SMS?													
	<i>Entendiéndose por implementado, que en el procedimiento para el establecimiento del plan de vigilancia, se ha incluido la evaluación del SMS de los explotadores y que se realizan evaluaciones del SMS</i>	1	1	1	1	1	0	0	1	1	0	0	0	0
	Total	100%	100%	100%	100%	100%	83%	0%	100%	100%	83%	50%	83%	83%

Note:

- 1) A value of 1 means that implementation has been completed; 0 means that implementation has not been completed.
- 2) This table shows the results provided by the States, which have not been audited by the USOAP.



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25 July 2016

Subject: Implementing State safety programme (SSP)

Action required: Use the ICAO State safety programme (SSP) gap analysis tool and Universal Safety Oversight Audit Programme (USOAP) self-assessment to facilitate the monitoring and implementation of SSP

Sir/Madam,

1. I have the honour to refer to the outcome of the Second High-level Safety Conference (HLSC 2015) held at the ICAO Headquarters in Montréal, Canada from 2 to 5 February 2015 regarding the monitoring of implementation of the State safety programme (SSP) in order to determine progress made towards the Global Aviation Safety Plan (GASP) objectives. The Recommendations developed by the HLSC 2015 were reviewed and endorsed by the Council during its 205th Session on 15 June 2015.

2. Your attention is drawn in particular to Recommendation 2/1 2.1 b) 1), regarding SSP gap analysis, which applies to all States. As per Chapter 4 of ICAO's Doc 9859, *Safety Management Manual (SMM)*, before developing an SSP implementation plan, the State needs to conduct a gap analysis of existing State systems and programmes against the ICAO SSP framework and supporting guidance material to assess the existence and maturity of the respective SSP elements.

3. After performing an SSP gap analysis, States with an effective implementation (EI) of the eight Critical Elements (CEs) above 60 per cent are requested to use the USOAP continuous monitoring approach (CMA) protocol questions (PQs) to conduct a detailed self-assessment using the CMA online framework. This self-assessment will enable States to evaluate their level of implementation of the SSP for the specific aspects covered by the PQs and to submit supporting evidence through the CMA online framework at (<http://www.icao.int/usoap>).

4. I am pleased to inform you that ICAO has developed an online application to assist States in conducting an SSP gap analysis which can be found on iSTARS at (<http://www.icao.int/safety/istars>). All actions and information related to implementation of SSP that States enter in the SSP gap analysis tool are treated confidentially and are not disclosed by ICAO. ICAO will periodically collect high-level statistics and produce graphs showing aggregated information to estimate the level of SSP implementation regionally and globally.

Accept, Sir/Madam, the assurances of my highest consideration.

Fang Liu
Secretary General