



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

FOLLOW-UP TO GOALS RELATED TO THE IMPLEMENTATION OF THE STATE SAFETY PROGRAMME (SSP) AND THE SAFETY MANAGEMENT SYSTEM (SMS)

(Presented by the Secretariat)

SUMMARY

This working paper (WP) presents updated information on the follow-up to 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:

- 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 flight safety directors of the SAM Region (Lima, Peru, 21-22 October 2013)
- Report of the Second meeting of air navigation and flight safety directors of the SAM Region (Lima, Peru, 14-16 September 2015)
- Report of the Fourth Annual meeting of State safety programme (SSP) coordinators (Lima, Peru, 16-18 March 2015).
- Report of the Third meeting of air navigation and flight safety directors of the SAM Region (Lima, Peru, 22-24 August 2016)
- Fifth meeting on SSP implementation (7-11 November 2016)
- Sixth meeting on SSP implementation (8-12 May 2017)

ICAO strategic objectives:

A - Safety

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, through the Declaration of Bogota, undertook to pursue the following regional goals related to the implementation of the State safety programme (SSP) and the safety management system (SMS):

- *67% SSP implementation; and*
- *100% capacity to oversee service providers' SMS*

1.2 The progress made was measured at the Fifth meeting held in Lima, Peru, on 7-11 November 2016.

2. Follow-up to the SSP and SMS implementation goals

State safety programme (SSP)

2.1.1 The SAM Office established the meetings on SSP implementation starting in 2013. The fifth meeting on SSP implementation, held in Lima, Peru on 7-11 November 2016, analysed the status of SSP implementation in SAM States.

2.1.2 At that meeting, some States showed more progress than others. Accordingly, it was agreed to start programme implementation from the first element of the first SSP implementation phase, seeking a mechanism to allow all States to proceed at the same pace. In this regard, Bolivia, Chile, Colombia, Ecuador, Panama, Peru, and Venezuela expressed their intention to participate in a pilot project for SSP implementation until the end of 2018. Colombia joined the pilot project once the USOAP CMA audit conducted by ICAO on 5-15 June 2017 had been completed.

2.1.3 The pilot project for SSP implementation in SAM States was launched on 16 March 2017, with the seven (7) aforementioned States. Subsequently, Guyana requested to join the project, thus becoming the eighth member of the pilot project.

2.1.4 The objective of the pilot project is to develop legislation, regulations, guidance material, processes, mechanisms, and model systems related to safety management to support SAM States in the implementation of SSP within a period of two years.

2.1.5 The pilot project comprises fifteen (15) projects and one (1) general project, which will be executed until the end of 2018, ensuring implementation in the eight (8) aforementioned States and in the remaining SAM States that may wish to participate therein.

2.1.6 At present, the 16 working groups are developing their programme of activities in support of SSP implementation in the SAM Region.

2.1.7 **Appendix A** contains the list of participants of the SSP pilot project working groups, and **Appendix B** shows the deliverables of each working group.

2.1.8 In order to ensure SSP implementation in the eight States participating in the pilot project, said States agreed to follow the SSP implementation plan shown in **Appendix C** to this working paper. According to the timetable of this plan, seven (7) of the States participating in the pilot project have already delivered the first element of Phase 1, related to the designation of the SSP appropriate organisation and accountable executive.

2.1.9 In order to meet the first strategic objective of the SAM safety plan, and in line with the provisions of Annex 19, the ICAO South American Regional Office will consult the States that are not participating in the pilot project (Argentina, Brazil, Paraguay, Suriname, and Uruguay) regarding the submission of their SSP implementation plans by December 2020. However, it should be noted that the second edition of Annex 19 is to become effective on **7 November 2019**.

Safety management system (SMS)

2.1.10 Once SAM States have implemented the SSP, the SMS will be measured in each of them.

3. Suggested action

3.1 The Meeting is invited to:

- a) take note of the information presented in this working paper and in Appendices A, B and C; and
- b) review and discuss:
 - ✓ the performance of the pilot project; and
 - ✓ the consultation to the States that are not participating in the pilot project regarding the submission of their SSP implementation plans by December 2020.

**Pilot project for the implementation of the State Safety Programme (SSP) in the SAM Region
Working groups participants list, project titles and rapporteurs
(2017-2018)**

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
Group 1			
<p>1A. Project for the development of an amendment to primary aviation legislation to establish a SSP legislative framework for States requiring it (CAA/AIG)</p> <p>1B. Project for the development of an instrument different to primary aviation legislation in which SSP legislative framework be established (CAA/AIG)</p>	Bolivia		<p>Marcelo Maldonado Rueda DGAC Secretary General C. 591-72055211 mmaldonado@dgac.gob.bo</p> <p>Fernando Pizarro Alcazar Juridical Analysis Specialist C. 591-68215912 cpizarro@dgac.gob.bo</p> <p>Lenny Sanz Guerrero Juridical Management Professional III C. 591-71558973 lsanzguerrero@dgac.gob.bo</p>
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3. Project to develop an enforcement policy and primary legislation (sanctions) (CAA)	Bolivia		Marcelo Maldonado Rueda DGAC Secretary General C. 591-72055211 mmaldonado@dgac.gob.bo Fernando Pizarro Alcazar Juridical Analysis Specialist C. 591-68215912 cpizarro@dgac.gob.bo Lenny Sanz Guerrero Juridical Management Professional III C. 591-71558973 lsanzguerrero@dgac.gob.bo

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4. Project to develop primary legislation for the establishment of an independent AIG Authority (AIG)	Bolivia	Project rapporteur on primary legislation for the establishment of an independent AIG Authority (AIG): Mr. Fernando Pizarro Alcázar	Marcelo Maldonado Rueda DGAC Secretary General C. 591-72055211 mmaldonado@dgac.gob.bo Fernando Pizarro Alcazar Juridical Analysis Specialist C. 591-68215912 cpizarro@dgac.gob.bo Lenny Sanz Guerrero Juridical Management Professional III C. 591-71558973 lsanzguerrero@dgac.gob.bo
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	Panama		Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006 Eunides Pérez eperez@aeronautica.gob.pa T. (507) 315-9811
	Peru	Project rapporteur on high and low consequence indicators, including its corresponding targets and alerts levels: Mr. Jorge Dupuich	Jorge Dupuich jdupuich@mtc.gob.pe T. 511 6157800 Ext. 7882 Jorge Amoros jamoros@mtc.gob.pe T. 511 6157800 Ext. 6976 Víctor Arcaya varcaya@mtc.gob.pe T. 511 6157800 Ext. 1195 Francisco Burgos fburgos@mtc.gob.pe Luis Zavala azavala@mtc.gob.pe T. 511 6157800 Ext. 1453 Roger Soca rsoca@mtc.gob.pe Fredy Guzmán fguzman@mtc.gob.pe T. 511 6157800 Ext. 1451 Fernando Torres ftorres@mtc.gob.pe T. 511 6157800 Ext. 1307

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
	Venezuela		
4. Project for the development of safety hazard identification and risk evaluation process	Bolivia		Edgar Chávez Balcázar Operations Inspector C. 591-72148791 echavez@dgac.gob.bo René Delgado Rua Chief of AGA Unit C. 591-72040975 rdelgado@dgac.gob.bo Reynaldo Cusi Chief of ATM – SAR Unit C. 591-67010752 rcusi@dgac.gob.bo
	Chile	Project rapporteur for the development of safety hazard identification and risk evaluation process: Mr. Pedro Larrañaga	Pedro Larrañaga plarranaga@dgac.gob.cl T. 56 2 2439 2498
	Colombia		Camilo Micolta Ramirez camilo.micolta@aerocivil.gov.co T. (+57-1)2962697 John Alexander Amado Toro john.amado@aerocivil.gov.co T. (+57-1)2962578
	Ecuador		Patricio Gavilanes Patricio.gavilanes@aviacioncivil.gob.ec T. 2947400 ext. 2245 Luis Chávez Luis.chavez@aviacioncivil.gob.ec T.2947400 ext. 2245

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			Byron Ruiz byron.ruiz@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4950
	Guyana		Raleigh Bickford cbrikford@gcaa-gy.org 592-608-4191 Chaitrani Heeralall cheeralall@gcaa-gy.org 592-608-7936
	Panama		Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006 Eunides Pérez eperez@aeronautica.gob.pa T. (507) 315-9811
	Peru		Jorge Dupuich jdupuich@mtc.gob.pe T. 511 6157800 Ext. 7882 Jorge Amoros jamoros@mtc.gob.pe T. 511 6157800 Ext. 6976 Víctor Arcaya varcaya@mtc.gob.pe T. 511 6157800 Ext. 1195 Francisco Burgos fburgos@mtc.gob.pe Luis Zavala azavala@mtc.gob.pe T. 511 6157800 Ext. 1453 Roger Soca rsoca@mtc.gob.pe Fredy Guzmán fguzman@mtc.gob.pe T. 511 6157800 Ext. 1451
	Venezuela		David Romero da.romero@inac.gob.ve ; davidromerojugador@gmail.com

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			T. +58 212 3034627 C. +58 412 0321422 José Cadenas jose.cadenas@inac.gob.ve ; josecadenas12@gmail.com T. +58 212 3034627 C. +58 414 5635687
5. Project for developing the policy and procedures of the State safety surveillance programme, including inspections prioritization (CAA)	Bolivia	Project rapporteur on safety surveillance / prioritization of inspections: Mr. Edgar Chávez	Edgar Chávez Balcázar Operations Inspector C. 591-72148791 echavez@dgac.gob.bo René Delgado Rua Chief of AGA Unit C. 591-72040975 rdelgado@dgac.gob.bo Reynaldo Cusi Mita Chief of ATM – SAR Unit C. 591-67010752 rcusi@dgac.gob.bo
	Chile		Lorenzo Sepúlveda lsepulveda@dgac.gob.cl T. 56 2 2439 2498
	Ecuador		Diego Estrada diego.estrada@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4933 Byron Torres Byron.Torres@aviacioncivil.gob.ec T. 3948400 ext 2245 Juan Pablo González Jp.Gonzalez@aviacioncivil.gob.ec T. 2947400 etx 4932
	Colombia		Alexis Suarez Garcia alexis.suarez@aerocivil.gov.co T. (+57-1)296 XXXX

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			Andres Eduardo Parra Catama andres.parra@aerocivil.gov.co T. (+57-1)2962460
	Guyana		Cargill Kyte ckyte@gcaa-gy.org 592-608-3220 Christopher Kirkcaldy ckirkaldy@gcaa-gy.org 592-608-3221 Rohan Persaud rpersaud@gcaa-gy.org 592-608-8776
	Panama		Alberto de Icaza aicaza@aeronautica.gob.pa T. (507) 501-9239 / 9240 Ivette Iturrado ivettei@aeronautica.gob.pa T. (507) 315-9822 Antonio Valderrama avalderrama@aeronautica.gob.pa T. (507) 501-9519 Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006
	Peru		Jorge Dupuich jdupuich@mtc.gob.pe T. +511 6157800 Ext. 7882 Jorge Amoros jamoros@mtc.gob.pe T. +511 6157800 Ext. 6976 Francisco Burgos fburgos@mtc.gob.pe Luis Zavala azavala@mtc.gob.pe T. +511 6157800 Ext. 1453

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			Roger Soca rsoca@mtc.gob.pe Fredy Guzmán fguzman@mtc.gob.pe T. +511 6157800 Ext. 1451 Simón Samolski ssamolski@mtc.gob.pe T. +511 6157800 Ext. 7758
	Venezuela		David Romero da.romero@inac.gob.ve ; davidromerojugador@gmail.com T. +58 212 3034627 C. +58 412 0321422
6. Project for the development of a mechanism for SSP internal review, to guarantee its continuous efficiency and improvement	Bolivia		Edwin Morales Irahola Airworthiness Inspector C. 591-71864218 emorales@dgac.gob.bo
	Chile		Lorenzo Sepúlveda lsepulveda@dgac.gob.cl T. 56 2 2439 2498
	Colombia		Sergio Francisco Velasquez Vega sergio.velasquez@aerocivil.gov.co T. (+57-1)2962364 Jovanny Sanchez jovannysanchezbolivar@yahoo.com C. (+57)3116320545
	Ecuador		Galo Cevallos galo.cevallos@aviacioncivil.gob.ec T. 5932 294 7400 Ext. 4830 Helena Albuja helena.albuja@aviacioncivil.gob.ec T. 5932 294 7400 Ext. 4552

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
	Guyana		Cargill Kyte ckyte@gcaa-gy.org 592-608-3220 Khrisanand Ramlachana kram@gcaa-gy.org 592-608-7364
	Panama		Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006 Eunides Pérez eperez@aeronautica.gob.pa T. (507) 315-9811
	Peru		Fernando Torres ftorres@mtc.gob.pe T. 511 6157800 Ext. 1307 Marco Trigoso mtrigoso@mtc.gob.pe Jorge Amoros jamoros@mtc.gob.pe T. 511 6157800 Ext. 6976 Luis Luna llunac@mtc.gob.pe Jorge Falco jfalco@mtc.gob.pe T. 511 6157800 Ext. 7977
	Venezuela	Project rapporteur on SSP internal revision mechanism / State quality control system: Mr. David Romero	David Romero da.romero@inac.gob.ve ; davidromerojugador@gmail.com T. +58 212 3034627 C. +58 412 0321422
7. Project for the development of SSP and SMS training modules addressed to the State personnel participating in the implementation and operation of the SSP (CAA/AIG)	Bolivia	Project rapporteur on SSP and SMS training programme: Mr. Edgar Chávez	Teddy Czerniewicz Suárez Operations Inspector C. 591-72147038 tczerniewicz@dgac.gob.bo Edgar Chávez Balcázar

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			Operations Inspector C. 591-72148791 echavez@dgac.gob.bo
	Chile		Pedro Larrañaga plarranaga@dgac.gob.cl T. 56 2 2439 2498
	Colombia		Adriana Inés Rico Useche adriana.rico@aerocivil.gov.co T. (+57-1)2962219 Walter Dario Lopez walter_dario_lopez@hotmail.com C. (+57)3124455544
	Ecuador		Patricio Torres patricio.torres@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4830 Mauricio Hidalgo mauricio.hidalgo@aviacioncivil.gob.ec T. 5932 294 7400 Ext. 5053
	Guyana		Chaitrani Heeralall cheeralall@gcaa-gy.org 592-608-7936 Codzo Fowler cfowler@gcaa-gy.org 592-665-1300 Mohammed Saeed Khan mkhan@gcaa-gy.org Paula Mc Adam pmcadam@gcaa-gy.org 592-608-4211
	Panama		Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006 Eunides Pérez

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			<p>eperez@aeronautica.gob.pa T. (507) 315-9811</p>
	Peru		<p>Fernando Torres ftorres@mtc.gob.pe T. 511 6157800 Ext. 1307</p> <p>Adolfo Medina amedina@mtc.gob.pe T. 511 6157800 Ext. 7713</p> <p>Marco Trigoso mtrigoso@mtc.gob.pe</p> <p>Jorge Amoros jamoros@mtc.gob.pe T. 511 6157800 Ext. 6976</p> <p>Luis Luna llunac@mtc.gob.pe</p>
	Venezuela		<p>José Cadenas jose.cadenas@inac.gob.ve; josecadenas12@gmail.com T. +58 212 3034627 C. +58 414 5635687</p> <p>Alexis Patearroy a.patearroy@inac.gob.ve roytrunfos@gmail.com T.: +58 212 3034627 C.: +58 426 5179443</p>

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
8. Project for the development of SMS regulations, procedures and checklists for inspectors, and orientation texts for services providers, regarding the following audit areas: PEL, OPS, AIR, ANS y AGA (CAA)	Bolivia	Project rapporteur on SMS regulations and guidance material: Mr. Edgar Chávez	Edgar Chávez Balcázar Operations Inspector C. 591-72148791 echavez@dgac.gob.bo René Delgado Rúa Chief AGA Unit C. 591-72040975 rdelgado@dgac.gob.bo Reynaldo Cusi Mita Chief ATM – SAR Unit C. 591-67010752
	Chile		Pedro Larrañaga plarranaga@dgac.gob.cl T. 56 2 2439 2498
	Colombia		Cap. Camilo Micolta Ramirez camilo.micolta@aerocivil.gov.co T. (+57-1)2962697 Dra. Adriana Inés Rico Useche adriana.rico@aerocivil.gov.co T. (+57-1)2962219
	Ecuador		Byron Ruiz byron.ruiz@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4950 Augusto Diaz augusto.diaz@aviacioncivil.gob.ec T. +593 2294 7400 Ext. 4630 Mauricio Hidalgo mauricio.hidalgo@aviacioncivil.gob.ec T.+5932 294 7400 Ext. 5053 Patricio Gavilanes patricio_gavilanes@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4665

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			Mauricio Naranjo mauricio_naranjo@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4931
	Guyana		Howard Mc Calla Hmccalla@gcaa-gy.org 592-608-6969 Cargill Kyte ckyte@gcaa-gy.org 592-608-3220 Rex Hamza rhamza@gcaa-gy.org 592-608-6949 Khrisanand Ramlachana kram@gcaa-gy.org 592-608-7364 Ayesha Edwards aedwards@gcaa-gy.org 592-690-2380 Adrian Bassier abassier@gcaa-gy.org 592-608-7520 Codzo Fowler cfowler@gcaa-gy.org 592-665-1300
	Panama		Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006 Milagro Gonzalez milagroc@aeronautica.gob.pa T. (507) 501-9525
	Peru		Luis Zavala azavala@mtc.gob.pe T. 511 6157800 Ext. 1453 Fredy Guzman fguzman@mtc.gob.pe

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			T. 511 6157800 Ext. 1451 Francisco Burgos fburgos@mtc.gob.pe Juan Rojas vrojas@mtc.gob.pe T. 511 6157800 Ext. 6701 Jorge Falco jfalco@mtc.gob.pe T. 511 6157800 Ext. 7977
	Venezuela		Alexis Patearroy a.patearroy@inac.gob.ve roytrunfos@gmail.com T.: +58 212 3034627 C.: +58 426 5179443
Group 4			
1. Project to develop the SSP general implementation plan (Global Gantt Chart)	Bolivia		Marco Castrillo Franco Chief ICAO Project C. 591-71520089 mcastrillo@dgac.gob.bo
	Chile		Lorenzo Sepúlveda lsepulveda@dgac.gob.cl T. 56 2 2439 2498 Leonel Schüler lschuler@dgac.gob.cl T. 56 2 2439 2434
	Colombia		Olga Beatriz Martínez Mariño beatriz.martinez@aerocivil.gov.co T. (+57-1)2962277 Sergio Francisco Velasquez Vega sergio.velasquez@aerocivil.gov.co T. (+57-1)2962364

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
	Ecuador	Project rapporteur on general implementation plan: Mr. Juan Carlos Alvarez	Juan Carlos Alvarez juan_alvarez@aviacioncivil.gob.ec T. (593) 2 223 1006 C. 5939 99661771 Diego Estrada diego.estrada@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4933
	Guyana		Cargill Kyte ckyte@gcaa-gy.org 592-608-3220 Ahmad Nizamudeen adroms@gcaa-gy.org 592-608-9310
	Panama		Julio Martinis jmartinis@aeronautica.gob.pa T. (507) 501-9304 / 9300 Raúl A. Samaniego and OGCS team rsamaniego@aeronautica.gob.pa T. (507) 501-9526 / 9524 /9006
	Peru		Fernando Torres ftorres@mtc.gob.pe T. 511 6157800 Ext. 1307 Jorge Dupuich jdupuich@mtc.gob.pe T. 511 6157800 Ext. 7882 Jorge Amoros jamoros@mtc.gob.pe T. 511 6157800 Ext. 6976 Víctor Arcaya varcaya@mtc.gob.pe T. 511 6157800 Ext. 1195 Francisco Burgos fburgos@mtc.gob.pe Luis Zavala

Group No./Projects	State	Project Rapporteur	Project Working Group (Name, Email Address and Telephone No.)
			<p>azavala@mtc.gob.pe T. 511 6157800 Ext. 1453</p> <p>Milwar Tejada mtejada@mtc.gob.pe T. 511 6157800 Ext. 7874</p> <p>Fredy Guzman fguzman@mtc.gob.pe T. 511 6157800 Ext. 1451</p> <p>Simón Samolski ssamolski@mtc.gob.pe T. 511 6157800 Ext. 7758</p> <p>Juan Rojas jrojas@mtc.gob.pe T. 511 6157800 Ext. 6701</p>
	Venezuela		

APPENDIX B

**SSP Working Groups
Projects, rapporteurs, deliverables, target dates, and reference material**

Group and project number	Rapporteur of each project	Deliverables and target dates	Reference material
Group No. 1			
<p>1A. Project for the development of an amendment to the primary aviation legislation, specifying the SSP legislative framework for the States that so require. (CAA/AIG)</p>	<p>Sr. Galo Cevallos, Ecuador galo.cevallos@aviacioncivil.gob.ec T. 5932 294 7400 Ext. 4830</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: 28 April 2017 ✓ Develop an amendment to the primary aviation legislation, specifying the SSP legislative framework for the States that so require. For these States, the primary aviation legislation should specify that safety management is a specific function of the civil aviation authority. It should also define the required powers and the responsibilities of the State official in charge of managing and coordinating SSP implementation and operation in accordance with PQ LEG 1.016. ✓ Changes to the legislation depend on the existing legislation in each State. However, the inclusion of the concept in the primary aviation legislation (law or 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition: <ul style="list-style-type: none"> • Paragraph 3.2.1 – Primary aviation legislation; • Appendix 1, Section 1 – Primary aviation legislation (CE-1) ✓ Doc 9859, Fourth edition <ul style="list-style-type: none"> • Section 6.2 – SSP Component 1, 6.2.1 – Primary aviation legislation. ✓ Primary aviation legislation (law or aeronautical code or act) or regulatory bodies of other States, for example: <ul style="list-style-type: none"> • Finland (amended its law) • Spain enacted a law ✓ PQs (2016): LEG 1.016

		<p>aeronautical code or act) contributes to the promotion of the SSP.</p> <p>Note.- The term “primary aviation legislation” used in the context of the protocol questions (PQs) of the Continuous Monitoring Approach (CMA) of the Universal Safety Oversight Audit Programme (USOAP), includes all types of provisions and/or instruments enacted and applicable in the State (<i>e.g.</i>, laws, acts, codes, and international treaties).</p>	
<p>1B. Project for the development of an instrument other than the primary aviation legislation, specifying the SSP legislative framework. (CAA/AIG)</p>	<p>Mrs. Paulina Radrigan, Chile pradrigan@dgac.gob.cl 56 2 2439 2464</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>28 April 2017</u> ✓ Develop an instrument (decree, regulation, etc.) other than the primary aviation legislation, specifying the SSP legislative framework. ✓ Each State decides whether or not the primary aviation legislation should specify that safety management is a specific role of the civil aviation authority. Some States consider that safety management is part of their safety oversight responsibilities and thus do not specifically mention SSP 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition: <ul style="list-style-type: none"> • Paragraph 3.2.1 – Primary aviation legislation; • Appendix 1, Section 1 – Primary aviation legislation (CE-1) ✓ Doc 9859, Fourth edition <ul style="list-style-type: none"> • Section 6.2 – SSP Component 1, 6.2.1 – Primary aviation legislation. ✓ Regulatory bodies of States that have not amended their primary aviation legislation, for example: <ul style="list-style-type: none"> • China developed a

		<p>in their primary aviation legislation. In these cases, the States shall provide evidence that the SSP has been implemented, that it is clearly established in other documents, and meets the provisions of Annex 19.</p>	<p>regulation for the establishment of specific requirementsç</p> <ul style="list-style-type: none"> • The United Kingdom did not amend its primary or secondary legislation. The provisions for the adoption of the Chicago Convention and its Annexes are established in Section 60 of the Civil Aviation Act 1982 of such Kingdom. <p>PQs (2016): LEG 1.016</p>
<p>2. Project for the development of legislation, regulations, and procedures for the protection of safety data and information (CAA/AIG)</p>	<p>Mrs. Verónica Pajuelo, Peru vpajuelo@mtc.gob.pe Phone 6157800 Ext.7730</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>28 April 2017</u> ✓ Develop legislation, regulations, and procedures for the protection of safety data and information in accordance with Annex 19, Second edition, paragraph 5.3 and Appendix 3. ✓ Paragraph 1.2 of Appendix 3 to Annex 19, Second edition, contains the following specific provision that seeks to ensure that there is no overlap with the protection of investigation records under Annex 13. <i>1.2 When an investigation</i> 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition, Paragraph 5.3 – Safety data and safety information protection. ✓ Annex 19, Second edition, Appendix 3 – Principles for the protection of safety data, safety information and related source. ✓ Doc 9859, Third edition: <ul style="list-style-type: none"> • Appendix 5 to Chapter 4 – Safety information protection ✓ Primary aviation legislation (law or aeronautical code or act) or other regulatory

		<p><i>under Annex 13 – Aircraft Accident and Incident Investigation, accident and incident investigation records listed in 5.12 of Annex 13 shall be subject to the protections accorded therein instead of the protections accorded by this Annex (Annex 19).</i></p>	<p>bodies of other States or regions.</p>
<p>3. Project for the development of basic enforcement (penalty) policy and legislation (CAA)</p>	<p>Sr. Patricio Torres, Ecuador patricio.torres@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4830</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: 14 April 2017 ✓ Develop a basic enforcement (penalty) policy and legislation. According to SSP Element 1.4 (i), the State should establish <u>fundamental legislative provisions for regulatory enforcement (penalty) action, including suspension or revocation of certificates.</u> ✓ The <u>enforcement policy and procedures</u> will be developed within the framework of this project. ✓ In an SSP-SMS environment, the State's regulatory enforcement policy and procedures must establish: <ul style="list-style-type: none"> a) the conditions and circumstances under 	<ul style="list-style-type: none"> ✓ Annex 19, Second Edition 3.2.1.2 ✓ Doc 9859, Third edition: <ul style="list-style-type: none"> • Paragraph 4.4.7 • SSP elements 1.4 (i) and 1.4 (ii). • Appendix 10 to Chapter 4 • Appendix 11 to Chapter 4 ✓ Doc 9859, Fourth edition: <ul style="list-style-type: none"> • Paragraphs 8.2.1.3; 8.2.1.4 and 8.2.1.5 ✓ Primary aviation legislation (law or aeronautical code or act) or other regulatory bodies of other States or regions. ✓ PQs (2016): LEG 1.056

		<p>which service providers are allowed to deal with, and resolve, events involving certain safety deviations, internally, within the context of the service provider's safety management system (SMS) and to the satisfaction of the appropriate State authority;</p> <ul style="list-style-type: none">b) the conditions and circumstances under which safety deviations are dealt with through established enforcement procedures;c) procedures to ensure that no information obtained from voluntary/confidential reporting systems or equivalent restricted operational data monitoring systems operating under an SMS will be used for enforcement action;d) a process to protect the sources of information obtained from voluntary and confidential reporting systems.	
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<p>4. Project for the development of primary legislation for the establishment of an independent AIG authority (AIG)</p>	<p>Mr. Fernando Pizarro, Bolivia Mobile: 591-68215912 cpizarro@dgac.gob.bo</p> <p>For this project, the rapporteur and the task force will work directly with Messrs. Alexandre Lima Prado and Daniel Barafani, members of the ARCM Technical Committee</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>28 April 2017</u> ✓ Develop primary legislation for the establishment of an independent AIG authority. ✓ Standard 3.3.3 – Accident and incident investigation, of Annex 19, Second edition, prescribes that the States shall establish a process to investigate accidents and incidents in accordance with Annex 13 – <i>Aircraft accident and incident investigation</i>, in support of the management of safety in the State. ✓ Paragraph 3.2 of Annex 13, Amendment 15, prescribes that a State shall establish an accident investigation authority that is independent from State aviation authorities and other entities that could interfere with the conduct and objectivity of an investigation. Note.- Guidance on the independence of an accident investigation authority is contained in the Manual of aircraft accident and incident investigation, Part I — Organization and Planning (Doc 9756) and the Manual 	<ul style="list-style-type: none"> ✓ Annex 19; Second edition: <ul style="list-style-type: none"> • Paragraph 3.3.3 – Accident and incident investigation ✓ Annex 13, Amendment 15: <ul style="list-style-type: none"> • Paragraph 3.2 – Independence of investigations ✓ Doc 9859, Third edition: <ul style="list-style-type: none"> • SSP element 1.3. ✓ Doc 9859, Fourth edition: <ul style="list-style-type: none"> • Paragraph 6.3.3 ✓ Doc 9756, Part I – Organization and planning ✓ Doc 9962 - Manual on accident and incident investigation policies and procedures ✓ ICAO Model AIG Act, Second Edition (unedited version), December 2016 ✓ Primary aviation legislation of other States for the establishment of an independent AIG authority. ✓ PQs (2016): AIG 6.005
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		<p>on accident and incident investigation policies and procedures (Doc 9962).</p> <p>✓ In accordance with SSP Element 1.3 of Doc 9859, Third edition, a State must:</p> <ul style="list-style-type: none">a) ensure that the national legislative framework includes provisions for the establishment of an independent accident and incident investigation process which is administered by an independent organization, bureau, commission or other body;b) establish an accident and incident investigation organization, bureau, commission or other body which is independent from all other State aviation organizations. In States where it may not be practical to establish a permanent accident investigation entity, a competent accident investigation commission or board may be appointed for each accident to be	
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		<p>investigated. Alternatively, such States may consider the services of an RAIO (see Doc 9946);</p> <p>c) establish mechanisms to ensure that the sole objective of the accident and incident investigation process is the prevention of accidents and incidents, in support of the management of safety in the State, and not the apportioning of blame or liability.</p>	
Group No. 2			
<p>1. Project for the development of the process for the implementation of the safety data collection and processing system (SDCPS) / SSP database and data exchange systems (CAA, AIG)</p>	<p>Mr. Lorenzo Sepúlveda, Chile lsepulveda@dgac.gob.cl 56 2 2439 2498</p> <p>Mr. Alonso Lefno, Chile alefno@dgac.gob.cl 56 2 2439 2376</p>	<p>✓ Gantt chart on the project mentioned below: 28 April 2017</p> <p>✓ Develop a process for the implementation of the safety data collection and processing system (SDCPS) / SSP database and data exchange systems that includes the corresponding procedures and mechanisms. (CAA, AIG)</p> <p>✓ Regarding the SDCPS, Section 5.1 of Annex 19, Second edition, specifies the following: 5.1 Safety data collection</p>	<p>✓ Annex 19, Second edition, Chapter 5, Section 5.1 – Safety data collection and processing systems (SDCPS)</p> <p>✓ Doc 9859, Third edition:</p> <ul style="list-style-type: none"> • 4.4.12 and 4.4.16 • Element 3.2 (i) a) • Appendix 3 to Chapter 4 <p>✓ Doc 9859, Fourth edition:</p> <ul style="list-style-type: none"> • Chapter 5 – Collection, analysis, sharing, and exchange of safety

		<p>and processing systems</p> <p>5.1.1 States shall establish safety data collection and processing systems (SDCPS) to capture, store, aggregate and enable the analysis of safety data and information.</p> <p><i>Note 1.- SDCPS refers to processing and reporting systems, safety databases, schemes for exchange of information, and recorded information including but not limited to:</i></p> <ul style="list-style-type: none"> a) <i>data and information pertaining to accident and incident investigations;</i> b) <i>data and information related to safety investigations by State authorities or aviation service providers;</i> c) <i>mandatory safety reporting systems as indicated in 5.1.2;</i> d) <i>voluntary safety reporting systems as indicated in 5.1.3; and</i> e) <i>self-disclosure reporting systems, including automatic data capture systems, as described in Annex 6, Part I, Chapter 3, as well as manual data capture systems.</i> 	<p>data and information</p> <ul style="list-style-type: none"> ✓ SDCPS of other States that have already developed such systems, VisiumAQD ✓ PQs (2016): AIG 6.506; AIG 6.513
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		<p><i>Note 2.- Guidance related to SDCPS is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p> <p><i>Note 3.- The term “safety database” may refer to a single or multiple database(s).</i></p> <p><i>Note 4.- SDCPS may include inputs from State, industry and public sources, and may be based on reactive and proactive methods of safety data and safety information collection.</i></p> <p><i>Note 5.- Sector-specific safety reporting provisions are contained in other Annexes, PANS and SUPPs. There is a recognized benefit to the effective implementation of an SSP in having an integrated approach for the collection and analysis of the safety data and safety information from all sources.</i></p> <p>5.1.2 States shall establish a mandatory safety reporting system that includes the reporting of incidents.</p> <p>5.1.3 States shall establish a voluntary safety reporting system to collect safety data and safety information not captured by mandatory safety reporting systems.</p> <p>5.1.4 Recommendation. - <i>State authorities responsible for</i></p>	
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		<p><i>the implementation of the SSP should have access to the SDCPS as referenced in 5.1.1 to support their safety responsibilities, in accordance with the principles in Appendix 3.</i></p> <p>Note.- State authorities responsible for the implementation of the SSP include accident investigation authorities.</p> <p>5.1.5 Recommendation.- <i>The safety databases should use standardized taxonomy to facilitate safety information sharing and exchange.</i></p> <p><i>Note.- States are encouraged to use an ADREP-compatible system. More information on ADREP can be found in Annex 13, Aircraft accident and incident investigation, Chapter 7.</i></p> <p>✓ Regarding this project, States should:</p> <p>a) set up mechanisms and procedures for collecting and analysing mandatory/reportable occurrences by the aggregate State level. This would require the State to:</p> <p>1) establish a mandatory or reportable occurrence procedure for</p>	
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		<p>certified/approved service providers of each aviation sector to report (mandatory basis) accidents and serious incidents to the appropriate AIG authority. This should include major or mandatory defect reports (MDR) where appropriate;</p> <p>2) establish requirements for service providers to have an internal occurrence investigation and resolution process that documents the investigation results and makes the reports available to their respective regulatory organization;</p> <p>3) ensure that there is an appropriate integration, consolidation, and aggregation of data collected from the various aviation sectors at the SSP level. Safety data should not exist as independent or stand-alone databases at the individual sector level only. This integration</p>	
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		<p>aspect should also be addressed for the respective safety databases of the CAA and those of the independent accident investigation authority, including those States where certain safety management functions are discharged by an RSOO or an RAIO on behalf of the State;</p> <ul style="list-style-type: none">✓ The SDCPS should be capable of capturing safety data and information from reactive, proactive and predictive sources.✓ The SDCPS should also be capable of integration into the databases of AIG authorities (ADPREP/ECCAIRS), internal databases of regulatory (CAA) and administrative bodies of the State, service provider databases, databases of other States (where applicable), databases of Regional Safety Oversight Organisations (RSOO), databases of Regional Accident and Incident Investigation Organisations (RAIO), and databases of other	
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		stakeholders, such as IATA, Flight Safety Foundation, etc.	
2. Project for checking the establishment and implementation of the ICAO accident/incident data reporting system (ADREP)	<p>Mr. Kyhumell Ponte, Venezuela kponte@mpptaa.gob.ve, kyhumell@gmail.com</p> <p>For this project, the rapporteur and the task force will work directly with Messrs. Arturo Martínez and Víctor Godoy of the ARCM Technical Committee.</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>14 April 2017</u> ✓ Check that all SAM States have established and implemented the ADREP system. This project will use the ECCAIRS system as its IT platform. ✓ Also check the connection between the ADREP IT platforms of SAM States and the safety data collection and processing system (SDCPS) of the AIG Regional Cooperation Mechanism (ARCM) of South America. ✓ Check that the databases have been created in a standardized format that facilitates the exchange of data. ✓ Check if the taxonomy used is compatible with that of ADREP / European co-ordination centre for aviation incident reporting systems (ECCAIRS). 	<ul style="list-style-type: none"> ✓ Annex 13, Amendment 15, Section 8.1 ✓ Annex 13, Amendment 15, Chapter 7 – ADREP reporting ✓ Annex 13, Amendment 15, Attachment B – Notification and reporting checklist ✓ Doc 9962, 12.1.2 and 12.1.3 ✓ PQs (2016): AIG 6.507; AIG 6.509

		<p>✓ Regarding AIG databases, Section 8.1 of Annex 13, Amendment 15 specifies the following:</p> <p>8.1 A State shall establish and maintain an accident and incident database to facilitate the effective analysis of information on actual or potential safety deficiencies and to determine any preventive actions required.</p> <p><i>Note.- Additional information on which to base preventive actions may be contained in the final reports on accidents and incidents that have been investigated.</i></p> <p>8.2 Recommendation.- State authorities responsible for the implementation of the SSP should have access to the accident and incident database referenced in 8.1 to support their safety responsibilities.</p>	
<p>3. Project for the development of a standardized ADREP taxonomy between the SDCPS/SSP database and the ICAO ADREP system (CAA/AIG)</p>	<p>Mr. Alonso Lefno, Chile alefno@dgac.gob.cl 56 2 2439 2376</p> <p>For this project, the rapporteur and the task force will work directly with Messrs. Arturo Martínez, Víctor Godoy, and Alexandre Lima Prado of the ARCM Technical Committee</p>	<p>✓ Gantt chart on the project mentioned below: 14 April 2017</p> <p>✓ Develop a process for the implementation of a standardized ADREP taxonomy for SSP SDCPS databases and the ADREP</p>	<p>✓ Annex 19, Second edition, Chapter 5, Section 5.1, Paragraph 5.1.5</p> <p>Recommendation.</p> <p>✓ ICAO ADREP system</p> <p>✓ PQs (2016): AIG 6.509</p>

		<p>system of AIG authorities.</p> <p>✓ Regarding this project, Paragraph 5.1.5 specifies the following:</p> <p>5.1.5 Recommendation.- <i>The safety database should use standardized taxonomy to facilitate information sharing and exchange.</i></p> <p><i>Note.- States are encouraged to use an ADREP-compatible system. More information on ADREP can be found in Annex 13, Aircraft accident and incident investigation, Chapter 7.</i></p>	
Group No. 3			
<p>1. Project for the development of the top-level SSP document and SSP documentation (CAA, AIG)</p>	<p>Sr. Patricio Torres, Ecuador patricio.torres@aviacioncivil.gob.ec T. +5932 294 7400 Ext. 4830</p>	<p>✓ Gantt chart on the project mentioned below: 14 April 2017</p> <p>✓ Develop a top-level SSP model document and a guide for the establishment of SSP documentation.</p> <p>Element 1.2 (i) f) of Doc 9859, Third edition. When establishing the SSP documentation, the process of drafting an SSP document must start at the beginning of the SSP implementation exercise. As SSP components and elements are gradually defined, the description of each element and its associated processes</p>	<p>✓ Doc 9859, Third edition:</p> <ul style="list-style-type: none"> • Element 1.2 (i) f) • Appendix 8 to Chapter 4 – Sample contents of an SSP document <p>✓ Doc 9859, Fourth edition:</p> <ul style="list-style-type: none"> • 8.2.3.4 – Implementation strategy • 4.2.39 • 4.2.40 • 8.6.1.2 <p>✓ Example of SSP documents: Australia, Fiji, New Zealand, and Ireland.</p> <p>✓ PQs (2016): LEG 1.020;</p>

		<p>can be gradually drafted in this high-level document. See Appendix 8 to Doc 9859, Third edition for an illustration of how an SSP document and its content are to be structured.</p> <p>Notwithstanding the above, the new integrated structure of eight (8) critical elements (CEs) and the SSP framework shall be used. Australia has already developed a high-level SSP document that reflects the integrated concept of 8 CEs and SSP framework. This document could serve as a guide for the development of a high-level SSP model document.</p> <p>Regarding the SSP documentation, an SSP documentation system (library/cabinet/folder) should be established within the SSP organisation to serve as a central repository of materials such as the SSP document, associated SOPs, forms, minutes of meetings, and records associated with the implementation and operation of the SSP. These</p>	<p>LEG 1.022; ORG 2.307; ORG 2.309; ORG 2.311</p> <p>✓ The corresponding appendices to Chapter 4 of Doc 9859, Third edition.</p>
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		<p>documents serve as records and evidence of actual activities and the continuous operation of individual SSP elements. Some records, such as confidential reports or reports on events, may be kept in a separate computer system or may reside in another regulatory or administrative body. In such cases, samples or excerpts must be kept in the library, as appropriate. A master table of contents of SSP documentation must help explain all relevant documentation. A consolidated documentation system will facilitate traceability, updating, referencing and internal/external auditing of the system.</p>	
<p>2. Project for the development of model documents concerning the mandatory and voluntary safety reporting systems (AIG/CAA)</p>	<p>Mr. Alonso Lefno, Chile alefno@dgac.gob.cl 56 2 2439 2376</p> <p>For this project, the rapporteur and the task force will work directly with Mr. Alexandre Lima Prado of the ARCM Technical Committee.</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>14 April 2017</u> ✓ Develop model documents concerning the mandatory and voluntary safety reporting systems (AIG/CAA) ✓ In accordance with the following standards of Annex 19, Second edition, develop the documents 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition, Paragraphs 5.1.2 and 5.1.3 ✓ Doc 9859, Third edition, for mandatory safety reporting systems. <ul style="list-style-type: none"> • 2.10; 4.2.30 to 4.2.34 • Appendix 3 to Chapter 4 – Example of a State’s mandatory reporting

		<p>mentioned in the previous paragraph:</p> <ul style="list-style-type: none"> • 5.1.2 States shall establish a mandatory safety reporting system that includes the reporting of incidents. <p>For the establishment and implementation of a mandatory safety reporting system, it is recommended that a model regulation be developed and enacted by civil aviation authorities. This regulation shall contemplate the mandatory, direct, and timely reporting to AIG authorities of accidents, serious incidents, and incidents related to aircraft operations. The reporting of other occurrences not related to aircraft operations can also be part of this regulation, or such regulation can refer to the mandatory reports required in other regulations.</p> <ul style="list-style-type: none"> • 5.1.3 States shall establish a voluntary 	<p>procedure</p> <ul style="list-style-type: none"> ✓ Doc 9859, Third edition, for voluntary safety reporting systems: <ul style="list-style-type: none"> • 2.10; 4.2.35 and 4-4-16 a) • Appendix 2 to Chapter 4 – Guidance on a State’s voluntary and confidential reporting system ✓ Doc 9962, Chapter 12 ✓ PQs (2016): <ul style="list-style-type: none"> • AIG 6.501 for mandatory safety reporting systems • AIG 6.503 and AIG 6.505 for voluntary safety reporting systems ✓ LAR 113 ✓ EASA Regulation No. 376/2014 – Reporting of occurrences ✓ EASA Regulation No. 996/2010 – Investigation and prevention of accidents and incidents in civil aviation ✓ EASA Implementing regulation No. 2015/1018 – Occurrences to be mandatorily reported.
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		<p>safety reporting system to collect safety data and safety information not captured by mandatory safety reporting systems.</p> <ul style="list-style-type: none"> ✓ For the development of model documents for mandatory and voluntary safety reporting systems, consideration shall also be given to Appendix 2 to Chapter 4 – Guidance on a State’s voluntary and confidential reporting system, and Appendix 3 to Chapter 4 – Example of a State’s mandatory reporting procedure, of Doc 9859, Third edition. ✓ Regarding mandatory and voluntary safety reporting systems, the SAM ARCM has developed LAR 113. At the Fourth Meeting of AIG Authorities of the SAM Region (AIG-SAM/4) to be held in Brasilia, Brazil, on 23-25 May 2017, the ARCM Technical Committee will present an amendment to the aforementioned regulation. 	
<p>3. Project for the development of procedures for the acceptance and monitoring of high- and</p>	<p>Mr. Jorge Dupuich, Peru jdupuich@mtc.gob.pe Phone: 6157800 Ext. 7882</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>28 April 2017</u> ✓ Develop procedures for the 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition, Paragraph 3.4.2 – State safety performance

<p>low-consequence indicators, with their respective target and alert levels (AIG/CAA)</p>	<p>For this project, the rapporteur and the task force will work directly with Mr. Jorge Barrios of the SRVSOP Technical Committee.</p>	<p>acceptance and monitoring of high- and low-consequence indicators, with their respective target and alert levels, in accordance with Paragraph 3.4.2 of Annex 19, Second edition.</p> <p>3.4.2 – State safety performance</p> <p>3.4.2.1 States shall establish the acceptable level of safety performance to be achieved through their SSP.</p> <p><i>Note 1.- An acceptable level of safety performance for the State can be achieved through the implementation and maintenance of the SSP as well as safety performance indicators and targets showing that safety is effectively managed and built on the foundation of implementation of existing safety-related SARPs.</i></p> <p><i>Note 2.- Guidance on establishing safety performance indicators and targets, as well as an acceptable level of safety performance, is contained in the Safety Management Manual (SMM) (Doc 9859).</i></p> <p>3.4.2.2 Recommendation.-</p>	<p>✓ Doc 9859, Third edition:</p> <ul style="list-style-type: none"> • Element 3.2 (i) b) • Element 3.2 (ii) b) • Appendix 4 to Chapter 4 – SSP safety performance indicators <p>✓ Doc 9859, Fourth edition:</p> <ul style="list-style-type: none"> • Chapter 9 <p>✓ PQs (2016): ORG 2.315; ORG 2.317; PEL 3.931; PEL 3.933; PEL 3.935; OPS 4.509; OPS 4.511; OPS 4.513; AIR 5.384; AIR 5.385; AIR 5.386; AIR 5.387; AIR 5.705; AIR 5.706; AIR 5.707; AIR 5.708; AIR 5.805; AIR 5.806; AIR 5.807; AIR 5.808; ANS 7.194; ANS 7.195; ANS 7.196; AGA 8.507; AGA 8.509; AGA 8.511</p>
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		<p><i>States should develop and maintain a process to evaluate the effectiveness of actions taken to manage safety risks and resolve safety issues.</i></p> <p><i>Note.- Safety assessment results may be used to support the prioritization of actions to manage safety risks.</i></p> <p>3.4.2.3 Recommendation.- <i>States should evaluate the effectiveness of their individual SSPs to maintain or continuously improve their overall level of safety performance.</i></p> <p>✓ When developing the methodology for determining high- and low-consequence indicators with their target and alert levels, the working group shall also consider Elements 3.2 (i) b) and 3.2 (ii) b) and Appendix 4 to Chapter 4 of Doc 9859 – SSP safety performance indicators.</p> <p>Element 3.2 (i) b) The State should: b) establish basic high-consequence safety indicators (initial ALoSP) and their associated target and alert</p>	
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		<p>settings. Examples of high-consequence safety indicators are accident rates, serious incident rates, and monitoring of high-risk, regulatory, non-compliance outcomes (<i>e.g.</i>, ICAO audit findings). Development and selection of safety indicators should be congruent with the State's safety objectives and safety policy. They should be appropriate and relevant to the scope and complexity of the State's aviation activities. Selection of lower-consequence safety indicators may be addressed at a later stage. Periodic monitoring of the safety indicators for any undesirable trends, alert level breaches and target achievement should be performed. Refer to Appendix 4 for guidance on developing and monitoring safety indicators.</p> <p>Element 3.2 (ii) b) The State should: b) establish lower-consequence safety and/or quality indicators with appropriate target and alert monitoring (mature ALoSP). Selection and development of safety indicators should be congruent with the State's safety objectives and safety</p>	
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		<p>policy and appropriate and relevant to the scope and complexity of the State's aviation activities. Periodic monitoring of the safety indicators for any undesirable trends, alert level breaches and target achievement should be performed. Refer to Appendix 4 for guidance on developing and monitoring safety indicators.</p> <p>New terminology and new concepts pertaining to safety indicators are being included in Chapter 9 of the Fourth edition of Doc 9859 –SMM. Accordingly, a transition to the new guidelines to be published in the Fourth edition of Doc 9859 is foreseen.</p>	
4. Project for the development of a safety hazard identification and risk assessment process	Mr. Pedro Larrañaga, Chile plarranaga@dgac.gob.cl 56 2 2439 2498	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>28 April 2017</u> ✓ Develop a hazard identification and safety risk assessment process in accordance with Paragraph 3.3.4 – Hazard identification and safety risk assessment, of Annex 19, Second edition. Paragraph 6.3.4 of Doc 9859, Fourth edition shall also be taken into account. 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition: <ul style="list-style-type: none"> • Paragraph 3.3.4 – Hazard identification and safety risk assessment ✓ Doc 9859, Fourth edition, Ch. 6, 6.3 – SSP Component 2 <ul style="list-style-type: none"> • Paragraph 6.3.4
5. Project for the	Mr. Edgar Chávez, Bolivia	✓ Gantt chart on the project	✓ Annex 19, Second

<p>development of the policy and procedures of the State safety oversight programme that include prioritization of inspections (CAA)</p>	<p>Mobile: 591-72148791 E-mail: echavez@dgac.gob.bo</p> <p>For this project, the rapporteur and the task force will work directly with the members of the SRVSOP Technical Committee.</p>	<p>mentioned below: 28 April 2017</p> <ul style="list-style-type: none"> ✓ Develop the policy and procedures of the State safety oversight programme that include prioritization of inspections (CAA) in accordance with Paragraph 3.4.1 and Section 7 of Appendix 1 to Annex 19, Second edition. ✓ In accordance with Paragraph 3.4.1 – Surveillance obligations: <ul style="list-style-type: none"> 3.4.1.1 States shall meet the surveillance obligations in accordance with section 7 of Appendix 1 to Annex 19, Second edition. 3.4.1.2 Recommendation.- States should establish procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need. <p>Note.- Organizational risk profiles, outcomes of hazard identification and risk assessment, and surveillance outcomes may provide information for the prioritization of inspections, audits and surveys.</p> <p>3.4.1.3 Recommendation.- States should periodically</p>	<p>edition:</p> <ul style="list-style-type: none"> • Paragraph 3.4.1 – Surveillance obligations. • Appendix 1, Section 7 <ul style="list-style-type: none"> ✓ Doc 9859, Fourth edition, Ch. 6, 6.4 – SSP Component 3 – State safety assurance <ul style="list-style-type: none"> • Paragraph 6.4.1 – Surveillance obligations. • Paragraph 1.2.3 – Risk-based safety surveillance ✓ PQs (2016): PEL 3.768; PEL 3.937; PEL 3.939; OPS 4.513; OPS 4.455; OPS 4.457; AIR 5.387; AIR 5.455; AIR 5.457; AIR 5.708; AIR 5.709; AIR 5.710; AIR 5.808; ANS 7.075; ANS 7.171; AGA 8.417; AGA 8.419; AGA 8.513
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		review the safety performance of an individual service provider.	
6. Project for the development of an internal review mechanism covering the SSP to assure continuing effectiveness and improvement	Sr. David Romero, Venezuela da.romero@inac.gob.ve	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>14 April 2017</u> ✓ Develop an internal review mechanism covering the SSP to assure continuing effectiveness and improvement in accordance with SSP Element 3.1 (iii) of Doc 9859, Third edition, and ORG PQ 2.313 (2016) 	<ul style="list-style-type: none"> ✓ Doc 9859, Third edition, Chapter 4, Stage 4: <ul style="list-style-type: none"> • Section 4.4.15 – Safety oversight – Element 3.1 (iii) ✓ PQs (2016): LEG 2.313
7. Project for the development of SSP and SMS training modules for State personnel participating in the implementation and operation of the SSP (CAA/AIG)	Mr. Edgar Chávez, Bolivia Mobile: 591-72148791 E-mail: echavez@dgac.gob.bo For this project, the rapporteur and the task force will work directly with the members of the SRVSOP Technical Committee.	<ul style="list-style-type: none"> ✓ Gantt chart on the projects mentioned below: <u>28 April 2017</u> ✓ Develop model training programmes on the SSP and the SMS for State personnel participating in the implementation and operation of the SSP, in accordance with Chapter 3 of Annex 19, Second edition, and the following PQs (2016): LEG 2.107; PEL 3.116; OPS 4.052; AIR 5.048; AIR 5.486; AIG 6.124; ANS 7.066 and AGA 8.052 	<ul style="list-style-type: none"> ✓ Annex 19, Second edition, Chapter 3 – State safety management responsibilities, Section 3.2 – State safety policy, objectives and resources: <ul style="list-style-type: none"> • Paragraph 3.2.4 – Qualified technical personnel. • Appendix 1, Section 4 – Qualified technical personnel (CE-4) ✓ Doc 9859, Fourth edition, Ch. 6, Section 6.2 – SSP Component 1 – State safety policy, objectives and resources: <ul style="list-style-type: none"> • Paragraph 6.2.4 –

			<p>Qualified technical personnel.</p> <p>✓ PQs (2016): LEG 2.107; PEL 3.116; OPS 4.052; AIR 5.048; AIR 5.486; AIG 6.124; ANS 7.066 and AGA 8.052</p>
<p>8. Project for developing and making available to States regulations, procedures and checklists for inspectors and guidelines for service providers concerning SMS, in the following audit areas: PEL, OPS, AIR, ANS and AGA (CAA).</p>	<p>Mr. Edgar Chávez, Bolivia Mobile: 591-72148791 E-mail: echavez@dgac.gob.bo</p> <p>For this project, the rapporteur and the task force will work directly with the members of the SRVSOP Technical Committee.</p>	<p>✓ Gantt chart on the project mentioned below: <u>28 April 2017</u></p> <p>✓ Develop and make available to States regulations, procedures and checklists for inspectors and guidelines for service providers concerning SMS, in accordance with Annex 19, Second edition and Doc 9859, Fourth edition.</p> <p>✓ For the establishment and implementation of the SMS, the SRVSOP has already developed for PEL, OPS and AIR:</p> <ul style="list-style-type: none"> • requirements in each associated regulation; • procedures and checklists for inspectors; and • guidelines for service providers. <p>✓ For the fulfilment of this task, the rapporteur of the group shall coordinate the development and enactment of the documents mentioned in the previous paragraph</p>	<p>✓ Annex 19, Second edition, Chapter 3 – State safety management responsibilities, Section 3.2 – State safety policy, objectives and resources:</p> <ul style="list-style-type: none"> • Paragraph 3.2.2 – Specific operating regulations. • Appendix 1, Section 2 – Specific operating regulations (CE-2) <p>✓ Doc 9859, Fourth edition, Ch. 6 – State safety management responsibilities, Section 6.2 – SSP component 1 – State safety policy, objectives and resources:</p> <ul style="list-style-type: none"> • Paragraph 6.2.2 – Specific operating regulations. <p>✓ PQs (2016): PEL 3.901; PEL 3.905; OPS 4.501; OPS 4.505; AIR 5.372; AIR 5.373; AIR 5.381;</p>

		<p>directly with the SRVSOP.</p> <ul style="list-style-type: none"> ✓ The documentation presented to the States shall be fully harmonised and in line with Annex 19, Second edition and Doc 9859, Fourth edition. ✓ Pursuant to a conclusion of the SRVSOP, SMS requirements shall be maintained in each of the respective regulations. 	<p>AIR 5.382 AIR 5.701; AIR 5.702; AIR 5.703; AIR 5.801; AIR 5.802; AIR 5.803; AIR 5.808; AIR 5.809; AIR 5.810; ANS 7.191; ANS 7.192; AGA 8.501; AGA 8.503</p>
Group No. 4			
<p>Project for the development of the SSP general implementation plan (general Gantt chart)</p>	<p>Mr. Juan Carlos Alvarez, Ecuador juan_alvarez@aviacioncivil.gob.ec (593) 2 2231006 Mobile: 5939 99661771 For this project, the rapporteur and the task force will work directly with the secretariat of the SAM SSP pilot implementation project.</p>	<ul style="list-style-type: none"> ✓ Gantt chart on the project mentioned below: <u>05 May 2017</u> ✓ Develop the SSP general implementation plan (general Gantt chart) based on the individual plans of each working group. 	

Marcelo Ureña Logroño
Flight Safety Regional Officer
ICAO South American Regional Office
Secretary of the SAM SSP pilot implementation project

SSP ELEMENTS DELIVERY DATES

PROJECT PHASES AND ELEMENTS	Start date	Delivery Date
PILOT PROJECT FOR THE SSP IMPLEMENTATION IN SOUTH AMERICAN STATES	3-Aug-2017	28-Dec-2018
PHASE 1	4-Aug-2017	29-Dec-2017
SSP Element 1.2 del SSP (i)	4-Aug-2017	29-Dec-2017
Identify the SSP place holder organization and the accountable executive	4-Aug-2017	12-Sep-2017
Establish the SSP implementation team	6-Sep-2017	20-Sep-2017
Perform an SSP gap analysis	21-Sep-2017	23-Oct-2017
Develop an SSP implementation plan	24-Oct-2017	13-Nov-2017
Establish a SSP coordination mechanism	5-Sep-2017	19-Sep-2017
develop the required SSP documentation including the State's SSP framework, its components and elements.	13-Nov-2017	29-Dec-2017
PHASE 2	3-Aug-2017	28-Dec-2018
SSP Element 1.1	13-Nov-2017	29-Dec-2017
Establish a national safety legislative framework.	13-Nov-2017	29-Dec-2017
SSP Element 1.2 (ii)	13-Nov-2017	16-Feb-2018
a) Identify, define and document the safety management responsibilities and accountabilities;	1-Jan-2018	16-Feb-2018
b) Define and document State safety policy and objectives	13-Nov-2017	29-Dec-2017
SSP Element 1.3	3-Aug-2017	29-Dec-2017
Establish an accident and serious incident investigation process.	3-Aug-2017	29-Dec-2017
SSP Element 1.4 (i)	3-Aug-2017	31-Aug-2017
Establish basic enforcement (penalty) legislation.	3-Aug-2017	31-Aug-2017
SSP Element 3.1 (i)	3-Aug-2017	29-Dec-2017
Provide for effective State safety oversight and surveillance of its service providers.	3-Aug-2017	29-Dec-2017
SSP Element 2.1 (i)	2-Jan-2018	28-Dec-2018
Facilitate and promote SMS education for services providers	2-Jan-2018	28-Dec-2018
PHASE 3	3-Aug-2017	31-May-2018

SSP Element 1.4 (ii) - Promulgate enforcement policy/legislation that includes::	13-Nov-2017	31-May-2018
a) provisions for service providers operating under an SMS to deal with and resolve safety and quality deviations internally;	13-Nov-2017	29-Dec-2017
b) conditions and circumstances under which the State may intervene with safety deviations;	13-Nov-2017	29-Dec-2017
c) provisions to prevent use or disclosure of safety data for purposes other than safety improvement;	13-Nov-2017	29-Dec-2017
d) provisions to protect the sources of information obtained from voluntary/confidential reporting systems.	13-Nov-2017	31-May-2018
SSP Element 2.1 (ii)	Thu 8/3/17	Fri 12/29/17
Develop harmonized regulations that require SMS implementation	Thu 8/3/17	Fri 12/29/17
SSP Element 3.2 (i)	Thu 8/3/17	Tue 1/30/18
a) establish safety data collection and exchange systems;	Thu 8/3/17	Fri 12/29/17
b) establish high-consequence State safety performance indicators and target / alert levels.	1-Jan-2018	30-Jan-2018
PHASE 4	4-Aug-2017	28-Dec-2018
SSP Element 2.2	30-Jan-2018	30-Nov-2018
Review and agree upon the service provider's safety performance indicators.	30-Jan-2018	30-Nov-2018
SSP Element 3.1 (ii)	1-Nov-2018	30-Nov-2018
Incorporate the service provider's SMS and safety performance indicators into the routine surveillance programme.	1-Nov-2018	30-Nov-2018
SSP Element 3.2 (ii)	13-Nov-2017	28-Dec-2018
a) implement voluntary/confidential safety reporting systems;	13-Nov-2017	31-May-2018
b) establish lowerconsequence safety/quality indicators with target/alert level monitoring as appropriate;	Thu 11/1/18	30-Nov-2018
c) promote safety information exchange with and amongst service providers and other States.	1-Nov-2018	28-Dec-2018
SSP Element 3.3	9-Nov-2018	28-Dec-2018

Prioritize inspections and audits based on the analysis of safety risk or quality data where applicable.	9-Nov-2018	28-Dec-2018
SSP Element 3.1 (iii)	1-Nov-2018	28-Dec-2018
Establish an internal review mechanism covering the SSP to assure continuing effectiveness and improvement.	1-Nov-2018	28-Dec-2018
SSP Element 4.1	4-Aug-2017	28-Dec-2018
Internal communication and dissemination of safety information	4-Aug-2017	28-Dec-2018
SSP Element 4.2	Fri 8/4/17	28-Dec-2018
External communication and dissemination of safety information	4-Aug-2017	28-Dec-2018