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Roll-Out of State Safety Programme (SSP) Implementation Assessments under the USOAP CMA

Nicolas Rallo

Chief

Safety and Air Navigation Oversight Audit Section

Air Navigation Bureau

International Civil Aviation Organization

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Outline

- 1) Roll-Out of SSP Implementation Assessments under the USOAP CMA
- 2) March 2018: Amended SSP-related PQs
- 3) SSP Implementation Assessments – Phase 1: 2018 – 2019
- 4) Preparation for Phase 2: Starting 2020 (Tentative)
- 5) October 2017: Publication of Doc 9734, Part A, 3rd edition (advance unedited)
- 6) By end 2018: Amendment of Doc 9735
- 7) Assessors' training

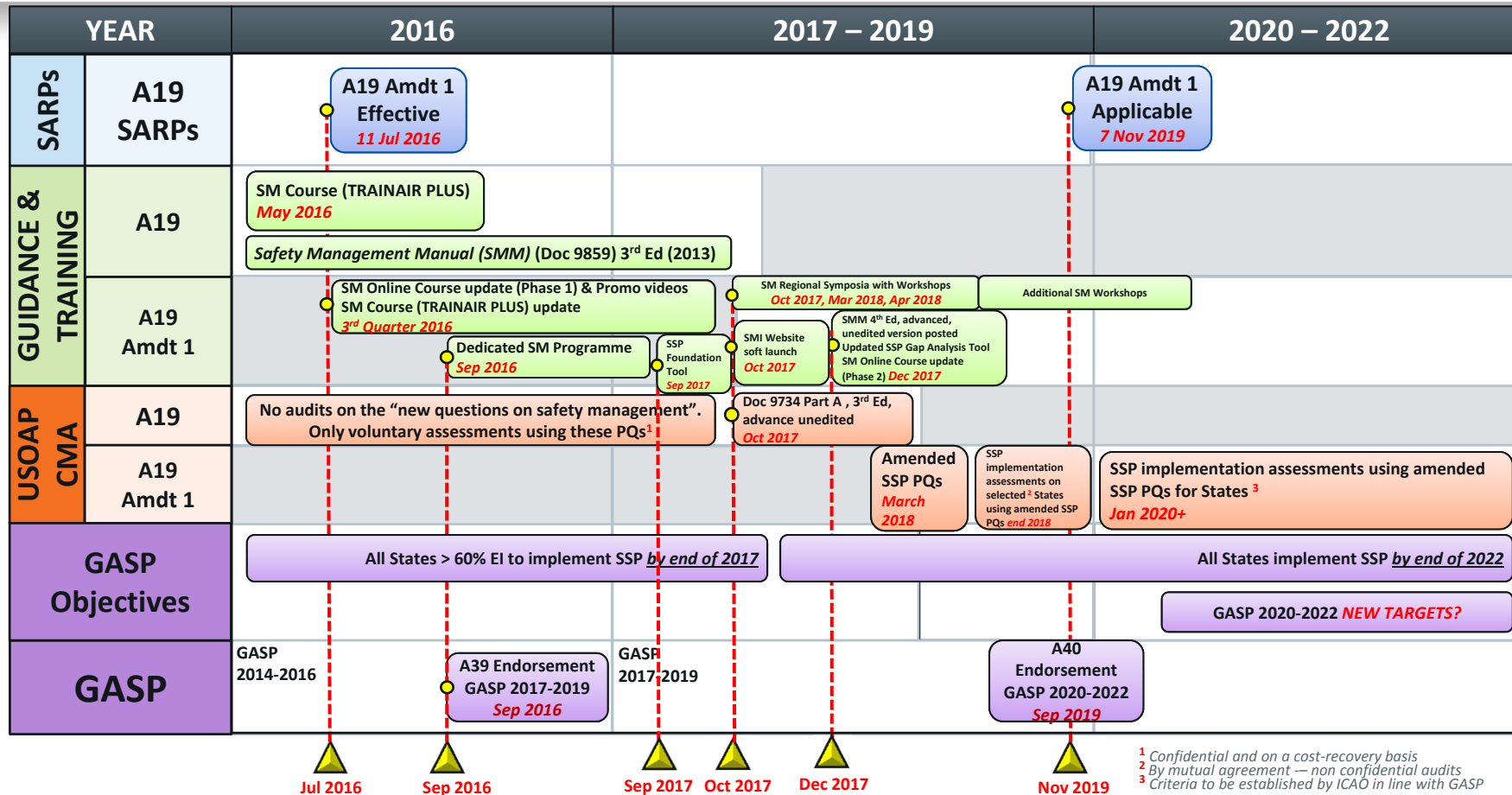


Roll-Out of SSP Implementation Assessments under the USOAP CMA



EB 2016/63 published by ICAO on 1 Nov 2016:

- July 2017: Amended SSP-related PQs to be published to reflect Amdt 1 of Annex 19, 4th ed. of the *Safety Management Manual* (SMM) (Doc 9859) and lessons learned to date.
- Select States to be approached by ICAO for audits including the amended SSP-related PQs in 2018 and 2019 on a voluntary but non-confidential basis.
- Starting 2020: ICAO will perform audits using the amended SSP-related PQs on States which will meet the criteria to be established by ICAO, in line with the Global Aviation Safety Plan (GASP).
- States with an Effective Implementation (EI) score of over 60% are requested to complete their self-assessments of the new SSP-related PQs, once these are published in July 2017.



¹ Confidential and on a cost-recovery basis
² By mutual agreement — non confidential audits
³ Criteria to be established by ICAO in line with GASP



March 2018: Amended SSP-Related PQs



Amended SSP-related PQs:

- Will *reflect* Annex 19 Amdt 1, SMM 4th edition and lessons learnt from the voluntary assessments conducted.
- Will *form* a dedicated list of PQs (complementing the PQs on “core” safety oversight and investigation functions).
- Will *not be linked to Critical Elements (CEs)* but rather to the applicable SSP component (e.g. State Safety Risk Management, State Safety Assurance and State Safety Promotion).
- Will *not be assessed* as “satisfactory/non-satisfactory”, but in terms of “*level of progress achieved*”.
- Will *be supported by references* (from Annexes and Guidance Material).
- Will *be broken down into 7 areas*: GEN (SSP Establishment and Operation – including LEG/ORG aspects), PEL, OPS, AIR, ANS, AGA & SDI (SDCPS + Accident and Incident Investigation).



SSP Implementation Assessments – Phase 1: 2018 – 2019



SSP implementation assessments will:

- *Complement*, and *not impact*, the State's Effective Implementation (*EI*) score.
- Not generate findings, nor require the State to submit a “corrective action plan” (CAP).
- Be conducted by a *limited pool of auditors*, to ensure consistency.
- Use the SSP-related PQs in selected audit areas (e.g. GEN + AGA + SDI).



SSP implementation assessment reports will:

- Reflect the *level of progress achieved* by the State in SSP implementation, rather than a measurement.
- Will be *shared* with other States on the USOAP CMA Online Framework (OLF), contributing to the exchange of experience and best practices.

Examples and tools of effective implementation may also be identified, and States will be invited to share them with ICAO for publication on the ICAO Safety Management Implementation website.



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Preparation for Phase 2: Starting 2020 (Tentative)



In 2019, provided sufficient guidance has been developed to support determination of levels of maturity (0: not present and not planned, 1: not present but planned, 2: present, 3: present and effective, 4: effective for years and in continuous improvement) for each PQ, a new amendment of SSP-related PQs may be developed (to be applicable in 2020) to enable a quantitative measurement of the “level of progress achieved” by the State.



Draft ICAO criteria for determining a State's eligibility to receive an SSP implementation assessment

- Evidence of a *robust and sustainable* safety oversight system and aircraft accident/serious incident investigation system (including implementation aspects);
- Evidence of *effective* mandatory incident reporting system, aircraft accident and incident database and safety analyses; and
- Satisfactory completion of PQ self-assessment.



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October 2017: Publication of Doc 9734, Part A 3rd edition (advance unedited)



- An advance unedited English version of the *Safety Oversight Manual* (Doc 9734), Part A — *The Establishment and Management of a State Safety Oversight System* was published in October 2017 to reflect Appendix 1 of Annex 19 (2nd edition, July 2016).
- Current text for each Critical Element (CE) has been reviewed and amended, as needed, to enhance clarity and comprehensiveness.
- Will not overlap with SMM, but rather complement it — CEs being limited to core “safety oversight and investigation” aspects.



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By end 2018: Amendment of Doc 9735



The *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) will also be amended (by end 2018) to reflect new developments in the USOAP CMA.



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Assessors' Training



A team of assessors (ICAO staff and secondees from States and/or Regional Safety Oversight Organizations) will be trained progressively to address SSP-related PQs in the various audit areas, with due consideration of scalability aspects.



Review

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