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

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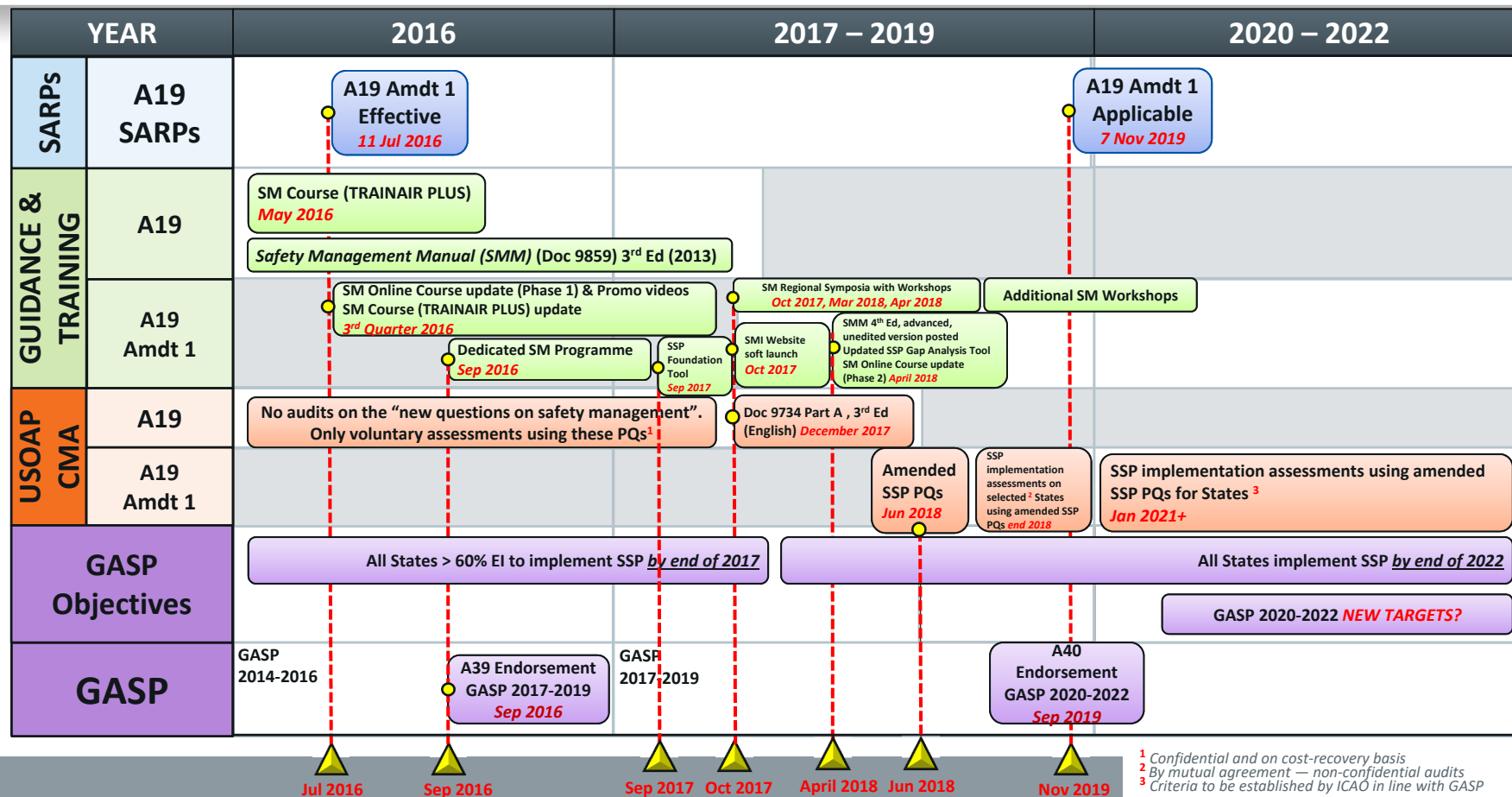


Agenda

- ✓ Roll out of SSP related-activities in ICAO
- ✓ Amended SSP-related PQs
- ✓ Roll out of SSP implementation assessments:
 - ✓ Phase 1: 2018 – 2020
 - ✓ Phase 2: from 2021
- ✓ Associated guidance texts
- ✓ Training of ICAO SSP implementation assessors



Roll-out of SSP-related activities in ICAO



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



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Amended SSP-related PQs



Amended SSP-related PQs will:

- Reflect Annex 19 Amdt 1, SMM 4th edition and lessons learnt from voluntary assessments conducted.
- Form a dedicated list of PQs (complementing the PQs on “core” safety oversight and investigation functions).
- Not be linked to Critical Elements (CEs), but to applicable SSP components (e.g. State Safety Risk Management, State Safety Assurance and State Safety Promotion).
- Not be assessed as “satisfactory/non-satisfactory”, but in terms of *progress achieved*.
- Be supported by references from ICAO manuals.
- Be broken down into 8 areas:
GEN (SSP general aspects), SDA (safety data analysis – general aspects),
PEL, OPS, AIR (AMO aspects only), ANS (ATS aspects only), AGA and AIG.



Roll-out of SSP implementation assessments: **Phase 1: 2018 – 2020**



SSP implementation assessments will:

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



SSP implementation assessment reports:

- Will be concise.
- To reflect (not measure) the *progress* achieved by the State in SSP implementation.
- An executive summary (of the State's achievements) will be shared with other States on the USOAP CMA Online Framework (OLF), for the purpose of exchange of experience and sharing of best practices.
- A detailed report will be provided *only* to the State assessed and will include identified opportunities for enhancement.
- Steps and timelines for the report production will be similar to those applied for CMA audits.

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.



Notification of and preparation for an SSP implementation assessment:

- ICAO will notify volunteer State by letter, at least 4 months in advance.
- Notification letter will provide:
 - name of Team Leader (TL), and
 - areas to be covered, including at least GEN, SDA and one of the “CAA” areas (i.e. PEL, OPS, AIR, ANS or AGA).
- Only completed activities will be listed in the “USOAP CMA Activity Plan” published in the biannual ICAO Electronic Bulletins (EBs).
- The State will be invited to provide, via the OLF and at the latest, one month before start of assessment:
 - relevant documentation and/or
 - concise comments, as applicable, for the SSP-related PQs addressed in the activity.
- Information on the OLF regarding SSP-related PQs will not be accessible to other States.
- Preparation will be coordinated between ICAO TL and State NCMC.



Conduct of an SSP implementation assessment will:

- Last 6 to 8 working days, on average.
- Include at least one industry visit.
- Include a session at one Regional Office of the CAA, if applicable.



Follow-up on SSP implementation assessments:

- The State will be invited to provide updates to ICAO on actions taken and/or planned following the activity.



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Phase 2: Starting in 2021



- In due time, a new set of amended SSP-related PQs may be developed to enable a quantitative measurement of the level of progress achieved by a State for each PQ, *provided*:
 - sufficient guidance is developed to support determination of levels of maturity.
- Example (still undecided) of maturity levels:
 - 0: not present and not planned
 - 1: not present but being worked on
 - 2: present
 - 3: present and effective,
 - 4: present and effective for years and in continuous improvement



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 safety reporting system, aircraft accident and incident database and safety analyses; and
- Effective completion and updates of PQ self-assessment by the State (for all PQs, including SSP-related PQs).



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Associated guidance material



Issues	Guidance Materials
SSP-related PQs	SMM, 4 th edition
Core “safety-oversight and investigation” aspects	Doc 9734 — <i>Safety Oversight Manual, Part A — The Establishment and Management of a State Safety Oversight System</i>
Methodology for preparation, conduct and reporting of SSP implementation assessments	New updated edition of Doc 9735 — <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>



Training of ICAO SSP implementation assessors



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



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