



WORKING PAPER

RASG-PA ESC/37 — WP/04 Rev.
17/05/22

Thirty Seventh Regional Aviation Safety Group — Pan America Executive Steering Committee Meeting (ESC/37)

Mexico City, Mexico, 25 to 26 May 2022

Agenda Item 2: Safety management process within RASG-PA

NACC Project Proposal for SSP Implementation

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
This working paper presents an Initial Project Proposal to support States on the implementation of an effective State Safety Programme (SSP), based on the North America, Central American and Caribbean (NACC) SSP Regional Implementation Strategy.	
Action:	The suggested action is presented in Section 3.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"> • Safety
<i>References:</i>	<ul style="list-style-type: none"> • Eleventh Plenary Meeting of the Regional Aviation Safety Group — Pan America (RASG-PA/11) Meeting Report • NACC Regional SSP Implementation Strategy • NACC SSP Implementation Group

1. Introduction

1.1 Following the Global Aviation Safety Plan (GASP), States are urged to develop their safety oversight capabilities and implement their safety management, collectively implemented through an SSP. One of the key goals of the GASP is Goal 3 aimed at individual States and calls for the implementation of effective SSPs.

1.2 A SSP requires increased collaboration across operational domains to identify hazards and manage risks. The analysis of various forms of safety data is needed to develop effective mitigation strategies specific to each State or region. This requires ICAO, States, regions, and industry to work closely together on safety risk management. In addition, collaborative efforts between key stakeholders, including service providers and regulatory authorities, are essential to the achievement of safety performance targets established through a State's SSP or service providers' Safety management system (SMS). Through partnerships with such key stakeholders at national and regional levels, safety data should be analyzed to support and maintenance of Safety performance indicator (SPIs) related to the risks and the major components of the aviation system. Key stakeholders should reach agreements to identify appropriate SPIs, determine common classification schemes and establish analysis methodologies that facilitate the sharing and exchange of safety information, in accordance with ICAO provisions on the protection of safety information.

1.3 During the RASG-PA/11 Meeting, it was agreed to foster the implementation of the SSP for the Pan America States. NAM/CAR Regional SSP Implementation Strategy was approved in 2019. The actual SSP implementation and assistance have suffered delays and resources constraints due to the pandemic, resulting in some planned actions being postponed.

1.4 During the pandemic, the NACC office conducted virtual meetings and workshops with the SSP Point of Contacts (PoCs) from the NAC/CAR region to maintain support continuity, capacity building, and consolidate the SSP working groups including the group's terms of reference.

1.5 The NACC office sent an SSP status request through State Letter Ref. *E-OSG-NACC92724* dated 11 April 2022, to collect the current status and update the SSP data and PoC from the State

2. Discussion

2.1 In support of the CAR States, the NACC office will coordinate the progress evaluation in the implementation of the SSP in the NAM/CAR States by tiers (in accordance with the *SSP Foundation Report* section in iStars/NACC Regional SSP Implementation Strategy). Such project proposal is to enhance the State SSP implementation; its initial phase will begin in May 2022 and will be completed in May 2023.

2.2 The main Project deliverables will be:

- SSP Policy document completely developed by at least 10% of CAR States
- Develop an Implementation Team on SSP implementation for the Spanish speaking States and another for the English speaking CAR States
- Increase on SSP implementation – GAP Analysis of the CAR States by at least 20% by Mid 2023
- Establishment of the guidance for a safety data collection and analysis system

2.3 Under this initial phase, the Project will conduct a workshop, several onsite assistance missions, virtual assistance on documentation updates and development as well as a technical review of the NACC Strategy and guidance material for Safety data collection matters. The detail of the Project actions are presented in the **Appendix** of this paper

2.4 In this regard, the following Draft Conclusion is proposed:

DRAFT CONCLUSION	
RASG-PA/37	SSP IMPLEMENTATION IN THE CAR REGION
<p>What:</p> <p>That,</p> <p>In order to enhance the implementation of effective SSP among the CAR States, the Meeting approves the SSP Implementation Project described in Appendix XX of this report.</p>	<p>Expected impact:</p> <p><input type="checkbox"/> Political / Global</p> <p><input type="checkbox"/> Inter-regional</p> <p><input checked="" type="checkbox"/> Economic</p> <p><input type="checkbox"/> Environmental</p> <p><input checked="" type="checkbox"/> Operational/Technical</p>
<p>Why:</p> <p>To provide technical assistance and guidance to States for the implementation of an effective SSP</p>	
<p>When: Immediate</p>	<p>Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed</p>
<p>Who: <input checked="" type="checkbox"/> States <input type="checkbox"/> ICAO <input checked="" type="checkbox"/> Other:</p>	<p><i>Project to be executed under the supervision of: Marcelo Orellana, Regional NACC Officer, Safety Implementation</i></p>

3. Suggested Action

3.1 The Meeting is invited to:

- a) Take note of the information of this paper;
- b) Approve the Draft Conclusion in 2.4 of this Paper; and
- c) Propose any action as deemed necessary.

APPENDIX

Project Name:	SSP Implementation in the CAR Region		
Date:	06/04/2022	Area of interest: Other	Version: 0
Author:	ICAO NACC/ RO		
Project Sponsor:	RASG-PA ESC		
Senior User:			
Client:	CAR States		
Document ID:	SAFETY-SSP 2022-01		
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Note: This document is only valid on the day it was printed

1. Executive Summary

Based on the GASP, States are urged to develop their safety oversight capabilities and implement and their safety management, collectively implemented through an SSP. One of the key goal of the GASP is Goal 3 aimed at individual States and calls for the implementation of effective SSPs.

Since 2019, the NAM/CAR regions adopted a regional implementation Strategy based on the status of progress shown in the SSP foundation PQs. The Strategy was approved for implementation by all NACC DGs by the conclusion NACC/DCA/7/6 IMPLEMENTATION OF THE NACC SSP STRATEGY. In the CAR Region a limited or lack of effective SSP implementation has been identified, which has delayed more its implementation due to the COVID-19 Pandemic impact.

With the advancement of the normalization process in air operations, the ICAO NACC office proposes a SSP implementation Project to resume the follow-up of those states that, due to their score according to the "SSP Foundation", are positioned at a compliance percentage of 95% compliance or more (TIER 1) shall be the focused of assistance in 2022 with the support of the SSP Champion States of Canada, as well on the other SSP updates to all other TIER States, including the documentation revision and guidance documentation target and key for the deployment of an effective SSP.

2. Problem / Opportunity Statement

What problems are we addressing or opportunity are we pursuing?

Limited and lack of effective implementing the SSP among the CAR States

3. Business Option

Analysis and reasoned recommendation for the base business options of: do nothing, do the minimal or do something.

- a. Do Nothing: States will remain longer without the capacity to respond to safety matters in a timely and risk-based manner.
- b. Do the minimal: The minimum will slower the state's progress to get the capacity to respond to safety matters and improve the overall safety within the state, which also affects the region's progress toward implementing the regional safety plan which requires a systemic approach for creating an integral Safety Management framework.
- c. Do something: States to be more proactive and capable to face safety matters in timely and adequate manner, improving the overall safety within the state and collaborating with other states in the region.

4. Expected Benefits

The benefits that the project will deliver expressed in measurable terms against the situation as it exists prior to the project.

A well-implemented SSP is an effective tool for the states to improve their safety levels in a systematic and coordinated manner, establishing the parameters and conditions for the continuous improvement

Main Benefits:

- timely identification of the national safety risks and their mitigation
- Increase in effective implementation of ICAO SARPs
- Better EI scores on ICAO USOAP activities
- Better communication between stakeholders
- Increase overall safety

5. Expected Detriments

Outcomes perceived as negative by one or more stakeholders. Dis-benefits are actual consequences of an activity whereas, by definition, a risk has some uncertainty about whether it will materialize.

The lack of an appropriate SSP implementation can cause a waste of resources and possible stagnation of safety

6. Project Objectives

Objectives are statements that specifically describe what is to be achieved within the project's mandate in order to meet the overall project goal. Wherever possible, objectives should be quantified and "SMART" (Specific, Measurable, Achievable, Realistic, and Time-Based).

The main objective of the project at its final phase, is to reach the goal of establishing and implementing the SSP in the states of the CAR region complying with a required qualification in accordance with the "SSP foundation" by 2025:

- SSP implemented following ICAO guidance
- To foster the identification of National safety risks and their mitigation

7. Scope Statement / Project deliverables

Defines what is being produced. Deliverables relate to, and satisfy, the specific project requirements or capabilities. Deliverables must cross-reference and satisfy the project's objectives.

The current Project is formulated for its implementation from 2022 to 2023 as an initial phase. The scope of this will be for complying with a required qualification in accordance with the "SSP foundation" in the CAR Region and the NACC Regional Implementation Strategy for SSP. The main Project deliverables will be:

- SSP Policy document completely developed by at least 10% CAR States
- Develop an Implementation Team on SSP implementation for the Spanish and another for the English CAR States
- Increase on SSP implementation – GAP Analysis of the CAR States by at least 20% by Mid 2023
- Establishment of the guidance for a safety data collection and analysis system

8. Critical Success Factors

Defines what is needed as necessary conditions for project success.

- Champion State support for ex. Canada
- High-level engagement and commitment from the different Stakeholders
- Commitment by State Focal Point thru the entire project- NACC SSP Implementation Group
- RASG-PA support (dashboard, data, funding)

9. Budget / Costs / Funding

Source and funding amount (whether annual or in total) not be exceeded.

The project is proposed to be funded by: RASG-PA, State's own resources and the MCAAP Project. In this regard the Project Proposal for RASG-PA is for an estimated total request of US\$35,500, detailed as follows:

Activity	Notes	Potential direct cost (USD)
1. Workshop on SSP Implementation- lessons learned- focused on TIER 2 and Tier 3 States	Review of GAP Foundation and GAP Analysis Data for updates and revision of Regional Strategy Updates and raise awareness of SSP concepts and implementation approach	2 SMEs to support the workshop together with NACC SAF/RO at NACC RO facilities for three days workshop- estimate: USD \$7,000 (SMEs -DSA and tickets and interpretation services) 3 Quarter 2022
2. Updates to NACC SSP implementation Strategy	In conjunction with the state and in close coordination with the NACC office, an update shall be developed and presented to the NACCDCA Meeting in June 2022	Virtual coordination and updates May- June 2022
3. Onsite Technical Assistance Missions to 2 TIER 1 States in 2022 and 2 TIER 2 States in 2023	Share and complete implementation gaps for SSP implementation in one English and one Spanish CAR States, supported by Champ State SME and other SSP Implementation Team members	1 SME and ICAO SAF/RO for a three day on site mission- estimate per mission: US\$ 6,000 Total: US\$ 24.000 for 2022 and 2023 (mid)
4. provide virtual support and guidance for the development/ improvement of the SSP documentation	The SME will provide the respective guidance to the state in order to comply with the targeted tasks and dates.	Champ State SME and SSP Implementation Team– virtual sessions – interpretation services as needed- estimate: US \$2,000 Through the Project duration

Activity	Notes	Potential direct cost (USD)
5. development/establishment of a safety data collection and analysis system	the SME in coordination with the NACC office will provide guidance to the state in order to develop/establish a safety data collection and analysis system	Champion State SME and SSP Implementation Team– virtual sessions – interpretation services as needed- estimate: \$2,500

10. Stakeholder / Communications Plan

*Identifies the key individuals or organizations that have a clear **stake** in the project's success. Who is impacted by the project, and how should they be involved?*

Key Individuals/Organizations:	Specific Needs/Concerns:	Actions/Mean/Frequency of Communication
RASG-PA ESC/NACC SSP Implementation Group	Follow-up / Decision making	WP on ESC meetings Dashboard/ GAP Analysis
NACC RO/SAF 1	Follow-up	BiMonthly reports Email Dashboard/ GAP Analysis
NACC SSP Focal points/ PoC	Follow-up / Action	meetings Dashboard/ GAP Analysis Email
Involved Stakeholders (state authorities and organizations)	Follow-up	Dashboard/ GAP Analysis

11. High Level Milestone/Stages Schedule

Identification of the major project phases and when they will be completed

#	Major Project Phases / Milestones	Completion Date
1	SSP GAP Analysis and SSP updates- collected from State response	May-2022
2	Updated NACC SSP Implementation Strategy	June 2022
3	SSP Workshop and SSP Group Meeting	Aug/Sept 2022
4	Onsite Technical Implementation Missions to 2 TIER 1 States	Sep- Dec 2022
5	Onsite Technical Implementation Missions to 2 TIER 2 States	February/April 2023
6	SSP Documentation revision	Aug-April 2023
7	Guidance on safety data collection and analysis system	Feb/ May 2023
8	Project Planning next phase	May 2023

State Safety Programme (SSP) Implementation					SSP FOUNDATION SCORE	10-11 2022	01-02 2023	03-04 2023	05-06 2023	07-08 2023	09-10 2023
state	level 1	level 2	level 3	level 4							
Dominican Republic			90.50%		100	X					
El Salvador	95.20%				100	X					
Nicaragua			61.90%		99.21		X				
Cuba			50%		98.47		X				
Costa Rica		95.20%			93.1			X			
Guatemala			81%		92.75			X			
Honduras		97.60%			92.36				X		
Bahamas	92.90%				89.61				X		
Jamaica		97.60%			87.02					X	
Mexico					83.33					X	
Belize		95.20%			81.96						X
Trinidad and Tobago			7.10%		81.01						X

12. Acceptance Criteria

Identify the quality standards and criteria that apply to the project. Explain how the plan will ensure adherence to these standards and criteria.

- SSP implementations measured via SSPIA protocol questions, GAP analysis progress and RASG-PA Dashboard

13. Risk Management Plan

List of major risks confronting the project. Assessment of severity (H/M/L, or high, medium or low) as determined by (1) probability, and (2) potential impact. For each High risk item, develop appropriate mitigation plans.

#	Major Risks	Assessment	Mitigation
1	Lack of interest	H	engage the stakeholder of the state in the commitment to comply with the GASP
2	Lack of funding	M	Due to the high benefits of this implementation and relative low cost, look to ensure funding from RASG-PA, ICAO Regional Project(or third party interested to support the project)
3	Low involvement and consultation of other Stakeholders	H	Foster collaboration between stake holders and high level authorities of the states

#	Major Risks	Assessment	Mitigation
4	Sharing of sensitive data	M	<i>Identifying the measures that will be taken to protect data. Stick to safety data only.</i>

14. Project Team Organization

Who will be involved in managing the project and how will they interface?

Project Sponsor:	Role:	Responsible for:
RASG-PA ESC	Funding	Follow-up High Level engagement to the project Project mandate
Project Manager:	Role:	Responsible for:
NACC RO/SAF1)	Deployment coordinator	Manage the project activities and deliverables Reports to RAGSPA/NACC RD/DRD
Team Member:	Role:	Responsible for:
State assigned SSP focal point/TEAM	Participants	Follow-up project activities under his/her area of responsibility

15. Project Control Procedures

Anticipated processes for monitoring and ensuring work progress, including: Status reporting and frequency, Review meetings (including who and when), Tracking methods and tools

- Follow-up review meetings
- reports
- WP on RASG-PA meetings
- Gap Analysis / GAP foundation/ RASG-PA Dashboard
