



OACI | UNIENDO A LA AVIACIÓN

NINGÚN PAÍS SE QUEDE ATRÁS



SMS IMPLEMENTATION WORKSHOP
SSP IMPLEMENTATION ASSESMENT
SSPIA

**SOUTH AMERICAN
OFFICE**



Content

- a) Introduction
- b) SSP Implementation Assessment
- c) Assessment Matrices (PQ)
- d) Conclusion



Introduction

Since 2021, The International Civil Aviation Organization (ICAO) has carried out State Safety Programme Implementation Assessments (SSPIAs), under the framework of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA), to support two of the six primary goals of the Global Aviation Safety Plan (GASP):

1. Implementation of effective State Safety Programmes (SSPs).
2. Strengthening of States' safety oversight capabilities



Introduction

In the Electronic Bulletin 2021/7 dated 3 February 2021, ICAO published the full set of SSP Protocol Questions (PQs) for all eight areas of the SSPIA, including the associated maturity level matrices.

The matrices will be used in the quantitative assessment of the maturity levels achieved by a State in its SSP implementation and maintenance.

They also serve as guidance for review of pertinent evidence for the States.



SSP Implementation Assessment (SSPIA)

- The evaluations are focused on assessing the maturity level that the State achieved in its SSP implementation and maintenance process.
- While the GEN and SDA focus on the general aspects of the SSP, the evaluation of the technical areas (e.g., OPS, PEL, AIR, AIG, ANS, and AGA) focuses on the Safety Management System applications (SMS), as part of the overall SSP.



SSP Implementation Assessment (SSPIA)

- Reflect the maturity levels the State's has achieved in its SSP implementation and maintenance.
- Maturity levels are determined separately for each PQ (there is no "overall area maturity level", nor "overall SSP maturity level").
- Complement, and do not impact, the State's Effective Implementation (EI) score.
- Do not generate findings.
- Do not require the State to submit a "corrective action plan" (CAP).
- Are conducted by a limited pool of assessors, to ensure consistency.
- Will be accompanied by a traditional USOAP CMA activity (i.e. focused audit)



Assessment Matrices (PQ)

- 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).
- Are not linked to Critical Elements (CEs), but to applicable SSP components
- Are not assessed as “satisfactory/non-satisfactory”, but in terms of maturity levels. Are supported by references from ICAO manuals.
- Are broken down into 8 areas: GEN (SSP general aspects), SDA (safety data analysis – general aspects), PEL (ATO aspects only), OPS, AIR (AMO aspects only), **ANS (ATS aspects only)**, AGA and AIG.



Assessment Matrices (PQ)

For the SSPIA it has been determined four (4) 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



Assessment Matrices (PQ)

Note 2. The “SMM” cited in the “References” column refers to ICAO’s Safety Management Manual (Doc 9859, Fourth edition, 2018).

PQ No.	Protocol Question	References in ICAO Guidance Material	SSP Component	Maturity Levels — Guidance for Review			
				Not Present and Not Planned	Not Present but Being Worked On	Present	Present and Effective
SSP.ANS.01	What regulatory requirements have been promulgated by the State for air traffic services (ATS) providers to implement a safety management system (SMS) acceptable to the State?	SMM 8.4.7	State Safety Risk Management	Based on current situation in State	Based on State’s work in progress	1. The State has promulgated regulatory requirements to implement SMS acceptable to the State, in accordance with ICAO provisions.	1. The State has promulgated regulatory requirements that distinguish between complex and non-complex organizations, taking into account scalability factors (when applicable). 2. The regulatory requirements address the initial acceptance and the continuous monitoring of the ATS providers’ SMS. 3. The State periodically reviews the regulatory requirements, to identify and



Assessment Matrices (PQ)

- Each authority must evaluate in coordination with the ATSP the PQs of the SSP maturity matrices.
- The maturity level of the State should be determined.
- With the use of the maturity matrices, the State should identify the gaps.
- The State should develop a Corrective Action Plan (CAP).

e for Review	
	Present and Effective
ment	<ol style="list-style-type: none"> 1. The State has promulgated regulatory requirements that distinguish between complex and non-complex organizations, taking into account scalability factors (when applicable). 2. The regulatory requirements address the initial acceptance and the continuous monitoring of the ATS providers' SMS. 3. The State periodically reviews the regulatory requirements, to identify and



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