

**AFI State Safety Programme (SSP)
Peer Review Mechanism (ASSPRM) Proposal Document**

Compiled by:

Cote D'Ivoire, Eswatini, Kenya, Nigeria, Rwanda, Togo and South Africa

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1. Introduction

1.1 State Safety Programme Peer Review Mechanism RASG Resolution - Establishment

South Africa and Kenya presented a working paper, proposing the establishment of the AFI State Safety Programme (SSP) Peer Review Mechanism as part of the AFI plan SSP project at the AFI Regional Aviation Safety Group (RASG)/6. The proposal was to establish a programme for a State-to-State peer review through the sharing of technical expertise among AFI States to support the development and implementation of their SSPs.

The working paper was supported by the RASG/6 and the following decisions and conclusions were made:

1.1.1 RASG-AFI/6 Decision 6/18: Support to the SSP Peer Review Mechanism

That the ICAO Regional Offices facilitate the finalisation of modalities towards the establishment of the SSP Peer Review Mechanism, taking into consideration the involvement of SMEs in the deployment of the Aviation Safety Risk Management iPack.

1.1.2 RASG-AFI/6 Conclusion 6/19: Cooperation amongst States in the AFI SSP Peer Review Mechanism

That AFI States collaborate and work together on the AFI SSP Peer Review Mechanism to enhance safety, through effective SSP implementation and thereby achieve the regional goals.

Further, the RASG/7 included the following consideration imparted at the conclusion of the 7/11 on the AFI Plan State Safety Programme (SSP) project:

“Evidently, consistent with the previous assessments, more efforts and resources are needed to assist States, especially those with EIs lower than 75%. The meeting recognized the need to ensure that the implementation of the AFI Plan SSP Project and the SSP Peer Review complement each other.”

It is against this background that the AFI SSP Peer Review Mechanism is being established.

1.2 Pilot SSP Peer Review Mechanism

The RASG-AFI/6 meeting supported the establishment of a Pilot project for the SSP Peer review mechanism as proposed in the working paper. The SSP Peer review mechanism pilot project will consist of 7 identified States (*Cote D’Ivoire, Eswatini, Togo, Kenya, Nigeria, Rwanda and South Africa*). These States were selected to achieve a regional balance and also based on the progress made with regard to the SSP establishment and implementation.

The purpose of the SSP Peer Review Mechanism is to establish cooperation between States with regard to the management of aviation safety through sharing of resources and best practices. It seeks to establish a programme for a State-to-State peer review on the implementation of the State Safety Programme (SSP). This is in overall support of the GASP, RASP and NASP goals to achieve effective SSP implementation by 2025.

Most States in the AFI region have expressed the challenge of constrained resources (financial, skills and human resources). Such challenges have a negative impact on the management of aviation safety in the AFI States. Identified challenges could be resolved through sharing of resources by States. It is therefore believed that States will benefit from one another's expertise and resources in the improvement of SSP and Safety Management Systems (SMS) implementation levels through the peer review mechanism. This is in the spirit of "no country left behind".

The main outcome of the SSP Peer Review Mechanism is the effective implementation of SSP within the AFI region.

2. Goals

Following are the goals to be achieved through the SSP Peer review mechanism:

- To assist AFI States to achieve the GASP and RASP goals of effective SSP and SMS implementation by 2025;
- This programme recognises the importance of the management of safety as one of the top priorities in achieving the acceptable level of safety performance and reducing aviation safety risks. It therefore supports the GASP mandate to reduce operational risks and implement proactive programmes to manage safety;
- To guide and assist States to reduce the number of accidents and fatalities;
- To share and exchange safety management best practices and tools;
- To assist in the harmonisation of SSP implementation in the region, in support of the RASP goals; and
- To assist in the achievement of the Abuja safety targets.

3. Objectives of the SSP Peer Review Mechanism

The objectives of this programme are to:

- Establish peer review partnerships between AFI States by 2023;
- Pool the available human resources, tools and training in order to fill the gaps and help in the implementation of SSP amongst AFI States;
- Improve the level of SSP implementation of participating States to level 4 by 2025;

- Harmonise and use similar safety management **tools** within the AFI region;
- Assist States in the establishment of safety data collection and processing systems (SDCPS) at State level by 2025; and
- Establish a collaborative mechanism for the facilitation of safety information-sharing and exchange.

4. Benefits of the Peer Review

The benefits of the SSP Peer Review initiative include the following:

- Pooling of resources, capabilities and cost reduction; optimize human resources and enhance efficiencies;
- Independent and objective reviews to improve SSP and SMS implementation;
- Sustainability of the results of the review;
- Effective preparation of States in the process towards ICAO assessments;
- Assurance on the continuous improvement of SSP in the AFI Region;
- State-to-State support in the spirit of the “No Country Left Behind” initiative; and
- Avoiding the duplication of effort.

5. Basis

Under the auspices of the SSP Peer Review Mechanism, a framework agreement amongst participating States will be in place to facilitate the commencement of the peer review mechanism.

Participating States will sign the terms of reference for the peer review mechanism once agreements/commitments are in place.

6. SSP Peer Review Mechanism Strategy

In order to ensure mutual benefit, it is imperative that all States benefit from this initiative. This includes States that are in the advanced stages and those that are at the initial stages of SSP implementation.

6.1 Establishment of a mechanism for action

- Selected States to meet at defined periods of time to organise the implementation of the Programme.
- Selected States to nominate members, preferably SSP Coordinators/Managers;
- Draft terms of reference that specify the terms of cooperation (modalities of assistance and review by peers);
- Identify and define tools to be used by team;
- Obtain commitments from States in order to provide the necessary resources for the implementation of identified gaps/action plans.

- Develop/identify peer review mechanism documentation/tools, including, but not limited to:
 - Terms of reference;
 - Checklists;
 - Assessment questions (SSPIAs);
 - Monitoring mechanisms/tools.

6.2 Preparation for the Onsite Activities

The objective is to prepare the Host State for the onsite review by identifying and prioritising the areas where improvements need to be made.

The main activities are:

- Formal letter between the ICAO regional office (to request) participation of States (with schedule)
- Provision of the self-assessment results (by the Host State) with related documentation
- Selection of the team members
- Definition of the scope of the Review
- Confirmation of the dates (with the host state and considering the availability of the reviewers)
- Logistic matters including air tickets, accommodation and per diems, etc.
- Preparation of the tools to be used by the team.

6.3 Responsibilities of the Host State

a) The Host State is one that has volunteered to be reviewed by a team of SSP experts under the Programme.

b) The Host State is to assign one or more appropriately qualified person/s as the Host State representative to serve as the point of contact for the conduct of the Programme activities.

c) The Host State Representative will be responsible for submitting, maintaining and/or updating the information to be provided by the Host State to the peer review team on an ongoing basis, including but not limited to:

- iSTARs gap analysis;
- PQ compliance status through OLF SSPIA self-assessment;
- Mitigating measures taken by the Host State in response to observations made during the review;
- Response/Correction Action Plan, including updating and implementation of Response Plans/CAPs addressing the PQ concerns;
- Provide evidence related to PQ compliance and CAP implementation; and
- Other relevant information, as requested by the Review Team.

d) The Host State will also facilitate onsite support and visits to its facilities when requested.

e) The Host State should then follow up with a response/action plan in response to the recommendations made. Any observation deemed critical / urgent should be addressed without delay.

6.4 Conduct of Reviews

- Peer reviews will be carried out by teams (as selected by the peer review members);
- Peer review reports will be sent to the relevant State to develop a corrective action plan;
- The corrective action plan will be returned to the review team, which will conduct regular assessments of the status of implementation. ICAO Regional Officers will monitor the implementation of the corrective action plans;
- Participating States will provide, to the extent possible, tools, resources, best practices and share lessons learnt with the relevant State.

The intent is to use the available ICAO tools to facilitate and monitor the programmes and the projects of the SSP peer review team.

The SSP Gap Analysis Tool on the ICAO iSTARS will be used as the primary source to establish the initial level of implementation and to track and monitor the level of implementation. As the programme progresses, the team will move towards using the USOAP SSP Implementation Assessment Protocol Questions to track and monitor the projects and programmes.

6.5 Onsite Review

The objective of the onsite review is to facilitate the observations of the Review Team on the areas of improvement identified by the Host State. This is also a good opportunity for the Review Team to identify areas of improvement not previously identified. During this activity, the Review Team may also provide their suggestions to the Host State on other operational safety matters.

During onsite support and visits to facilities, it is important that any deficiency identified as an immediate safety concern by the review team, should be made known to the Host State as soon as practicable. Improvements and corrective actions to these areas where deficiencies are found can be useful to the State to improve its operational process and/or procedure in a timely manner, especially in areas where urgent corrective actions need to be taken. In so doing, it will also reduce the possibility of any deficiency found at the operational level, turning into a finding when the State is audited by ICAO.

The main activities of the Onsite Review are:

- Opening meeting and validation of the scope
- SSP Peer Reviews / Assessment with evidence
- Debriefing and preliminary report.

6.6 Report and Corrective Actions Plan (CAP)

The main activities are:

- Final report sent (in 01 month maximum) to Host State
- Overview of the report sent to ICAO regional offices
- Request for the CAP (Corrective Actions Plan)
- Submission of the CAP by the host State
- Review of the CAP

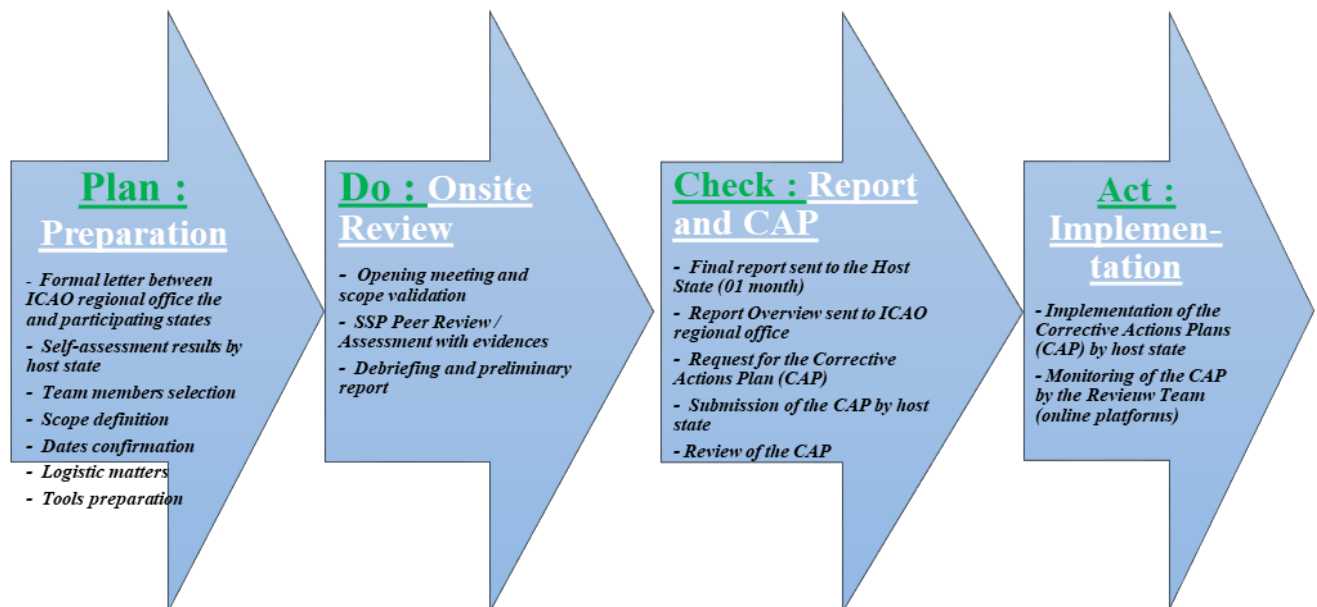
6.7 Corrective Action Plan implementation and Monitoring

The objective is to encourage prompt follow-up actions by the Host State with regard to the observations issued. During this stage, there will still be opportunities for the Review Team to provide suggestion/s for enhancements to the Host State.

The objective of the regular update on the status of response plans/CAPs is, besides the ease of monitoring, to encourage the completion and closure of the response plans/CAPs by the Host States.

6.8 SSP Peer Review Programme Milestones

The different phases of the SSP Peer review programme follow the PDCA (Plan- Do-Check-Act) cycle as outlined below:



SSP Peer Review Milestones

7. SSP Peer Review Methodology and Checklist for Review

Peer Review shall be a non-quantitative activity whose aim is to assess the progress made by Participating States in the implementation of its SSP. It will be based on a checklist that is developed according to Annex 19 and the Safety Management Manual (Doc 9859)

The scope of the peer review will be based on the ICAO SSP implementation assessment (SSPIA) protocol questions and updated whenever necessary.

The areas covered under the SSPIA are:

- a) SSP general aspects (GEN);
- b) Safety data analysis (SDA);
- c) Personnel licensing and training (PEL);
- d) Aircraft operations (OPS);
- e) Airworthiness of aircraft (AIR) — only for aspects related to approved maintenance organizations (AMOs);
- f) Air navigation services (ANS) — only for aspects related to air traffic services (ATS);
- g) Aerodromes and ground aids (AGA); and
- h) Aircraft accident and incident investigation (AIG).

8. Peer Review Team

- The States participating in the SSP Peer Review may nominate their expert staff to be part of a select group of reviewers for the conducting of the Programme.
- The costs will be determined by the scope and extent of the onsite review.

*** Appendix A provides details of anticipated costs*

9. Qualifications/requirements of an ASSPRM Team Member

- Peer review members will be nominated by States, and ideally should have extensive experience in SSP and/or SMS implementation. Participation in other international safety management forums will be an added advantage.
- Members should have working knowledge of ICAO Annex 19, Doc 9859, and related ICAO documentation and guidance material.
- Members must have attended training and/or workshops in Safety Management Systems (SMS) and/or the State Safety Programme (SSP).
- Experience in the implementation of SSP and/or SMS.

10. Evaluation of the Peer Review Mechanism

The mechanism will be reviewed on an annual basis to identify opportunities for improvement. Upon the RASG's recommendation, the peer review mechanism will be extended to other States, as identified.

13. Capacity Building

A training programme for ASSPRM peer reviewers should be developed after the pilot project to provide guidance on the conduct of reviews.

During the reviews, required training/training needs will be identified by participating States and recommendations added to the final report.

14. Programme Records and Confidentiality

All supporting documentation, correspondence, notes, records and other information relating to the Programme should be obtained, managed and filed through an established and controlled system e.g. OneDrive, etc

During an onsite activity, review team members shall not make personal copies of any document provided to them by the Host State, nor shall information contained therein be shared with any person other than within the review team and other officials and counterparts concerned, and then only to facilitate the mission.

Appendix A: Anticipated costs

The peer review mission will be covered in five working days and shall consist a minimum of 3 representatives. Anticipated costs include Air tickets, accommodation, and subsistence allowances.

Below are the options for funding:

Option A	Option B
State being assisted cover all expenses	Each State to cover its own expenses

The table below provides an estimate of consolidated costs provided by each State:

State	Estimate (air tickets, accommodation, SDA, etc) USD
Eswatini	\$2200 - 1 pax to Kenya for 5 days
Cote D'Ivoire	2317 USD- 1 PAX from South Africa to Côte d'Ivoire - 5 days
Kenya	\$ 3120 – 1 pax trip to West Africa
Nigeria	
Rwanda	
South Africa	(R39897.40) 2660 USD – based on 1 PAX to Cote D'Ivoire for 5 days
Togo	3,250 USD based on 1 PAX to Eastern Africa or South Africa states

Appendix B: Peer Review work schedule

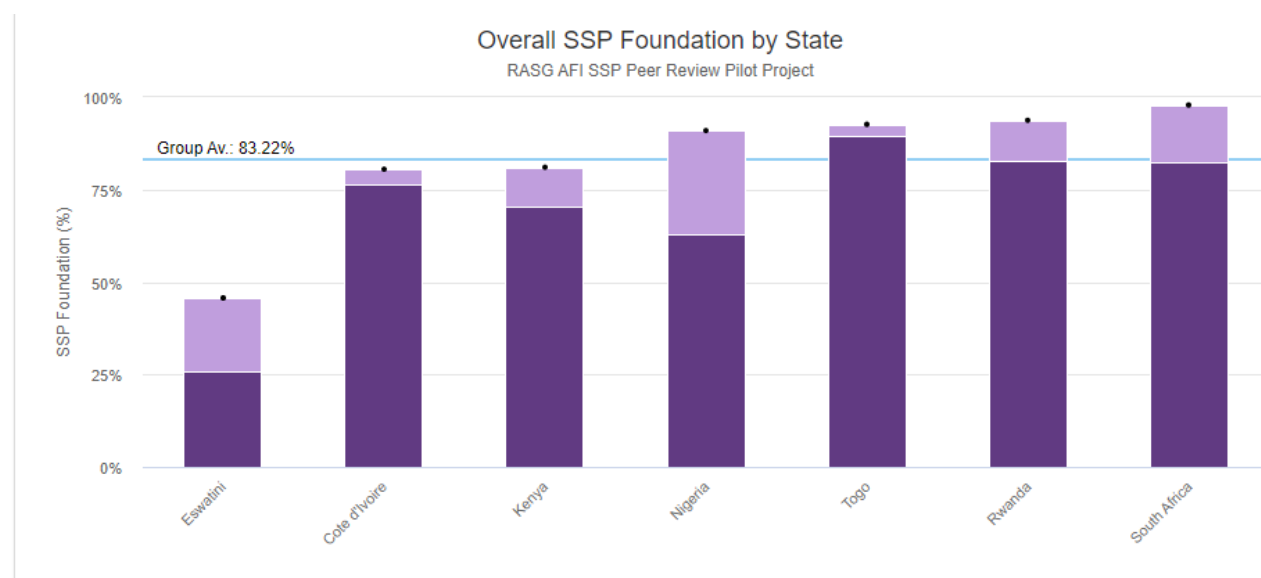
Timeline	Activity	Remarks
Two month prior	Preparation:	Coordination with ICAO Regional offices
DAY 1	Opening meeting: Overview of the Host State Safety Oversight System and SSP Meeting with Director General and senior management. Presentation on checklists to be used and peer review methodology	
DAY 2 - 4	Onsite review of evidence: <ul style="list-style-type: none"> - SSP general aspects (GEN); - Safety data analysis (SDA); - Personnel licensing and training (PEL); - Aircraft operations (OPS); - Airworthiness of aircraft (AIR) - Air navigation services (ANS - Aerodromes and ground aids (AGA); - Aircraft accident and incident investigation (AIG). 	
DAY 5	Drafting of preliminary report Closing meeting	
One month after review	Submission of Final report to the Host State	

Appendix C: Snapshot/Status of the Pilot SSP Peer Review Mechanism States

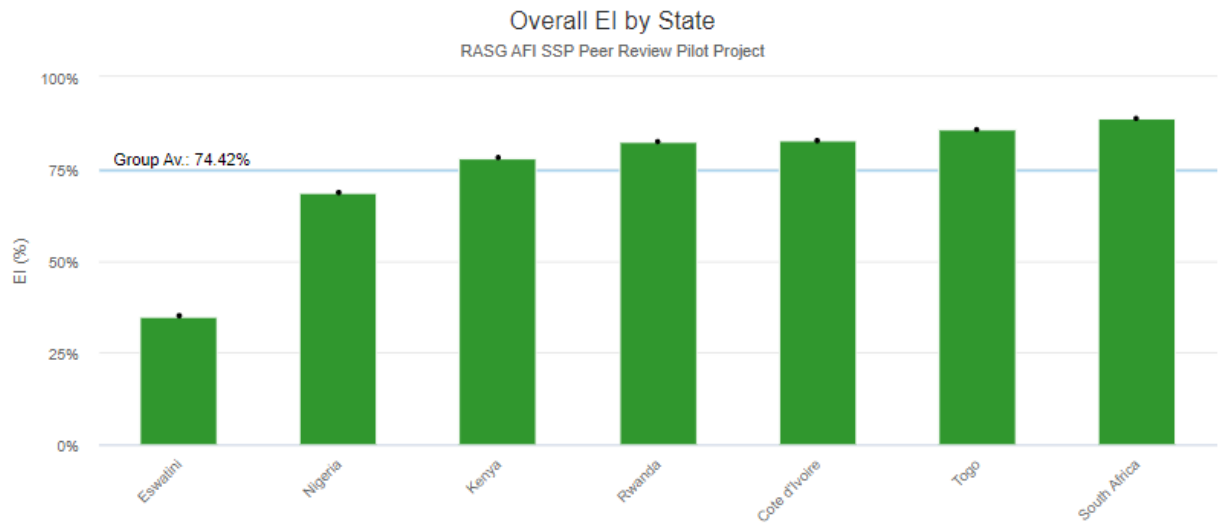
Following is a snapshot of the States participating in the peer review pilot project:

Code	State Name	Progress	Level (Up %)	
RWA	Rwanda	SSP Implementation Completed	L4 / 100% L4	●●●●
ZAF	South Africa	Implementation Plan Defined	L3 / 88.1% L4	●●●●
KEN	Kenya	Implementation Plan Defined	L3 / 52.4% L4	●●●●
NGA	Nigeria	Implementation Plan Defined	L3 / 40.5% L4	●●●●
TGO	Togo	Implementation Plan Defined	L3 / 35.7% L4	●●●●
CIV	Cote d'Ivoire	Implementation Plan Defined	L3 / 16.7% L4	●●●●

SSP Gap analysis results



SSP foundation



Overall EI scores