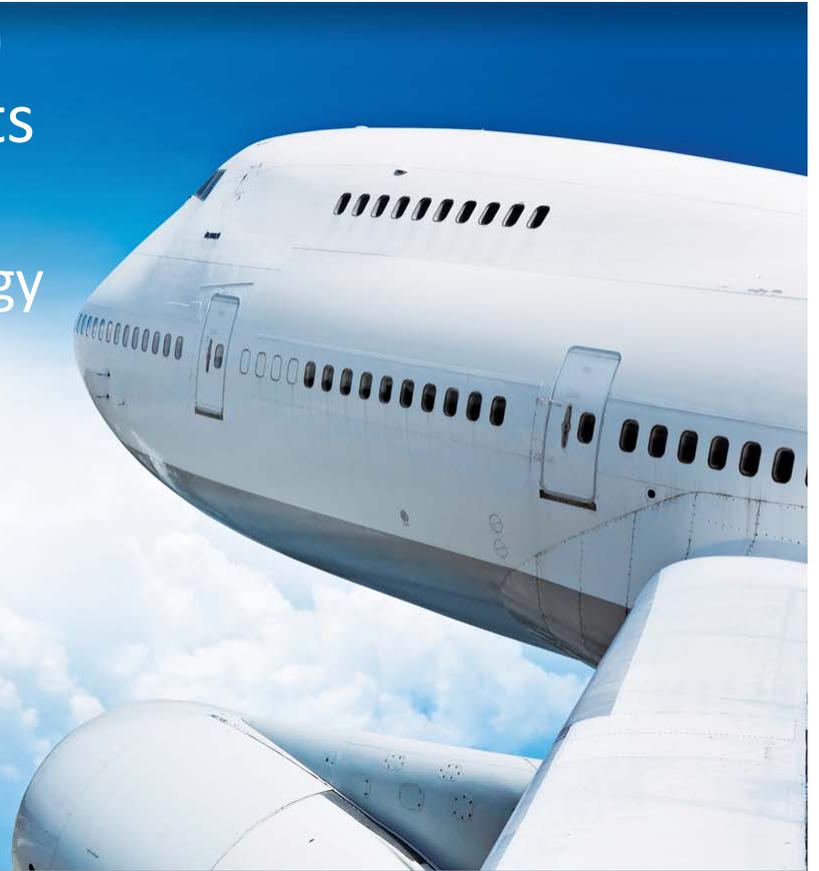ICAO | SAFETY

State Safety Programmes (SSP) Implementation Assessments Under USOAP CMA
NACC SSP Implementation Strategy

Eddian Méndez
ATM/SAR Regional Officer
ICAO NACC Office

ICAO NACC Regional Office
20 – 22 November 2018

Overview

- Roll-out of SSP related activities under the USOAP CMA
- Roll-out of SSP implementation assessments:
    - Amended SSP PQs
- Roll-out of SSP implementation assessments:
    - Phase 1: 2018 – 2020
    - Phase 2: Starting in 2021
- Associated guidance material
- Training of ICAO SSP implementation assessors
- *ICAO NACC SSP Regional Implementation Strategy*

Roll-out of
SSP related activities
under the USOAP CMA

ICAO SAFETY

YEAR		2016	2017 – 2019	2020 – 2022
SARPs	**A19 SARPs**	A19 Amdt 1 Effective *11 Jul 2016*		A19 Amdt 1 Applicable *7 Nov 2019*
GUIDANCE & TRAINING	**A19**	SM Course (TRAINAIR PLUS) *May 2016*		
		Safety Management Manual (SMM) (Doc 9859) 3rd Ed (2013)		
	A19 Amdt 1	SM Online Course update (Phase 1) & Promo videos SM Course (TRAINAIR PLUS) update *3rd Quarter 2016*	SM Regional Symposia with Workshops *Oct 2017, Mar 2018, Apr 2018*	
		Dedicated SM Programme *Sep 2016*	SMM 4th Ed, advanced, unedited version posted Updated SSP Gap Analysis Tool SM Online Course update (Phase 2) *April 2018*	
USOAP CMA	**A19**	No audits on the "new questions on safety management". Only voluntary assessments using these PQs[1]	Doc 9734 Part A , 3rd Ed (English) *December 2017*	
	A19 Amdt 1		Amended SSP PQs *Jun 2018* SSP implementation assessments on selected [2] States using amended SSP PQs *end 2018*	SSP implementation assessments using amended SSP PQs for States [3] *Jan 2021+*
GASP Objectives		All States > 60% EI to implement SSP *by end of 2017*	All States implement SSP *by end of 2022*	
				GASP 2020-2022 *NEW TARGETS?*
GASP		GASP 2014-2016 A39 Endorsement GASP 2017-2019 *Sep 2016*	GASP 2017-2019	A40 Endorsement GASP 2020-2022 *Sep 2019*

Jul 2016   Sep 2016   Oct 2017   Nov 2019

[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*

Roll-out of SSP implementation assessments: Amended SSP-related PQs

Amended SSP-related PQs will(now available on OLF CMA Library):

✈ *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 (e.g. State Safety Risk Management, State Safety Assurance and State Safety Promotion).

✈ *Not assessed* as "satisfactory/non-satisfactory", but in terms of progress achieved.

✈ *Are supported* by references from ICAO manuals.

✈ *Are classified* 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.

ICAO SAFETY

Welcome Eddian Mendez - (Team Member,Standard ICAO User)ICAO North American, Central American and Caribbean Regional Office

Language

English ▼

	Type	Name	Publication Date	Description	Download
◢		**Documentation related to SSP implementation assessments**	**Jun. 2018**	**Description / Document Name**	
	📄	Roll-Out: SSP Implementation Assessments	Jul. 2018	Further information on Safety Management SARPs (Annex 19) and other relevant material can be found at the Safety Management website at http://www.icao.int/safety/SafetyManagement/	en fr es
	📄	SSP Protocol Questions — General Aspects (SSP.GEN PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Safety Data Analysis (SSP.SDA PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Personnel Licensing and Training (SSP.PEL PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Aircraft Operations (SSP.OPS PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Airworthiness of Aircraft (SSP.AIR PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Air Navigation Services (SSP.ANS PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Aerodromes and Ground Aids (SSP.AGA PQs)	Jun. 2018		en
	📄	SSP Protocol Questions — Aircraft Accident and Incident Investigation (SSP.AIG PQs)	Jun. 2018		en

SSP.GEN PQs – General Aspects

SSP.SDA PQs – Safety Data Analysis

SSP.PEL PQs – Personnel Licensing and Training

SSP.OPS PQs – Aircraft Operations

SSP.AIR PQs – Airworthiness of Aircraft

SSP.ANS PQs – Air Navigation Services

SSP.AGA PQs – Aerodromes and Ground Aids

SSP.AIG PQS – Aircraft Accident and Incident Investigations

SSP implementation assessments will:

- ✈ Complement, and not impact, the State's Effective Implementation (EI) score.
- ✈ Not generate findings
- ✈ Not require State to submit a "corrective action plan" (CAP).
- ✈ Be conducted by a limited pool of assessors, to ensure consistency.
- ✈ Use the SSP 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.

✈ In due time, a new set of amended SSP-related PQs may be developed to enable a quantitative measurement of the <u>level of progress achieved</u> 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

ICAO SAFETY

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).

Associated guidance material

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

Training of ICAO SSP implementation assessors

✈ A team of assessors will be trained progressively to address SSP-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.

SSP Foundation
Status of SSP Foundation Protocol Questions

✈ This application displays a sub-set of 299 Protocol Questions (PQs) out of the 1,047 PQs used to calculate the USOAP Effective Implementation (EI). This sub-set of questions are considered as the foundation for a State Safety Programme (SSP) implementation. A SSP Foundation indicator is calculated, as the percentage of PQs which are either validated by USOAP or submitted as completed* through the corrective action plans(CAP) on the USOAP CMA Online Framework.

　✈ (*CAP completed are corrective action plans as reported by the State using the USOAP CMA Online Framework.)

✈ The sub-set of PQs are grouped by 17 subjects based on the Annex 19 amendment 1 and the 4th edition of the Safety Management Manual. These PQs can be prioritized and addressed when conducting the SSP Gap Analysis or while defining the SSP implementation/action plan.

　✈ To know how to use the SSP Foundation tool, read our help page

SSP Foundation by Subject Area

- ✈ Primary Aviation Legislation.
- ✈ Specific Operating Regulations.
- ✈ State Authorities.
- ✈ Exemptions.
- ✈ Enforcement.
- ✈ State Organizational Structure.
- ✈ State Functions.
- ✈ Delegation.
- ✈ Resources.
- ✈ Qualified Technical Personnel.

- ✈ Technical Guidance, Tools, and Provision of Safety-critical Information.
- ✈ Licensing, Certification, Authorization and Approval Obligations.
- ✈ Management of Safety Risks.
- ✈ Surveillance Obligations.
- ✈ Hazard identification and safety risks assessment.
- ✈ Accident and Incident Investigation.
- ✈ State Safety Promotion.

ICAO NACC SSP Regional Implementation Strategy

CONCLUSION NACC/DCA/8/6	REGIONAL NAM/CAR SSP IMPLEMENTATION STRATEGY	
What: That, in order to facilitate and ensure a systematic implementation of the SSP in the NAM and CAR Regions, the NACC States: a) approve the Regional SSP Implementation Strategy presented by ICAO NACC Office; b) encourage the participation of Champion States; and c) participate in the kick off Implementation workshop/meeting.	**Expected impact:** ☐ Political / Global ☐ Inter-regional ☒ Economic ☐ Environmental ☒ Operational/Technical	
Why: Ensure a systematic and effective implementation of SSP among States.		
When: As soon as possible	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☒ States ☐ ICAO ☐ Other:		

NACC SSP Implementation Strategy
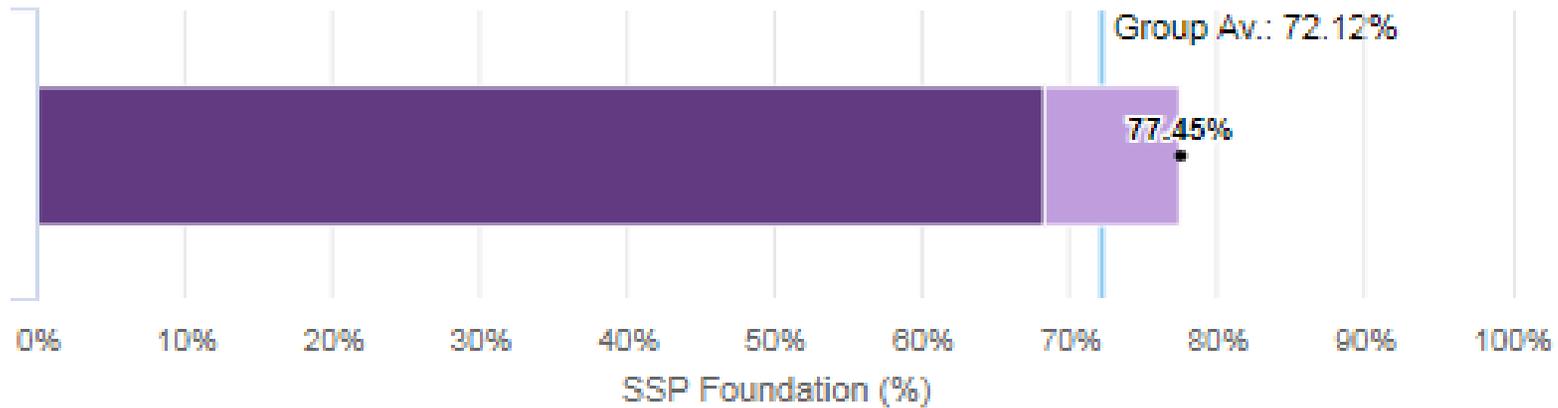
Basic Objectives

- ✈ Assist States of the NAM/CAR Regions in SSP Implementation and Functioning.

- ✈ Build up on the of States' Safety Oversight System.

- ✈ Linked to the ICAO NACC Systemic Assistance Programme.

- ✈ Realistic approach to provide support for SSP Implementation.

- ✈ Prepare the NAM/CAR Regions States to transition for a proactive safety oversight.

**SSP Foundation Report
NACC States**

Overall SSP Foundation for NACC States

Group Av.: 72.12%

77.45%

SSP Foundation (%)

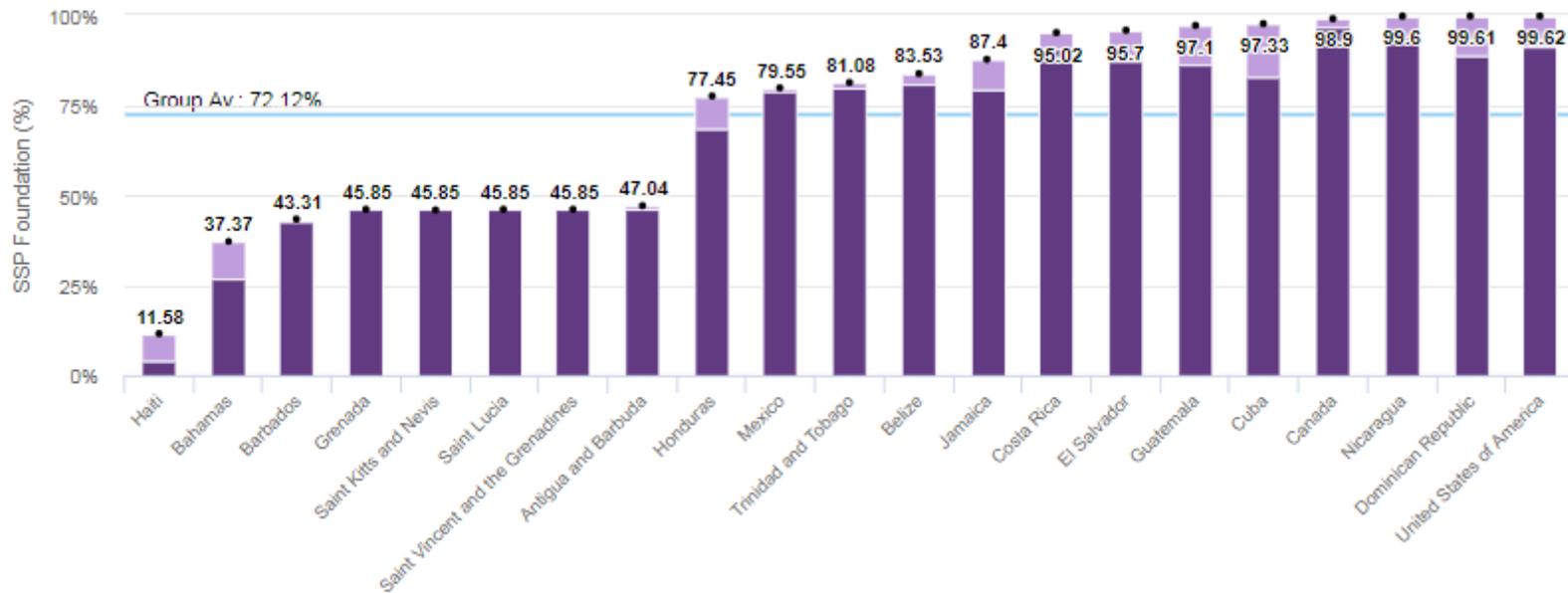0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

● CAP Completed*   ● Validated   • Overall

SSP Foundation Report
NACC States

As of November 2018

Overall SSP Foundation for NACC States

NACC SSP Implementation Strategy
Phased Focalized Support

- ✈ ***ALL*** NAM/CAR States: continue building up a mature SSO;

- ✈ States with SSP Foundation Index > 95%: Complete SSP Implementation by 2020;

- ✈ States with SSP Foundation Index > 85%: Complete SSP implementation by 2021;

- ✈ States with SSP Foundation Index > 75%: Complete SSP Implementation by 2022;

- ✈ States with SSP Foundation Index > 60%: Complete SSP Implementation by 2023;

- ✈ State can be considered as Champion to support other States in the implementation of the phases or components that have already implemented.

ICAO

North American Central American and Caribbean (NACC) Office
Mexico City

South American (SAM) Office
Lima

ICAO Headquarters
Montréal

Western and Central African (WACAF) Office
Dakar

European and North Atlantic (EUR/NAT) Office
Paris

Middle East (MID) Office
Cairo

Eastern and Southern African (ESAF) Office
Nairobi

Asia and Pacific (APAC) Sub-office
Beijing

Asia and Pacific (APAC) Office
Bangkok

THANK YOU