International Civil Aviation Organization
North American, Central American and Caribbean Office

WORKING PAPER

NAM/CAR/SSP/1 — WP/02
13/11/18

State Safety Programme (SSP) Meeting for the NAM/CAR Regions (NAM/CAR/SSP/1)
Mexico City, Mexico, 20 to 22 November 2018

Agenda Item 2 **NAM/CAR Regional State Safety Programme (SSP) Implementation Strategy**

REGIONAL SSP IMPLEMENTATION STRATEGY FOR THE NAM AND CAR REGIONS

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
This Working Paper presents a follow-up on the approval and execution of the NACC SSP Regional Implementation Strategy since the last update given on this implementation in the RASG-PA ESC/30 Meeting.	
Action:	See suggested action on Section 3
Strategic Objectives:	• Safety
References:	• RASG-PA ESC/30 Meeting • NACC/DCA/8 Meeting

1. Introduction

1.1 During the RASG-PA ESC/30 Meeting, it was informed on the status of the ICAO NAM/CAR Regional State Safety Programme (SSP) Implementation Strategy for 2018-2023. This Strategy was developed in accordance with the NACC/DCA mandate (Conclusion NACC/DCA/07/6) and under the NACC No Country Left Behind (NCLB) Programme, which encourages the participation in a pilot project for the State Safety Programme (SSP) implementation to those NAM/CAR Member States with a solid SSP foundation according to the Universal Safety Oversight Audit Programme (USOAP) – Continuous Monitoring Approach (CMA) framework and the SSP Foundation Tool.

1.2 The Strategy highlighted the importance that States should build upon fundamental safety oversight systems to implement SSPs, including the Air Navigation Service Providers (ANSPs) Safety Management Systems (SMS).

2. Discussion

Approval of Regional Strategy

2.1 During the 8th Meeting of Directors of Civil Aviation of North America, Central America and the Caribbean (NACC/DCA/8), the Secretariat presented the ICAO NAM/CAR Regional State Safety Programme (SSP) Implementation Strategy for 2018-2023, following CONCLUSION NACC/DCA/07/6 *NACC SSP IMPLEMENTATION STRATEGY*. The Strategy is presented in **Appendix A** to this paper.

2.2 The NACC States took note that the SSP implementation is a goal to be accomplished firstly by those States identified as States of the fifth Phase of the NACC NCLB Assistance Programme/ Systemic Assistance Programme, as illustrated in **Appendix B** to this paper.

2.3 The NACC/DCA/8 Meeting encouraged the NACC Champion States to provide support for the NAM/CAR Regional SSP implementation, committing to comply with the SSP implementation programme as agreed in the proper timeframe. The ICAO NACC Regional Office will coordinate and monitor the strategy, and provide technical assistance on this matter. ICAO NACC Office thanked Canada for being a Champion State for this Strategy, agreeing to start the activities with a kick-off event on SSP implementation by late 2018. In this regard the NACC/DCA/8 Meeting adopted Conclusion 8/6:

Conclusion NACC/DCA/8/6 Regional NAM/CAR SSP Implementation Strategy

That, in order to facilitate and ensure a systematic implementation of the SSP in the NAM and CAR Regions, the NACC States:

a) Approved 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 event.

Kick-off Meeting of NACC SSP Implementation Strategy

2.4 Following the approval of the NACC SSP Strategy and the NACC/DCA/ 8/6 Conclusion, the invitation for the kick-off State Safety Programme (SSP) Meeting for the NAM/CAR Regions (NAM/CAR/SSP/1) has been submitted. The Meeting will be held in the ICAO NACC Regional Office, Mexico City, Mexico, from 20 to 22 November 2018, led with the practical and good practices of Transport Canada.

2.5 All NACC States with their designated SSP Coordinators for the NAM/CAR Regions had been invited to attend, especially the Group/Tier 1 States1 as defined in the SSP Foundation Effective Implementation Index. Appendix C to this paper presents the invitation to the NAM/CAR/SSP/1 Meeting.

2.6 The NAM/CAR/SSP/1 Meeting will consider apart from the GASP and the recent edition of the Safety Management Manual, the AnConf/13 Recommendations particularly:

- Recommendation 6.2/1 — Supporting Effective Safety Management Implementation e) and f)
- Recommendation 6.2.1/1 — State safety programmes (SSPs)
- Recommendation 7.1/1 — Data-driven decision-making b)

2.7 Some of the projected outcomes of the NAM/CAR/SSP/1 Meeting are:

1) Update on ICAO Expectations and timelines/ GASP and SM related goals
2) Share/ networking for State SSP experiences (minimum Group 1 States presenting) like Canada's SSP (including process of implementation, lessons learned, best practices) and their continuous evaluation and monitoring of its SSP
3) Development of implementation strategies for specific States
4) Creation of continuous support from Canada for Phase 1 and other implementation aspects for SSP

3. Suggested Action

3.1 The Meeting is invited to:

a) take note of the updates and progress of the NACC SSP Regional Implementation Strategy;

b) review the projected outcomes and discussions of the NAM/CAR/SSP/1 Meeting; and

c) propose any action as deemed necessary.

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APPENDIX A
ICAO NAM/CAR REGION STATE SAFETY PROGRAMME (SSP) IMPLEMENTATION STRATEGY FOR 2018-2023

Objective:

Assist member States to comply with the requirements for the implementation of State Safety Programmes (SSPs) by States and safety management systems (SMS) by service providers as established in the GASP.

1. Near Term Objective: 50% NAM/CAR member States to achieve SSP implementation by 2020.

2. Mid Term Objective: All CAR member States to achieve SSP implementation by 2023.

Activities:

The activities comprise direct actions to assist NAM/CAR member States to complete the implementation of every element required for the SSP implementation, including, meet with State high level decision makers to establish and empower the SSP implementation team, support to complete the SSP gap analysis, agree and approve a SSP implementation plan, technical assistance missions and collaboration with champion States to tailor specific SSP elements as required by the States, periodic follow-up implementation teleconferences. Additional activities may include courses, workshops, seminaries, personnel training, and/or technical cooperation as required.

Benefits:

The main benefits are:

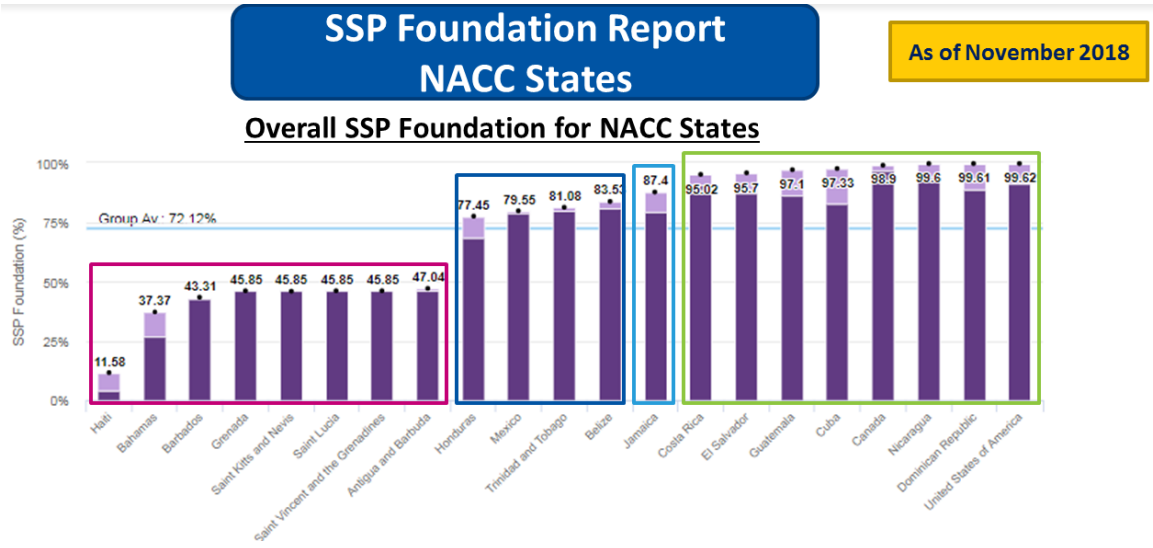
1. Enhance the effectiveness of safety oversight by member States
2. Increase NAM/CAR Region level of implementation on the Annex 19 SARPs
3. Prepare States for the USOAP CMA SSP assessments
4. Increase level of implementation of State Safety Programme (SSP) and Safety Management Systems (SMS) in member States
5. Reduce fatality risk in the CAR Region

Beneficiaries:

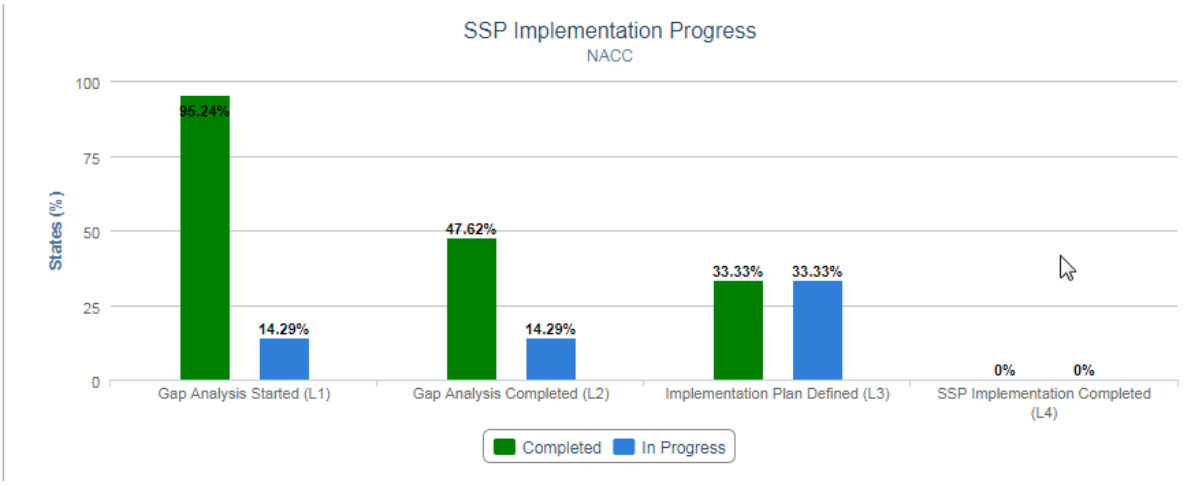
The main beneficiaries are member States and their associated civil aviation systems.

NAM/CAR Regional Status

SSP Foundation



SSP Implementation Progress (Gap Analysis)



Search:

Code	State Name	Progress	Level (Up %)
CAN	Canada	Implementation Plan Defined	L3 / 80% L4
CUB	Cuba	Implementation Plan Defined	L3 / 50.9% L4
DOM	Dominican Republic	Implementation Plan Defined	L3 / 76.4% L4
GTM	Guatemala	Implementation Plan Defined	L3 / 65.5% L4
HND	Honduras	Implementation Plan Defined	L3 / 61.8% L4
NIC	Nicaragua	Implementation Plan Defined	L3 / 34.5% L4
USA	United States of America	Implementation Plan Defined	L3 / 98.2% L4
ATG	Antigua and Barbuda	Gap Analysis Started	L1 / 54.5% L2
BHS	Bahamas	Gap Analysis Started	L1 / 94.5% L2
CRI	Costa Rica	Gap Analysis Started	L1 / 63.6% L2
SLV	El Salvador	Gap Analysis Started	L1 / 32.7% L2
GRD	Grenada	Gap Analysis Started	L1 / 54.5% L2
JAM	Jamaica	Gap Analysis Started	L1 / 16.4% L2
MEX	Mexico	Gap Analysis Started	L1
KNA	Saint Kitts and Nevis	Gap Analysis Started	L1 / 54.5% L2
LCA	Saint Lucia	Gap Analysis Started	L1 / 54.5% L2
VCT	Saint Vincent and the Grenadines	Gap Analysis Started	L1 / 56.4% L2
BRB	Barbados	Gap Analysis Completed	L2 / 98.2% L3
BLZ	Belize	Gap Analysis Completed	L2 / 96.4% L3
TTO	Trinidad and Tobago	Gap Analysis Completed	L2 / 20% L3
HTI	Haiti	-	

Showing 1 to 21 of 21 entries

The NAM/CAR Regions Status according to overall SSP Foundation Protocol Questions (PQs) results by State (iSTARS March 2018) showed the following:

1. Above 95% (8 States): United States of America, Dominican Republic, Nicaragua, Canada, Cuba, Guatemala, El Salvador and Costa Rica;
2. Between 85-94.9% (1 State): Jamaica;
3. Between 75-84.9% (3 States): Belize, Trinidad and Tobago, Mexico, and Honduras;
4. Below 75% (8 States): Antigua and Barbuda, Saint Vincent and Grenadines, Saint Lucia, Saint Kitts and Nevis, Grenada, Barbados, Bahamas, and Haiti

ICAO NACC Regional Office proposes the following grouping scheme of States for the SSP implementation:

1. Tier 1: States that currently have a SSP Foundation Index Above 95%, agree with the ICAO NACC Regional Office a SSP Implementation Plan, and receive technical assistance as required to implement SSP by 2020;
2. Tier 2: States that have a SSP Foundation Index Above 85%, agree with the ICAO NACC Regional Office a SSP Implementation Plan, and receive technical assistance as required to implement SSP by 2021;

3. Tier 3: States that have a SSP Foundation Index Above 75%, agree with the ICAO NACC Regional Office a SSP Implementation Plan, and receive technical assistance as required to implement SSP by 2022;

4. Tier 4: States that have a SSP Foundation Index Above 60%, agree with the ICAO NACC Regional Office a SSP Implementation Plan, and receive technical assistance as required to implement SSP by 2023;
5. NAM/CAR States that complete any phase of the SSP implementation can be considered as Champion States to support other States in the implementation of the phases that have already implemented

Note: we expect that no State has an EI below 60% by 2022.

ICAO NACC Regional Office will monitor the progress of the CAR Region SSP Implementation Programme 2018-2023 as follows:

1. Indicator: progress in SSP implementation
2. Metrics:
    a. Percentage of completed Protocol Questions (PQs) from the SSP Foundation PQs from iSTARS
    b. Number of implementation SSP Phases accomplished SSP based on ICAO Safety Management Manual (SMM) (Doc 9859)

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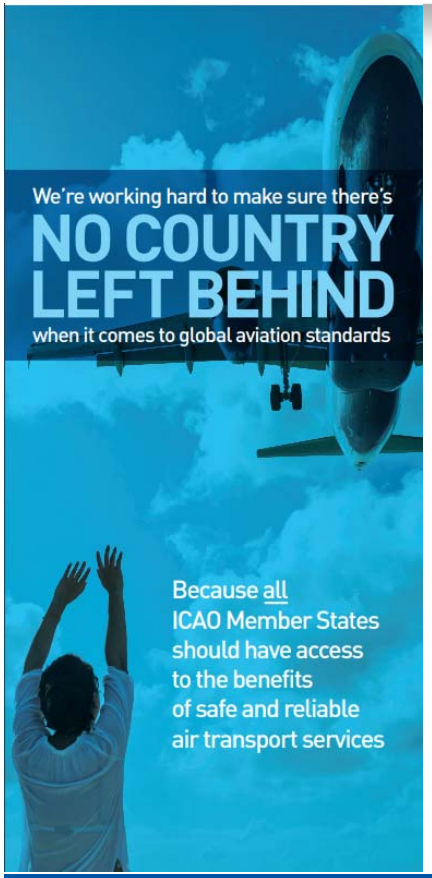


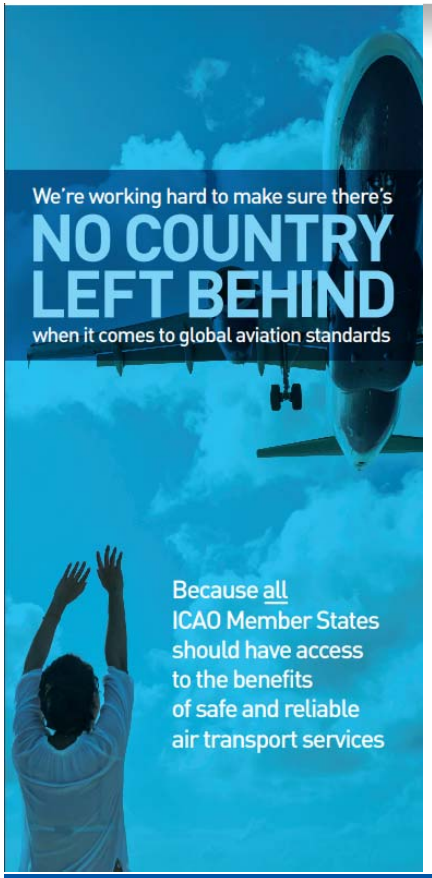
What is the ICAO No Country Left Behind (NCLB) Campaign?

ICAO's response to the problem of too many Member States not achieving desirable levels of Effective Implementation of ICAO Standards and Recommended Practices (SARPs).

www.icao.int/about-icao/NCLB/Pages

What is the ICAO NACC Response to NCLB Campaign?

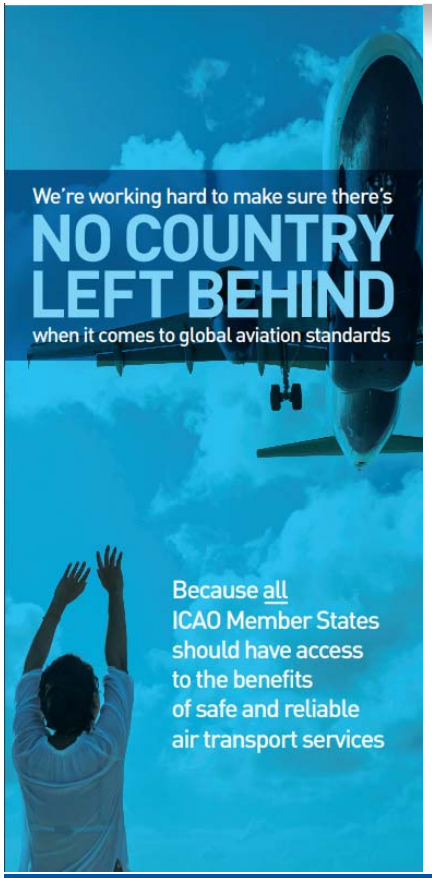
The implementation of the ICAO NACC Systemic Assistance Programme (SAP).



What is the ICAO NACC Systemic Assistance Programme?

The ICAO NACC Regional Office strategy which encompasses main working areas in order to ensure desirable results and SARPs compliance within the NAM/CAR Regions.

- **Safety**
- **Air Navigation Services**
- **Aerodrome certification**
- **Security**



Core Elements of the ICAO NACC Systemic Assistance Programme

- Initiated on February 2015 in response to the ICAO NCLB Campaign
- Assist States in implementing ICAO Standards and Recommended Practices (SARPs)
- Also promote ICAO's efforts to resolve Significant Concerns (SSCs and SSeCs)
- Allow States to benefit from the socio-economic contributions of safe and reliable air transport

Phases of the NACC Systemic Assistance Programme (SAP)

Political Commitment

Completed/ On-going

I

- Establish strategy to implement NCLB initiative
- High Level Government Outreach (Ministerial Level)
- Paradigm shift in assistance methodology (more hand-holding), direct engagement at the technical level
- Root cause approach

Data Gathering and Analysis

100% of States

II

- Analyse all available ICAO data on deficiencies of each NACC State
- Notify the State of its deficiencies and compliance status
- Mutual communication for agreement (Technical teleconferences)

Joint State/ICAO Action Plan Development

100% of States

III

- Multidisciplinary or High Level visits – some States did not need a visit
- Develop joint action implementation plan
  - Who?
  - What?
  - When?
- Agreement of State Action Plan priorities at General and Regional Director level

Implementation and Monitoring

2018 Objective: 100% of States

IV

- Monthly teleconference NACC & CAA technical teams
- Quarterly Videoconference Brief to Regional Director & DG/Minister
- Annual implementation progress review
- Continuous adjustment of action plan based on audit results
- RD seeks engagement of financial institutions

Follow-up and Sustainability

2019 Objective: 100% of States

V

- Continuity of Phase IV
- Prioritization of SSP, SMS and SeMS in Action Plans
- Tracking of AAs institutional strength
- Greater emphasis in political will and commitment
- Set air transport in the political agenda of the States
- ICAO involvement in high level regional meetings

When replying please quote:
Ref.: NT-N1-8.2.19 — **E.OSG - NACC74846** 27 August 2018

To: States and Territories

Subject: Invitation – State Safety Programme (SSP) Meeting for the NAM/CAR Regions (NAM/CAR/SSP/1)
ICAO NACC Regional Office, Mexico City, Mexico, 20 to 22 November 2018

Action Required:
1) Transmittal by States of any additional items to the Provisional Agenda by **1 October 2018**;
2) Submission of documentation by the deadlines provided in this letter
3) Submission of fellowship nomination form by **22 October 2018**
4) Register participation by **13 November 2018**

Sir/Madam,

Further to the approval by the Eighth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/08) held in Ottawa, Canada from 31 July to 2 August 2018, through Conclusion NACC/DCA/8/6 (**Appendix A**), I wish to invite your Administration to participate in the State Safety Programme (SSP) Meeting for the NAM/CAR Regions (NAM/CAR/SSP/1) to be convened at the ICAO NACC Regional Office, Mexico City, Mexico from 20 to 22 November 2018. This meeting represents the kick-off meeting for the regional implementation of the SSP Strategy planned for the NAM/CAR Regions; and it will be led with the practical and good practices of Transport Canada. The SSP Implementation Strategy is attached for reference (**Appendix B)**.

All States with their designated SSP Coordinators for the NAM/CAR Regions are expected to attend, especially the Group/Tier 1 States[1] as defined in the SSP Foundation Effective Implementation Index. The working languages of the meeting will be English and Spanish, and simultaneous interpretation will be provided if sufficient participants of both languages provide timely registration.

The Provisional Agenda of the event is at **Appendix C**. For any additional items to be submitted for the Meeting Agenda please inform this Regional Office by **1 October 2018**. The desirable outcome of this meeting is to agree on each Group/Tier 1 State Work Programme for implementing their SSP.

… / 2

[1] *Canada, Cuba, Dominican Republic, El Salvador, Nicaragua and United States*

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You are kindly requested to complete and return the Registration Form at **Appendix D** by e-mail for each participant by **13 November 2018**.

The list of suggested hotels, ICAO NACC Regional Office location, hotel sector maps, as well as other useful information are available on the "Visiting Our Office?" Section of the ICAO NACC Regional Office website (http://www.icao.int/NACC/Pages/visitors_info.aspx). Participants are encouraged to make reservations directly with the hotel(s) in a timely manner.

All meeting documentation will be placed in the Meetings Section of the following web page: http://www.icao.int/NACC/Pages/default.aspx as it becomes available. Taking into consideration the availability of documentation in electronic format, no hard copies will be distributed during the event.

Documentation that your Administration may wish to submit/present at the meeting should be forwarded to this office by e-mail as soon as practicable in Microsoft Word format using the attached templates. Working papers should be brief, action-oriented, and focused with a four-page limit excluding any appendices.

States are invited to submit/present their current SSP Implementation Status as well as any additional implementation information. **Only** working papers **received** by this office by **5 October 2018**, submitted by States/Territories, will be translated to ensure timely processing. Working papers received in this office **after** that date will have to be submitted in both languages. Otherwise, they will become Information Papers. Information papers will only be issued in the language submitted. Papers received from international organizations will not be translated and will be issued only in the language submitted. The deadline to receive papers in both languages is **5 November 2018**. The deadlines for submission of documentation for translation will be strictly enforced. You are encouraged to submit documentation in both meeting languages (i.e., English and Spanish).

Furthermore, I am pleased to inform that each Project RLA/09/801 Member[2] may apply for a fellowship under Project RLA/09/801 within the fellowship offer for the current year. In order to know how many fellowships are available for your Administration for this year, please contact Ms. Claudia López, Technical Cooperation Associate (clopez@icao.int). The fellowship includes Daily Subsistence Allowance (DSA) to cover lodging and per diem. Your Administration shall provide the candidate with the air ticket to/from insert Mexico City, Mexico, and ensure that the candidate has the necessary travel documents, vaccinations, and visa prior to departure. The duly completed Fellowship Nomination Form must be received in this Regional Office by **22 October 2018**. The steps to apply for a fellowship, the nomination form and other useful information are published on the Project RLA/09/801 website at: http://www.icao.int/NACC/Pages/edocs-tc.aspx

Regarding the fellowship offered to the Eastern Caribbean States through ECCAA, please note that the candidate appointment decision should be made between your Administration and ECCAA. Once coordination has been completed, the nomination form of the candidate representing the Eastern Caribbean States **should be sent to this Regional Office by ECCAA**.

… / 3

[2] ***RLA/09/801 Project Member States*** *are: Bahamas, Barbados, Canada, Cuba, Curaçao, Dominican Republic, Haiti, Jamaica, Mexico, OECS States through ECCAA (Antigua and Barbuda, Grenada, Saint Kitts and Nevis, Saint Lucia and Saint Vincent and the Grenadines), Trinidad and Tobago and Central American States through COCESNA (Belize, Costa Rica, El Salvador, Guatemala, Honduras and Nicaragua).*

If you require any further information regarding the meeting, please contact Mr. Julio Siu, Deputy Regional Director or Miss Lizette Morales, Assistant (nacc-fs@icao.int).

Accept, Sir/Madam, the assurances of my highest consideration.

Melvin Cintron
Regional Director
North American, Central American and
Caribbean (NACC) Regional Office

Enclosure:
A – Conclusion NACC/DCA/8/6; B – SSP Regional implementation Strategy; C – Provisional Agenda; D – Registration Form; E – Working Paper Template; F – Information Paper Template; G – Appendix Template

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cc:	NACC Webmaster	webmasternacc@icao.int;

APPENDIX A

Eighth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/08)

Ottawa, Canada, 31 July to 2 August 2018.

<table>
<tr><td colspan="3">CONCLUSION NACC/DCA/8/6 REGIONAL NAM/CAR SSP IMPLEMENTATION STRATEGY</td></tr>
<tr><td colspan="2">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.</td><td>Expected impact:

☐ Political / Global
☐ Inter-regional
☒ Economic
☐ Environmental
☒ Operational/Technical</td></tr>
<tr><td colspan="3">Why:

Ensure a systematic and effective implementation of SSP among States.</td></tr>
<tr><td>When: As soon as possible</td><td colspan="2">Status: ☒ Valid / ☐ Superseded / ☐ Completed</td></tr>
<tr><td>Who: ☒ States ☐ ICAO ☐ Other:</td><td colspan="2"></td></tr>
</table>

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