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Roll-out of SSP implementation assessments under the USOAP CMA

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November 2017



Outline

- 1) SSP Roll-Out in USOAP CMA
- 2) By end 2017: Amended SSP-related PQs
- 3) SSP implementation assessments – Phase 1 (2018 – 2019)
- 4) Preparation for Phase 2 (tentatively starting 2020)
- 5) October 2017: Publication of Doc 9734, Part A, 3rd edition
- 6) By end 2018: Amendment of Doc 9735
- 7) Auditors' training



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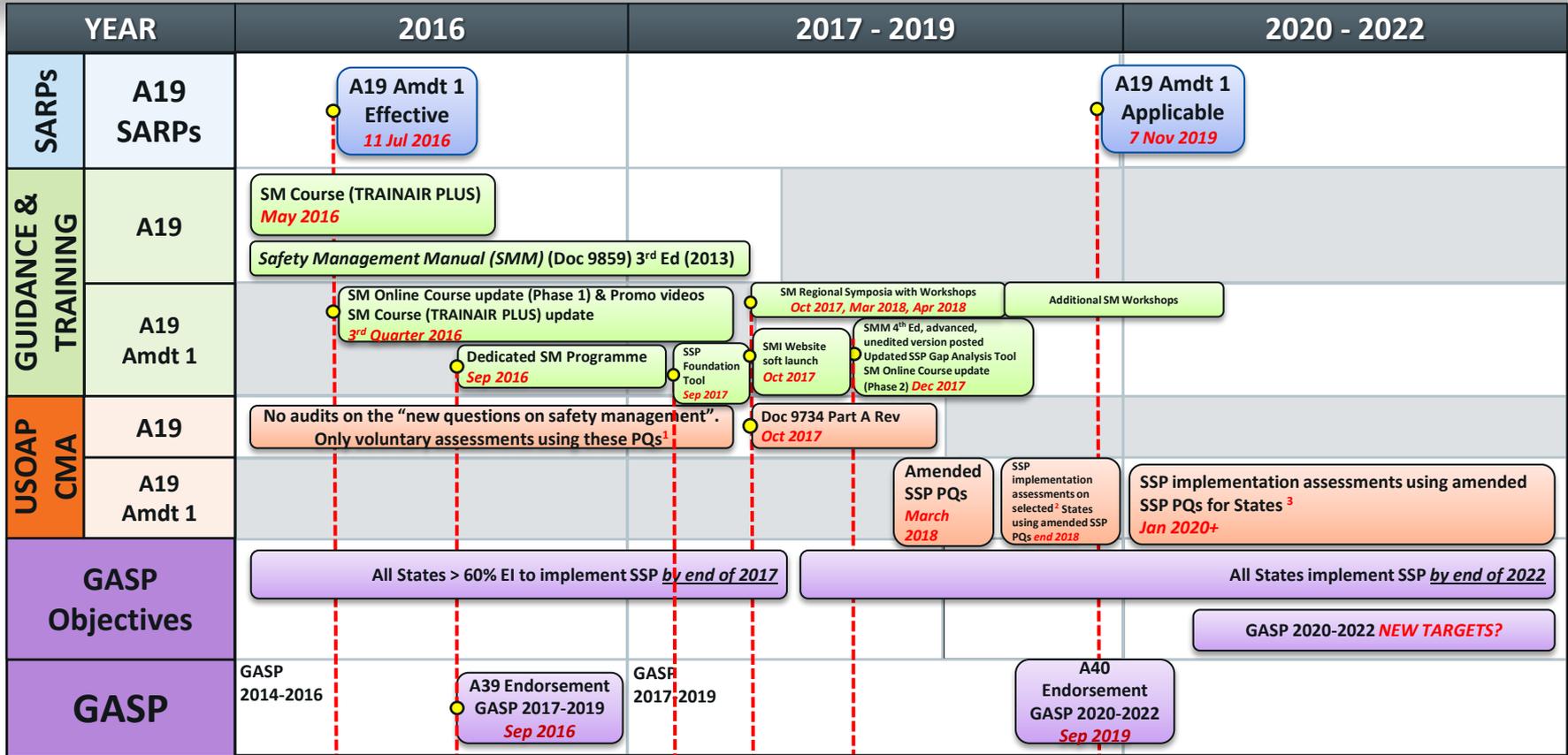
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SSP Roll-Out in USOAP CMA



EB 2016/63 published by ICAO on 1 Nov 2016:

- July 2017: Amended SSP-related PQs to be published to reflect Amdt 1 of Annex 19, 4th ed. of Doc 9859 and lessons learned to date.
- Select States to be approached by ICAO for audits including the amended SSP-related PQs in 2018 and 2019 on a voluntary but non-confidential basis.
- Starting 2020: ICAO will perform audits using the amended SSP-related PQs on States which will meet the criteria to be established by ICAO, in line with GASP.
- States with an EI of over 60% are requested to complete their self-assessments of the new SSP-related PQs, once these are published in July 2017.



Jul 2016

Sep 2016

Sep 2017

Oct 2017

Dec 2017

Nov 2019

¹ Confidential and on a cost-recovery basis
² By mutual agreement - non confidential audits
³ Criteria to be established by ICAO in line with GASP



By end 2017: Amended SSP-Related PQs



Amended SSP-related PQs:

- Will *reflect Annex 19 Amdt 1*, SMM 4th edition and lessons learnt from the voluntary assessments conducted.
- Will *form a dedicated list of PQs* (complementing the PQs on “core” safety oversight and investigation functions).
- Will *not be linked to CEs* but rather to the applicable SSP component (e.g. State Safety Risk Management, State Safety Assurance and State Safety Promotion).
- Will not be assessed as “satisfactory/non-satisfactory” but in terms of *“level of progress achieved”*.
- Will be supported by references (from Annexes and Guidance Material)
- Will be broken down in 7 areas: GEN (SSP Establishment and Operation – including LEG/ORG aspects), PEL, OPS, AIR, ANS, AGA & SDI (SDPCS+ Investigation).



SSP implementation assessments Phase 1 (2018-2019)



SSP implementation assessments will:

- *Complement*, and *not impact*, the State's Effective Implementation (*EI*) score.
- Not generate findings, nor require the State to submit a “corrective action plan” (CAP)
- Be conducted by a *limited pool of auditors*, to ensure consistency.
- Use the SSP-related PQs in selected audit areas (e.g. GEN + AGA + SDI).



SSP implementation assessment reports will:

- Reflect the *level of progress achieved* by the State in SSP implementation, rather than a measurement.
- Will be *shared* with other States on the USOAP CMA Online Framework (OLF), contributing to the exchange of experience and best practices.

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.



Preparation for Phase 2 (starting 2020)



In 2019, provided sufficient guidance has been developed to support the determination levels of maturity (0: not present and not planned, 1: not present but planned, 2: present, 3: present and effective, 4: effective for years and in continuous improvement) for each PQ, a new amendment of SSP-related PQs may be developed (to be applicable in 2020) to enable a quantitative measurement of the “level of progress achieved” by the State.



Draft eligibility criteria for ICAO to schedule a State for 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 incident reporting system, aircraft accident and incident database and safety analyses; and
- Good completion of PQ self-assessment.



October 2017: Publication of Doc 9734, Part A, 3rd ed.



- An advance unedited English version of Doc 9734, Part A has been published in October 2017 to reflect Appendix 1 of Annex 19, Amendment 1.
- Current text for each CE has been reviewed and amended, as needed, to enhance clarity and comprehensiveness.
- Will not overlap with the SMM, but rather complement it — CEs being limited to core “safety oversight and investigation” aspects.



By end 2018: Amendment of Doc 9735



Doc 9735 will also be amended (by end 2018) to reflect new developments in USOAP CMA including those resulting from the GEUSR recommendations.



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Auditors' Training



A team of auditors (ICAO staff and secondees from States/RSOOs) will be trained progressively to address SSP-related PQs in the various audit areas, with due consideration of scalability aspects.



Review

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- 5) October 2017: Publication of Doc 9734, Part A, 3rd edition
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