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

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Overview

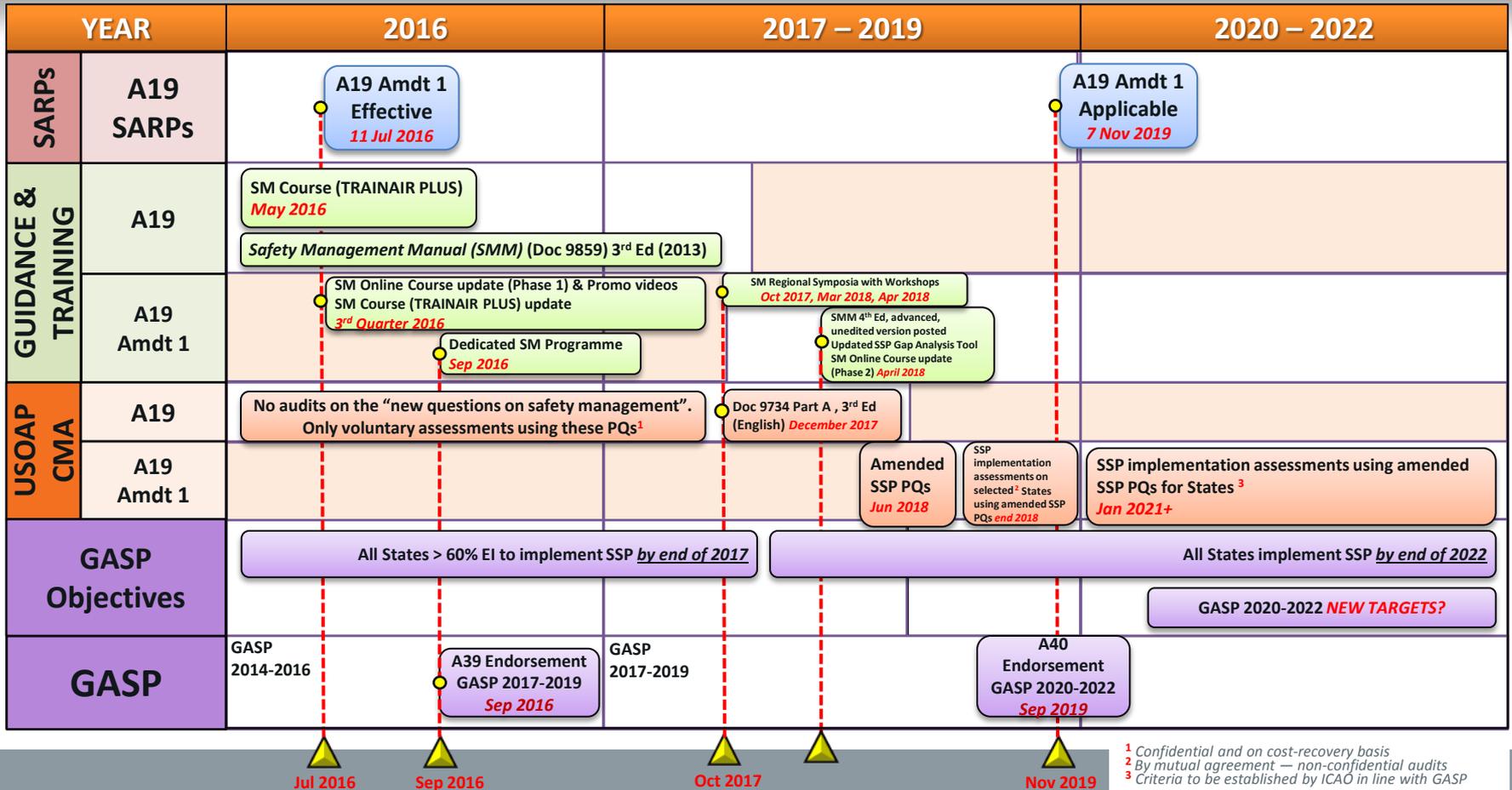
- ✈ Roll-out of SSP related activities under the USOAP CMA
- ✈ Roll-out of SSP implementation assessments:
 - ✈ Amended SSP PQs
- ✈ Roll-out of SSP implementation assessments:
 - ✈ Phase 1: 2018 – 2020
 - ✈ Phase 2: Starting in 2021
- ✈ Associated guidance material
- ✈ Training of ICAO SSP implementation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



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Roll-out of SSP related activities under the USOAP CMA



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



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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.



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State Dashboard



SAAQ



Self-Assessment



CC / EFOD



User Management



CAP



PQ Findings



E-Supplements



Significant Safety Concerns



USOAP Reports



USOAP Live Charts



MIR



Tutorials & Help



CMA Library



Feedback



CC/EFOD Reports





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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 |



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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



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Roll-out of SSP implementation assessments:

Phase 1: 2018 – 2020



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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).



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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.



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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.



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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.



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Phase 2: Starting in 2021



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



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, 4 th edition |
| Core “safety-oversight and investigation” aspects | Doc 9734 — <i>Safety Oversight Manual</i> , Part A — <i>The Establishment and Management of a State Safety Oversight System</i> |
| Methodology for preparation, conduct and reporting of SSP implementation assessments | New updated edition of Doc 9735 — <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> |



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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.



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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: <input type="checkbox"/> Political / Global <input type="checkbox"/> Inter-regional <input checked="" type="checkbox"/> Economic <input type="checkbox"/> Environmental <input checked="" type="checkbox"/> Operational/Technical |
| Why: Ensure a systematic and effective implementation of SSP among States. | |
| When: As soon as possible | Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed |
| Who: <input checked="" type="checkbox"/> States <input type="checkbox"/> ICAO <input type="checkbox"/> Other: | |



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NACC SSP Implementation Strategy

Basic Objectives

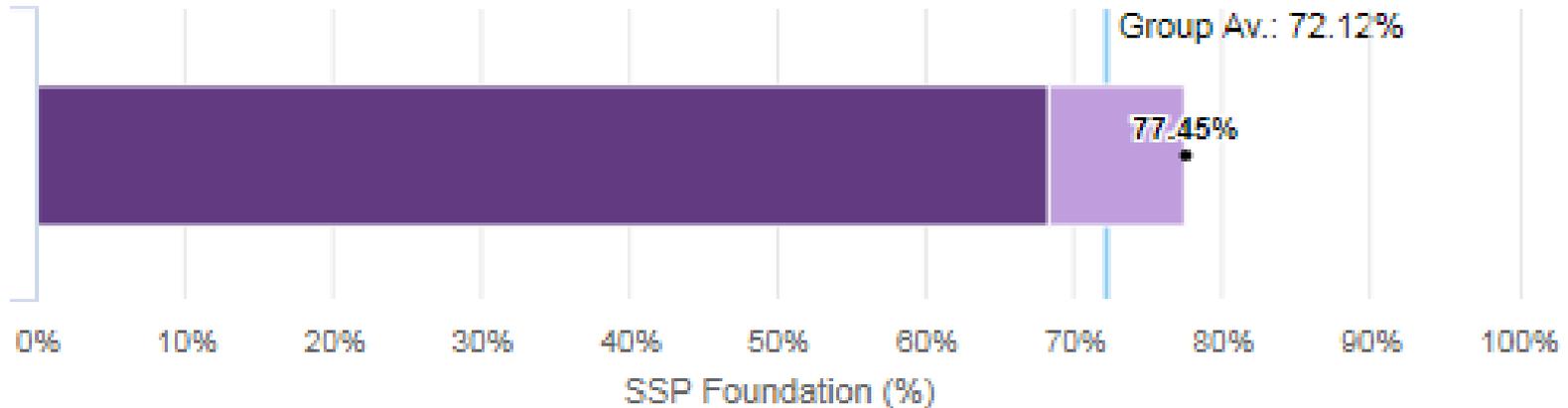
- ✈ Assist States of the NAM/CAR Regions in SSP Implementation and Functioning.
- ✈ Build up on the of States' Safety Oversight System.
- ✈ Linked to the ICAO NACC Systemic Assistance Programme.
- ✈ Realistic approach to provide support for SSP Implementation.
- ✈ Prepare the NAM/CAR Regions States to transition for a proactive safety oversight.



SSP Foundation Report NACC States

As of November 2018

Overall SSP Foundation for NACC States



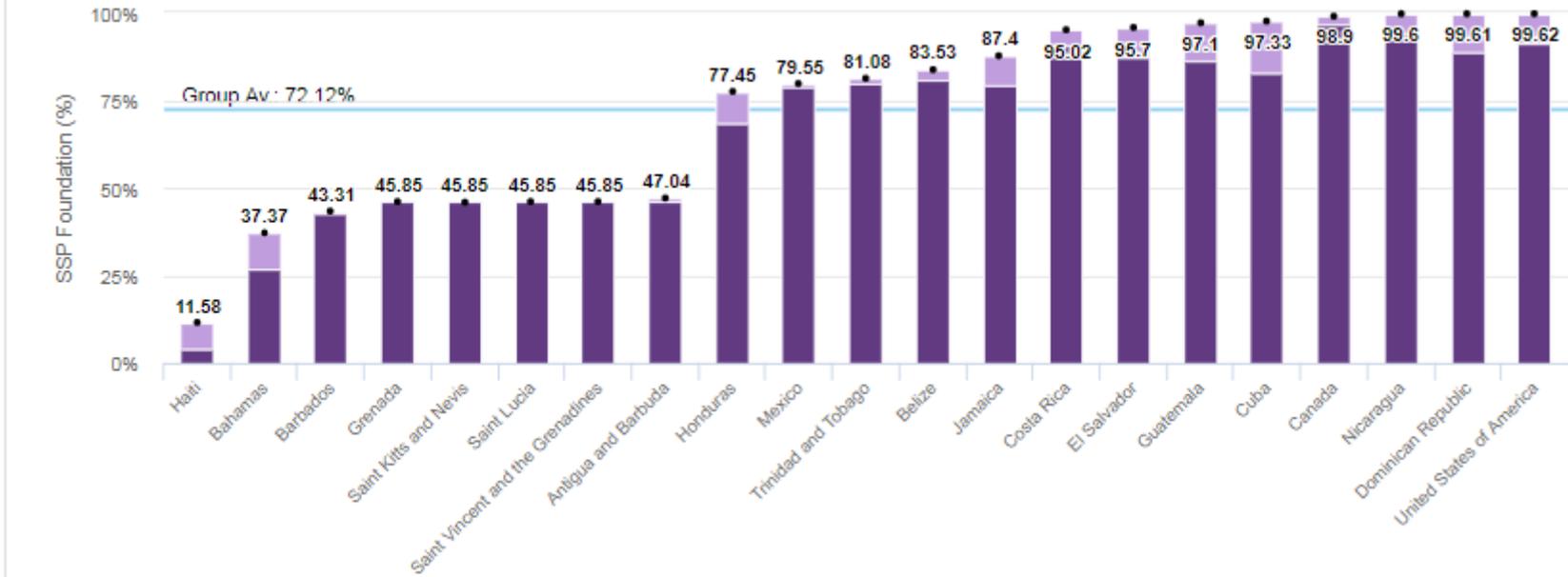
● CAP Completed* ● Validated ● Overall



SSP Foundation Report NACC States

As of November 2018

Overall SSP Foundation for NACC States





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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.



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THANK YOU