



**Thirtieth Regional Aviation Safety Group — Pan America Executive Steering Committee Meeting
(RASG-PA ESC/30)**

Baltimore, United States, 22 to 23 March 2018

Agenda Item 3: Items/Briefings of Interest to the RASG-PA ESC

NAM/CAR REGIONAL STATE SAFETY PROGRAMME (SSP) IMPLEMENTATION STRATEGY 2018-2023

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
This Working Paper presents the ICAO NAM/CAR Regional State Safety Programme (SSP) Implementation Strategy for 2018-2023, which encourages the participation in a pilot project for the SSP implementation to those NAM/CAR member States with a solid SSP Foundation according to the USOAP CMA and the SSP Foundation Tool.	
Action:	Suggested Actions are presented in Section 4.
Strategic Objectives:	• Safety
References:	• ICAO Document 9859 - <i>ICAO Safety Management Manual</i> • ICAO Document 10004 - <i>Global Aviation Safety Plan</i> • Seventh Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/07), Washington, D. C., United States, 19 – 21 September 2017 • Twenty - Ninth Regional Aviation Safety Group — Pan America Executive Steering Committee Meeting (RASG-PA ESC/29) • Twenty - Ninth Regional Aviation Safety Group — Pan America Executive Steering Committee Meeting (RASG-PA ESC/29),

1. Introduction

1.1 Enhancing global civil aviation safety is one of the five strategic objectives of ICAO. Annex 19 to the Convention on International Civil Aviation – *Safety Management*, requires States to implement a State Safety Programme (SSP) in order to manage safety effectively.

1.2 The implementation of SSP requires certain maturity level of implementation of Critical Elements (CEs) and areas to support an effective safety oversight system that integrates the prescriptive and the performance base concept.

2. Discussion

2.1 During the RASG-PA ESC/29 Meeting, regarding the progress on the State Safety Plan (SSP)/Safety Management System (SMS) implementation, the ICAO NACC Regional Office Introduced its strategy to promote implementation under the No Country Left Behind (NCLB) strategy framework. The strategy is supported by the identification of Champion States, using the iStars SSP Foundation tool to engage in an implementation action plan, with a follow-up project under the NACC NCLB strategy. This could include a dual approach to cover the SSP and the Safety Management System (SMS) for the Air Navigation Service Provider (ANSP).

2.2 The ICAO Global Aviation Safety Plan (GASP) 2017-2019 provides a strategy to enhance the implementation of the safety initiatives presented in the global aviation safety roadmap, and to assist States to meet their safety responsibilities. It establishes that any State that reaches 60% of Effective Implementation (EI) according to the results of the ICAO Universal Safety Oversight Audit – Continuous Monitoring Approach (USOAP CMA) has the maturity level for transitioning from the prescriptive way of doing safety oversight into the performance base oversight.

2.3 Therefore, those States with an EI above 60% should perform an SSP Gap Analysis using the tool provided by ICAO on SPACE/iSTARS 3.0. This result in combination with the Protocol Question (PQ) Self-assessment should then be used to plan the remaining tasks required to implement an SSP.

2.4 ICAO also developed the SSP Foundation PQ tool, which is available on SPACE/iSTARS 3.0. This application displays a sub-set of 299 PQs out of the 1,047 PQs used to calculate the USOAP EI level. This sub-set of PQs is considered as the foundation for an effective SSP implementation. The 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 (OLF). This sub-set of PQs aims to assist the States to build a solid safety oversight foundation for the implementation of SSP and identify the real gap. The sub-set of PQs is grouped by 17 subjects based on the Annex 19 Amendment 1 and the 4th Edition of the Safety Management Manual (Doc 9859). States with EI above 60% may still have PQs to address, which are fundamental for their SSP. These PQs can be prioritized and addressed when conducting the SSP Gap Analysis or while defining the SSP implementation/action plan.

NAM/CAR Regional State Safety Programme (SSP) Implementation Strategy

2.5 ICAO NACC Regional Office conducted an analysis (February 2018) for the NAM/CAR Regions and determined that several States would be ready to initiate and/or complete the implementation of the SSP. See **Appendix** for details.

2.6 The NACC/DCA/7 Meeting during the deliberations about safety management concluded that:

1. NAM/CAR States and Regions should prioritize initiatives associated with Safety Performance Enablers (standardization, resources, collaboration and safety information exchange) as established in the GASP to first establish effective safety oversight and then address safety risks effectively
2. States should build upon fundamental safety oversight systems to implement SSPs, including SMS by service providers

3. Transition to an SSP requires increased collaboration across operational domains to identify hazards and manage risks

2.7 Based on these, the NACC/DCA/ 7 Meeting formulated the Conclusion NACC/DCA/07/6:

CONCLUSION

NACC/DCA/07/6

NACC SSP IMPLEMENTATION STRATEGY

That the ICAO NACC Regional Office develops a Regional SSP Implementation Strategy to be presented by the NACC/DCA/9 meeting, linking all existing safety oversight implementation initiatives, and use the Champion States concept to provide practical assistance, allowing SSP implementation based on the experience of States that have already been able to develop meaningful experience in the subject.

2.8 Therefore, ICAO NACC Regional Office, under the No Country Left Behind (NCLB) Programme considers supporting the safety management implementation in the NAM/CAR Region as follows:

1. All NAM/CAR States: Supported by the ICAO NACC NCLB Hand Holding Strategy, continue working to address USOAP CMA CAPs to complete the SSP Foundation implementation as required;
2. NAM/CAR States with a SSP Foundation Overall 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;
3. NAM/CAR States with a SSP Foundation Overall 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;
4. NAM/CAR States with a SSP Foundation Overall 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;
5. NAM/CAR States with a SSP Foundation Overall 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;
6. 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.

2.9 In 2017, ICAO NACC Regional Office had provided technical assistance to member States under the NCLB Programme. Based on the ICAO NACC RO Operating Plan that includes (SAF.NACC.1) - Assist States in the implementation of policies and provisions on Safety Management in the NAM/CAR Region. The activity was initiated with the NAM/CAR regional safety awareness process that included SSP and SMS workshops for member States as well as safety workshops, teleconferences and technical assistance.

2.10 For 2018, the ICAO NACC Regional Office will continue with the NAM/CAR Regional safety awareness activities initiated in 2017, and will offer technical assistance to those States willing to initiate or continue the implementation of the SSP following the Global Aviation Safety Roadmap (GASP) of the ICAO GASP.

2.11 This technical assistance will be the pilot programme for the NAM/CAR Region supported by Subject Matter Experts (SME) as in-kind contribution by Champion States, ICAO NACC Regional Officers, and logistically supported by the Multi Regional Civil Aviation Assistance Programme (MCAAP) RLA/08/09 as needed.

2.12 The ICAO NAM/CAR Regional State Safety Programme (SSP) Implementation strategy for 2018-2023 is presented in the Appendix to this paper.

3 Conclusion

3.1 The evolution into Safety Management provisions requires effort and the allocation of financial and human resources by all stakeholders. It includes the implementation of the SSP by States and Safety Management Systems (SMS) by service providers.

3.2 According to the current ICAO GASP, member States need to achieve SSP implementation by 2022.

3.3 To reflect Amendment 1 to Annex 19 and the fourth edition of the Safety Management Manual (SMM) Doc 9859, a dedicated set of SSP-related PQs will be developed and used in the assessments of the SSP implementation of select States, on a voluntary and non-confidential basis, under the USOAP CMA. The SSP implementation assessments (voluntary) will start in the last quarter of 2018. 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.

3.4 Champion States are encouraged to provide support for the NAM/CAR Regional SSP implementation. Those NAM/CAR States willing to participate in this SSP implementation pilot programme must be committed to comply with the SSP implementation programme as agreed in the proper timeframe.

3.5 ICAO NACC Regional Office will coordinate and monitor the strategy, and provide technical assistance on this matter.

4. Suggested Actions

4.1 The ESC Meeting is invited to:

- a) Take note of the SSP Strategy for the NAM/CAR Regions; and
- b) review the goals and targets of the Strategy and its alignment with the GASP as well as any future actions with RASG-PA.

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APPENDIX
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, seminars, personnel training, and/or technical cooperation as required.

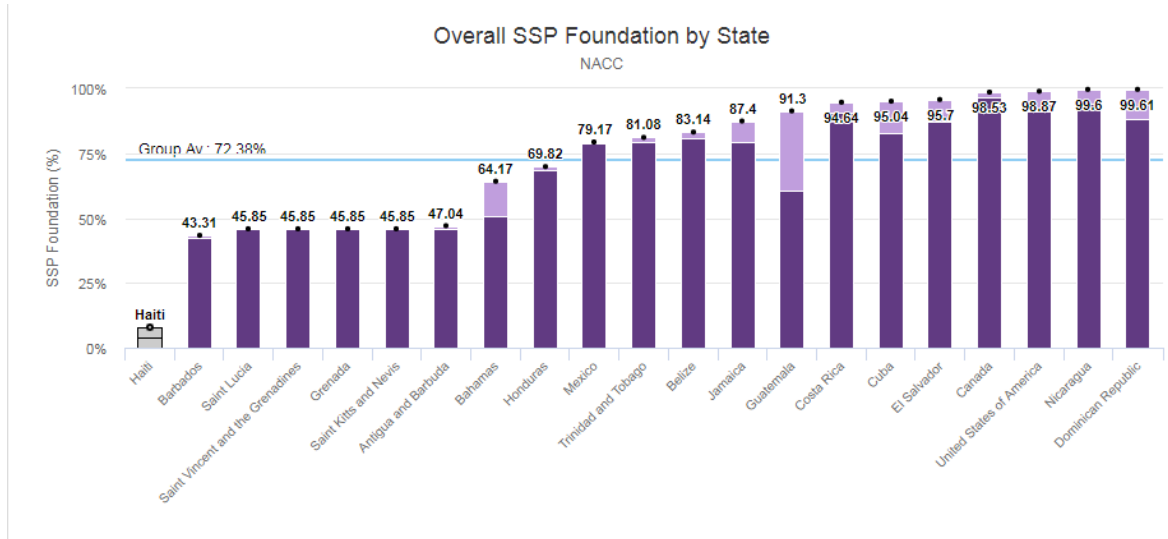
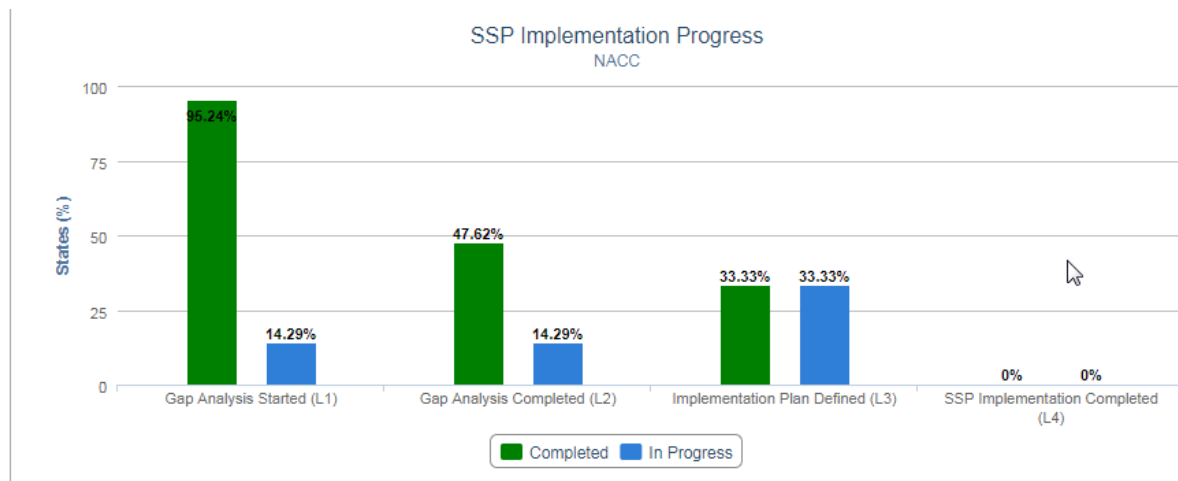
Benefits:

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% (6 States): Dominican Republic, Nicaragua, United States of America, Canada, El Salvador and Cuba;
2. Between 85-94.9% (3 States): Costa Rica, Guatemala and Jamaica;
3. Between 75-84.9% (3 States): Belize, Trinidad and Tobago, and Mexico;
4. Below 75% (9 States): Honduras, Bahamas, Saint Vincent and Grenadines, Saint Lucia, Antigua and Barbuda, Grenada, Saint Kitts and Nevis, Barbados, 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)