



ICAO

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

Second Air Navigation Services (ANS) and Air Traffic Services (ATS) Safety Inspectors Workshop (ANS/ATS/2)

San Salvador, El Salvador, 22 to 26 July 2019

Summary of Discussions

Dates From 22 to 26 July 2019
Location San Salvador, El Salvador
Instituto Centroamericano de Capacitación Aeronáutica (ICCAE)

i. Opening Ceremony

Mr. Luis Sánchez, Regional Officer, Aeronautical Meteorology and Environment, on behalf of Mr. Melvin Cintron, Director of the International Civil Aviation Organization (ICAO) North American, Central American and Caribbean (NACC) Regional Office, welcomed the participants and highlighted the importance of the event and encouraged States to work effectively within the Systemic Assistance Program (SAP) of the NACC Regional Office (formerly No Country Left Behind [NCLB] strategy of the ICAO NACC Regional Office). In addition, he thanked the ICCAE and acknowledged the support and initiative of the Federal Aviation Administration (FAA) of the United States, who made the development of the Workshop possible.

Mr. Mario Martínez, Director of the ICCAE, welcomed the participants, recognised FAA's participation and declared to be pleased to be hosting this important event and highlighted the role of Safety Inspectors in International Civil Aviation.

Mr. Kevin Haggerty, Manager, International Integration Staff, Air Traffic Safety Oversight Service at FAA, thanked ICAO and ICCAE for hosting the initiative and highlighted the importance of the Workshop, emphasizing the availability of the FAA facilitators to guide the discussions, and motivated the States representatives to share their experiences and best practices for the establishment of the States Safety Oversight Systems.

Mr. Shayne Campbell, Safety Programme Manager of the Civil Air Navigation Services Organization (CANSO), was invited to present the perspective of Air Navigation Service Providers (ANSP) regarding implementation of the Safety Management Systems (SMS) and the activities related to Safety. Mr. Campbell emphasized that for the aviation industry, safety is the priority and that the ANSPs face major challenges, such as increasing traffic demand, implementation of new technologies and increasing automation mechanisms.

The Workshop was attended by 30 delegates from 10 States and 2 International Organizations from the North America, Central America and Caribbean (NAM/CAR) Regions. The list of participants is shown in **Appendix A**.

1. References

- Sixth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/06) and the Declaration of Intent, Nassau, Bahamas, 10-12 May 2016.
- Systemic Assistance Program (SAP) of the NACC Regional Office (formerly No Country Left Behind [NCLB] strategy of the ICAO NACC Regional Office).
- Air Navigation Services (ANS)/Air Traffic Services (ATS) Safety Inspector Workshop/(ANS/ATS/1), Mexico City, Mexico, 20 to 24 February 2017.

2. Objectives

2.1 The Workshop aimed, as a general objective, to provide participants with guidance on the implementation of the Critical Elements (CE) of the State Safety Oversight System, as well as to provide an opportunity for States to present their views and share their experiences and good practices.

2.2 The specific objectives of the Workshop were the following:

- Review responsibilities, functions and obligations of the ICAO Member States, regarding Safety oversight, in compliance with their obligations as signatories to the Chicago Convention.
- Discuss strategies for the implementation of the State safety oversight system' CEs.
- Identify areas of opportunity to increase the State capabilities of the Safety oversight system.
- Encourage States to find solutions and improvements in the ANS area as part of the ICAO Universal Safety Oversight Audit Program (USOAP) Continuous Monitoring Approach (CMA).

3. Introduction

3.1 Mr. Luis Sánchez mentioned the importance of ANS/ATS workshops as a means to assist States in resolving safety deficiencies for the Air Navigation area, identified through USOAP - CMA activities, and the need to apply the lessons learned in order to improve the Effective Implementation (EI) of the CEs of the State Safety Oversight System, as well as the ICAO Standards and Recommended Practices (SARPs). Mr. Sánchez also emphasized that the Air Navigation area is one of the three areas with the lowest regional EI, in accordance with the percentages presented through the USOAP On-Line Framework (OLF).

4. Workshop Schedule and Activities

4.1 The Workshop was conducted from 09:00 to 16:30, with several work sessions, discussions and practical exercises.

Day 1:

4.2 An introduction to the Workshop was presented, reviewing the background, objectives and expectations of the participants. The program of the event was explained, as well as the daily goals, methodology and administrative issues; the facilitators and the representatives of the States and Organizations were introduced.

4.3 The State safety oversight responsibilities, the oversight responsibilities of an ANSP and CEs 1 and 2 of a safety oversight system were presented.

4.4 Participants discussed the essential responsibilities of Safety oversight and the application of these responsibilities in the ANSPs surveillance. Different regulatory models that States can adopt and strategies to develop a risk management based approach were considered.

4.5 The final sessions of the first day focused on CEs 1 and 2. The presentations and discussions addressed the most relevant considerations to ensure that these CEs are reflected in the authority granted to the ANS organization with safety oversight responsibilities and in the operational regulations applicable to the ANSPs. Throughout the day, participants shared their States' experiences, through responses to the discussion questions made by the facilitators, which included a reflection on the important characteristics of effective regulators.

4.6 The availability of ICAO's guidance material was emphasised, in particular the following documents:

- ICAO Doc 9734 Safety Oversight Manual Part A – The Establishment and Management of a State Safety Oversight System
- ICAO Doc 10055 Manual on Notification and Publication of Differences

4.7 Reference was made to the definitions of Audit, Auditor, Inspection and Inspector, introduced in the 2017 Third Edition of ICAO Doc 9734.

Day 2:

4.8 United States guided the participants in the review of CEs 3, 4, 5 and 6. The presentations focused on the Safety oversight requirements associated with each of these CEs and emphasized the important links between establishing a solid Safety oversight base through CEs 1 to 5 "Establishment CEs", and the implementation through CEs 6 to 8 "Implementation CEs". Discussions on these issues considered the following aspects and challenges:

- establishment of an adequate organizational structure that allows the fulfilment of State responsibilities and functions for ANSPs surveillance;
- models that can be used by States to calculate the needs of personnel that perform safety oversight functions;
- strategies for the recruitment, training and retention of qualified personnel;
- the importance of integrating technical guidance and tools within the training programme and plans for inspectors; and
- the strategies to effectively manage a comprehensive personnel licensing programme with a comparatively small group of inspectors.

4.9 To conclude the second day, participants worked in small groups to complete an analysis of Strengths, Opportunities, Weaknesses and Threats (SWOT) associated with CEs 3, 4 and 6; these analyses are intended to provide a basis for future strategic planning focused on taking advantage of the strengths and opportunities to successfully implement these CEs.

4.10 The need to determine the necessary organizational structure for the civil aviation system was emphasized, through the evaluation of its requirements and taking into account the size and complexity of its aeronautical activity.

Day 3:

4.11 The groups presented the results of their SWOT analyses and discussed ways in which the results of the analyses could be used to develop plans to mitigate weaknesses and threats that could become obstacles to allow the achievement of CE 7. During this day, the Workshop continued with a review of CE 7 and the requirements to establish and carry out a surveillance program.

4.12 United States shared experiences related to the development of a risk-based surveillance program, which generated a discussion among the participants about the creation and management of safety event reporting systems, measurement of safety performance and continuous monitoring of the ANSP operations. The facilitators provided an overview of the processes used to develop and conduct a risk-based safety oversight audit. The participants concluded the third day of the Workshop by working in groups to plan an Air Traffic Services audit simulation and created requirements checklists.

Day 4:

4.13 The groups presented a summary of the audit plans and checklists they created during the aforementioned simulated activity, which sought to provide principles for risk-based decision making for the determination of audit issues and visits to ANSP facilities. The participants were satisfied with the development of the exercise and indicated that the experience would contribute to a better fulfilment of their functions and responsibilities.

4.14 United States guided the participants on the revision of the requirements of CE 8, focusing on the importance of Civil Aviation Authorities (CAA) taking action on safety issues, in accordance with the implementation of CE 1, and the value provided by mandatory and voluntary safety reporting systems. During this discussion, participants shared their experiences to establish voluntary notification programs.

4.15 The session on day 4 ended with a detailed presentation on the basic concepts of the Safety Management System (SMS) provided by CANSO.

Day 5:

4.16 CANSO started the final day with a high level review of how a proactive, structured approach to Safety helps to mitigate risks before the result in aviation accidents and incidents, as well as the benefits from implementing an SMS. The discussions included a brief overview on the evolution of aviation Safety, and how, currently, philosophy has arrived at a systems-approach to Safety. Discussions were held on the importance of facilitating a just Safety culture is a foundational component of successfully implementing an SMS, and how Safety culture characteristics are mapped against SMS elements. The session concluded with an overview of the CANSO Standard of Excellence in Safety Management Systems (SoE in SMS), and how ANSPs can use the SoE to determine their SMS maturity level, as well as other CANSO developed publications and methodologies to help ANSPs with SMS implementation.

4.17 United States guided participants on the requirements of Annex 19, related to the establishment of a State Safety Program (SSP) and the strategies that States should consider to support the successful implementation of the SSP and SMS.

4.18 United States guided participants on the review of Safety management requirements, emphasizing the importance of incorporating them into national policy, and associating them with the functions and responsibilities of the State as a regulator in the implementation of both, a SMS and a SSP. In addition, United States guided the participants through an in-depth discussion on the strategies of the regulators to supervise an SMS and the use of a framework of competencies as a tool to allow ensuring the appropriate team to carry out the surveillance.

4.19 The session ended with a brief discussion on the collaboration and exchange of Safety work and the proposal for the development of a self-assessment aimed at reviewing the organization's capabilities knowledge on Safety management and gap analysis to focus on key performance requirements and results.

4.20 The event was closed with a speech from the FAA, ICCAE and ICAO, recognizing the excellent results achieved and the positive impact of the experience on the professional performance of the participants, which will result in the strengthening of State safety oversight systems.

5. Outcomes/Recommendations

5.1 Participants became familiar with the Systemic Assistance Program (SAP) of the NACC Regional Office and were encouraged to work jointly and effectively in the harmonized implementation of the CEs of the State Safety Oversight System.

5.2 Likewise, the participants shared experiences of their States related to resolution of deficiencies for the air navigation safety oversight, identified through USOAP - CMA, and the application of lessons learned to have a more effective implementation; they also identified opportunities to work together with other States.

5.3 The Workshop reviewed different regulatory models that States could adopt to achieve their Safety oversight objectives and the strategies to develop a risk-based regulatory approach.

5.4 A detailed description of the processes and tools used to formulate and conduct a risk-based Safety oversight audit was provided.

5.5 The establishment of an organizational structure for the ANS organizations surveillance that supports the performance of State functions and responsibilities was recommended, as well as, the use of models to calculate personnel needs, and the implementation of strategies for the recruitment, instruction and retention of qualified personnel.

5.6 It was promoted to ensure that the level of experience and competence of ANS inspectors be equal to or greater than the level of ANSP staff, encouraging the implementation of more rigorous training programs and plans, especially in the SMS area.

5.7 It was recommended the development of regional guidance material to contribute for States to achieve the following objectives:

- Provide guidance to technical personnel on how to execute their specific functions and activities;
- Enable management to ensure that safety oversight functions and activities be carried out in an effective and standardized manner.

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North American, Central American and Caribbean Office (NACC)
Oficina para Norteamérica, Centroamérica y Caribe (NACC)

**Second Air Navigation Services (ANS) and Air Traffic Services (ATS) Safety Inspectors Workshop/
Segundo Taller para Inspectores de Seguridad Operacional de Servicios de Navegación Aérea (ANS)
y Servicios de Tránsito Aéreo (ATS)
(ANS/ATS/2)**

San Salvador, El Salvador, 22 to 26 July / 22 al 26 de Julio de 2019

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