Evolution of Annex 19 and the Global Aviation Safety Plan

Safety Management Workshop

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Overview

- Annex 19 – *Historical Background*

- The two-phase approach

- The Safety Management Panel (SMP) work programme

- High-level Safety Conference 2015 (HLSC 2015)

- Timeline for Amendment 1 to Annex 19 and what to expect

- Global Aviation Safety Plan (GASP) objectives and timelines

Annex 19 - *Historical Background*

- High-level Safety Conference 2010 - Recommendation 2/5

  – ICAO should develop, in close collaboration with States, international and national organizations, a new Annex dedicated to safety management responsibilities and processes which would address the safety management responsibilities of States framed under the State Safety Programme (SSP).

  – The new Safety Management Annex should facilitate the provision of State and air carrier safety information to the travelling public, in addition to specifying the high level safety responsibilities of States.

  – The ANC agreed to establish the Safety Management Panel (SMP) in 2011

Annex 19 - *Historical Background*

- High-level Safety Conference 2010 - Recommendation 2/4

  – Recommended that ICAO establish a multidisciplinary group to progress activities regarding the protection of safety data and safety information.

- ICAO Council:

  – Following the recommendations of the HLSC, the Air Navigation Commission proposed that a multidisciplinary taskforce be formed to conduct this work and that the Secretariat prepare the terms of reference. The Council agreed with these proposals.

- In December 2010, the ANC approved the establishment of the Safety Information Protection Task Force

Two-phase approach to develop Annex 19

- ANC recommended and Council accepted that Annex 19 be developed in 2 phases :

    – First phase focused on the consolidation of the existing Standards and Recommended Practices (SARPs) and supporting guidance material

    – Second phase focused on further development of the Safety Management Annex and supporting guidance material

Annex 19 - phase 1
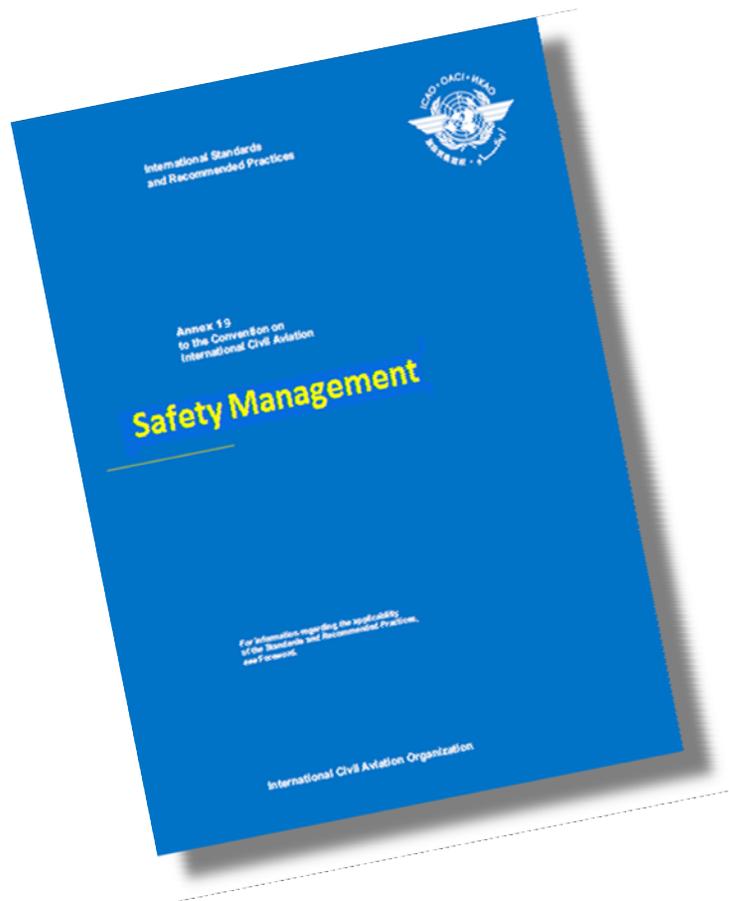
- Adopted by the Council
  - 25 February 2013

- Became effective
  - 15 July 2013

- Became applicable
  - 14 November 2013

Annex 19 - phase 1

- Consolidation of existing and overarching SARPS from Annexes 1, 6, 8, 11, 13 & 14

- Elevation of the four components of the SSP framework to a Standard

- State safety oversight provisions broadened to all service providers

- Safety data collection, analysis and exchange provisions transferred from Annex 13

- SMS framework now applies to the design and manufacture of aircraft

consolidation

new provisions

Annex 19 - Benefits

- Highlights the importance of safety management at the State level;

- Enhances safety by consolidating safety management provisions applicable to multiple aviation domains;

- Facilitates the evolution of safety management provisions;

- An opportunity to further promote the implementation of SMS and SSP provisions; and

- A process established to analyze feedback received regarding Annex 19 and safety management implementation.

Annex 19 - Contents

- CHAPTER 1 - Definitions
- CHAPTER 2 - Applicability
- CHAPTER 3 - State safety management responsibilities
- CHAPTER 4 - Safety management system (SMS)
- CHAPTER 5 - Safety data collection, analysis and exchange
- APPENDIX 1 - State safety oversight system
- APPENDIX 2 - SMS Framework
- ATTACHMENT A - SSP Framework
- ATTACHMENT B - Legal guidance for the protection of information from safety data collection and processing systems

Annex 19 - Implementation

- Third Edition, Doc 9859, was published on 8 May 2013
  – Restructured according to the SSP and SMS Frameworks (Annex 19)
  – Contains detailed guidance and tools for SSP and SMS implementation

- ICAO Safety Management Website: http://www.icao.int/Safety/SafetyManagement

- ICAO Safety Management I-Kit http://cfapp.icao.int/tools/SMikit/story.html

- Regional Aviation Safety Groups

Annex 19 - phase 2
SMP work programme

- Development of enhanced SSP provisions

- Development of enhanced SMS provisions

- Development of coordinated emergency response plan provisions

- Enhanced provisions for the collection, analysis and exchange of safety data and safety information

- Further development of SMS and SSP implementation and assessment tools

- Extension of the applicability of the SMS provisions

- Enhanced provisions for the integration of SMS and SSP activities

HLSC 2015

- Attended by 714 participants from 120 Member States and Observers representing 35 international organizations.

- The Conference had 3 main Themes:

  1. Achievements and remaining work

  2. Future approach to manage aviation safety

  3. Facilitating increased regional cooperation

- 107 Working Papers and 40 Information Papers were submitted

- The outcomes of the Conference included 57 Recommendations

- The Conference documentation is posted on the following website: http://www.icao.int/Meetings/HLSC2015/Pages/default.aspx

HLSC 2015 Conclusion 2/1

a) *Strategies for managing aviation safety*

   1) A risk-based approach is an effective means for States to manage new and existing aviation activities;

   2) Additional guidance material is needed for States to develop performance-based regulations; and

   3) New or enhanced ICAO provisions, as well as collaboration between States, are required to ensure the safe integration of remotely piloted aircraft system (RPAS).

HLSC 2015 Recommendation 2/1

a) *Strategies for managing aviation safety*

1) ICAO should assess the feasibility and benefits of expanding safety management system (SMS) applicability to additional aviation activities;

2) ICAO should establish a coordination mechanism to assist States in resolving safety issues related to foreign aircraft operators;

3) ICAO should develop guidance material to facilitate the establishment of performance-based regulations;

4) ICAO should expedite the development of provisions to be used by States to regulate remotely piloted aircraft system (RPAS) operations...;

5) States should address the risks of non-regulated use of remotely piloted aircraft (RPA) in the vicinity of aerodromes to international flights; and

6) ICAO should provide supporting material to assist States in the mitigation of risks posed to international flights from RPA...

HLSC 2015 Conclusion 2/1

b) *Implementing State safety programme (SSP)*

1) The implementation of the State safety oversight system and State safety programme (SSP) should be monitored to determine the progress attained towards the Global Aviation Safety Plan (GASP) objectives;

2) Additional guidance and sharing of experiences are necessary for States to further develop and implement SSPs; and

3) Safety performance indicators (SPIs) are needed to enable States to monitor and measure performance.

HLSC 2015 Recommendations 2/1

b) *Implementing State safety programme (SSP)*

1) States should use the ICAO State safety programme (SSP) gap analysis tool and Universal Safety Oversight Audit Programme (USOAP) self-assessment to facilitate the monitoring and implementation of SSP;

2) ICAO should develop guidance and mechanisms for sharing best practices to support SSP implementation; and

3) ICAO should improve and harmonize the defined safety performance indicators (SPIs) taking into account those currently in use.

HLSC 2015 Conclusion 2/1

c) *Enhancing State safety programme (SSP) provisions*

1) The adoption of Annex 19 — *Safety Management* has facilitated the consolidation of overarching safety management Standards and Recommended Practices (SARPs) that will enable their further evolution; and

2) Enhancements to State safety programme (SSP) provisions should support States' efforts to meet the Global Aviation Safety Plan (GASP) objectives, incorporating the integration of the eight critical elements of a safety oversight system with the SSP framework in a way that allows States to gain the maturity needed at each step to achieve sustainable improved performance.

HLSC 2015 Recommendation 2/1

c) *Enhancing State safety programme (SSP) provisions*

    1) ICAO, in considering the integration of the eight critical elements of a State safety oversight system and the eleven elements of the State safety programme (SSP) framework, should ensure that the eight critical elements remain visible and that their role as the foundation of the SSP is emphasized; and

    2) ICAO should harmonize the safety data collection provisions.

HLSC 2015 Conclusion 2/2

…

c) The protection of certain accident and incident records, other information collected for the purposes of maintaining or improving safety and its related sources is an enabler for safety improvement and should be introduced at a legislative level;

…

f) Expeditious progress in ICAO's work to adopt new and enhanced provisions on the protection of certain accident and incident records and information collected for the purpose of maintaining or improving safety in addition to assistance to States in implementing these new protective frameworks is critical for the improvement of aviation safety.

HLSC 2015 Recommendation 2/2

a) That ICAO ensure meaningful and expeditious progress towards the adoption of new and enhanced provisions on the protection of certain accident and incident records, other information collected for the purposes of maintaining or improving safety and its related sources, ...

b) That States undertake the necessary legal adjustments to efficiently implement new and enhanced protective frameworks...; and

c) That ICAO support States in implementing new and enhanced provisions through a strategy comprised of supporting guidance material, tools and seminars tailored to the needs of each region...

HLSC 2015 Conclusion 2/3

a) The exchange of information is a fundamental tenet of a safe air transportation system and is acknowledged as an enabler to achieve the objectives of the Global Aviation Safety Plan (GASP);

b) Safety initiatives rely on a clear understanding of how safety information is defined and protected;

c) Appropriate tools, systems and legal frameworks need to be available to enable States and organizations to use the shared safety information;

d) Further development of global safety initiatives and implementation strategies should be built on the collection, analysis and sharing of information between States and aviation stakeholders;

e) A phased approach is essential for the development of the global information sharing framework; and

f) There is a recognition of the benefits of making available at a global level safety information collected through regional safety exchange mechanisms.

HLSC 2015 Recommendation 2/3

a) that ICAO facilitate a phased approach towards the development of the global framework for the exchange of information pertaining to the identification of systemic safety issues and other types of information in the interest of safety;

b) that ICAO launch a study to assess the need to endorse the Universal Safety Oversight Audit Programme – Continuous Monitoring Approach (USOAP-CMA) online framework to a more transparent data fusion centre that would complement the work conducted by ICAO and Member States through the USOAP-CMA, Electronic Filing of Differences (EFOD), Regional Aviation Safety Group (RASG) and other working groups;

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HLSC 2015 Conclusion 2/4

a) *Updating the 2014 – 2016 Global Aviation Safety Plan (GASP)*

    1) Safety roadmap(s) will assist States and regions in the implementation of the GASP; and

    2) The update of the GASP requires a collaborative effort of all stakeholders to promote its continuous and stable evolution.
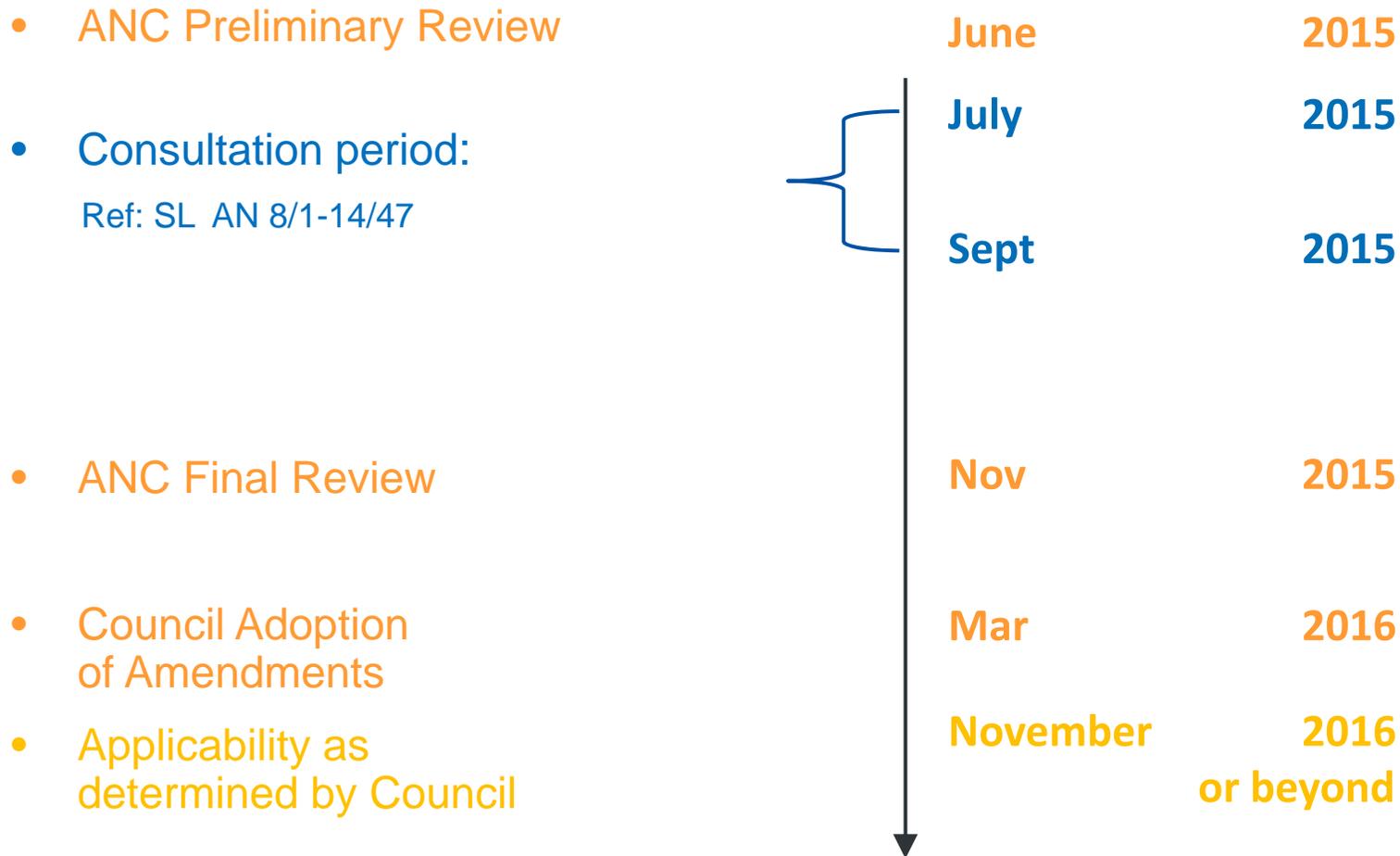
HLSC 2015 Recommendation 2/4

a) *Updating the 2014 – 2016 Global Aviation Safety Plan (GASP)*

   1) ICAO, in collaboration with States, Regional Aviation Safety Groups (RASGs), aviation safety partners and the industry, should develop safety roadmap(s) in support of the GASP; and

   2) ICAO, in collaboration with States, RASGs, aviation safety partners and the industry, should develop methods to identify future safety objectives and priorities to update the GASP while taking into account operational safety data and the necessary continuity and stability of the strategic document.

Annex 19 - Timeline for Amendment 1

- ANC Preliminary Review

- Consultation period:
  Ref: SL AN 8/1-14/47

- ANC Final Review

- Council Adoption
  of Amendments

- Applicability as
  determined by Council

June   2015

July   2015

Sept   2015

Nov   2015

Mar   2016

November   2016
            or beyond

Annex 19, Amendment 1
What to expect

State Letter with proposal to amend Annex 19

- Enhanced provisions for State safety management responsibilities in Chapter 3 that integrate the SSP provisions currently in Attachment A with references to the State safety oversight provisions in Appendix 1

- Enhanced provisions for SMS to facilitate implementation

- Extension of the applicability of SMS to engine and propeller design and manufacturing organizations

- Upgrade of the guidance material currently found in Attachment B to new Appendix 3, based on recommendations from the SIP TF

GASP objectives and timelines

2014–2016
Global Aviation Safety Plan

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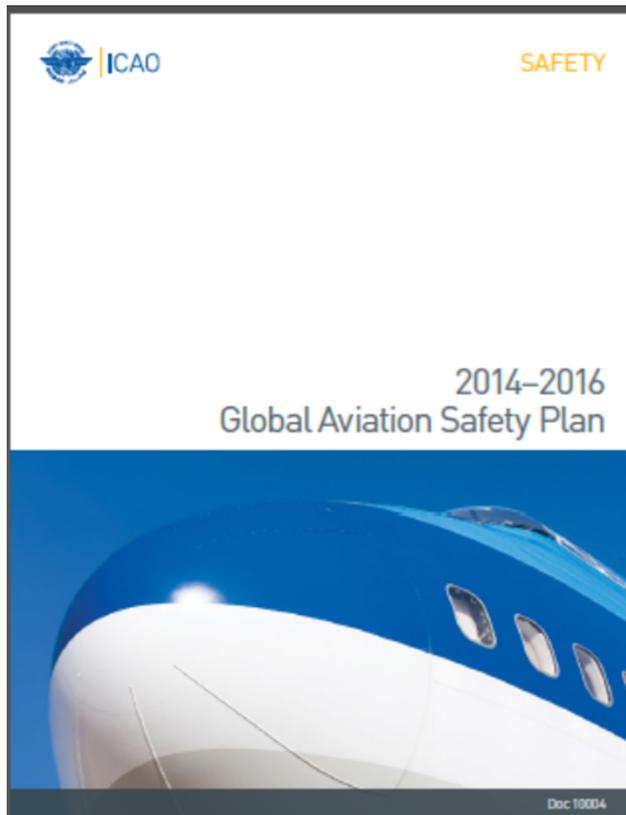
- Endorsed by the 37th Session of the ICAO Assembly

- High-level, policy, planning and implementation document

- Guides air transport progress in conjunction with the Global Air Navigation Plan (GANP)

- Defines the means and targets by which ICAO, States and aviation stakeholders can anticipate and efficiently manage air traffic growth while proactively maintaining or increasing safety

GASP objectives and timelines

Figure 2: Overview of strategy to achieve GASP objectives