

CLARIFICATION AND ROLL-OUT PLAN FOR ANNEX 19, FIRST EDITION

This attachment contains information regarding the creation of Annex 19 and its implementation. The States are invited to broadly distribute this document internally to their appropriate staff and externally to the industry, in order to efficiently support the roll-out of this new ICAO Annex and reach out the largest amount of stakeholders.

The ICAO Safety Management website, <http://www.icao.int/SafetyManagement> has been updated to provide valuable information on the implementation of Annex 19 and will be updated regularly with new developments. Any questions regarding Annex 19 or safety management provisions can be addressed to ISM@icao.int.

1. BACKGROUND

1.1 Safety management provisions were gradually introduced into the following ICAO Annexes beginning in 2001:

- a) Annex 1 — *Personnel Licensing*;
- b) Annex 6 — *Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, Part II — International General Aviation — Aeroplanes and Part III — International Operations — Helicopters*;
- c) Annex 8 — *Airworthiness of Aircraft*;
- d) Annex 11 — *Air Traffic Services*;
- e) Annex 13 — *Aircraft Accident and Incident Investigation*; and
- f) Annex 14 — *Aerodromes, Volume I — Aerodrome Design and Operations*.

1.2 In response to High-level Safety Conference 2010 (HLSC/2010) Recommendation 2/5, the ICAO Council supported a two-phased approach for the creation of a new safety management Annex:

- a) the first phase to consolidate existing and overarching Standards and Recommended Practices (SARPS), currently contained in as many as six different Annexes, into a single new Annex; and
- b) the second phase for the development of new safety management provisions.

1.3 On 25 February 2013, the ICAO Council unanimously adopted the first edition of Annex 19 with an applicability date of 14 November 2013.

2. SUMMARY OF ANNEX 19 CONTENTS

2.1 The first edition of Annex 19 is a consolidation of existing overarching safety management provisions. The sources of Annex 19, first edition, are described in Attachment D to this State letter.

2.2 Minor modifications were made as necessary for the purposes of clarity and consistency. In addition, the following amendments were made for harmonization purposes:

- a) the four components of the SSP framework were elevated to a Standard in Chapter 3;
- b) State safety oversight provisions (Appendix 1) were derived from Annex 6, Part I, Appendix 5 and Annex 6, Part III, Appendix 1 and their applicability broadened to all service providers identified in Chapters 3 and 4;
- c) Safety data collection analysis and exchange (Chapter 5) provisions were transferred from Annex 13. Legal guidance for protection of safety information (Attachment E to Annex 13) is replicated as Attachment B to Annex 19; and
- d) the SMS framework (Appendix 2) now applies to type design and manufacture of aircraft.

2.3 Sector-specific safety management SARPs have been retained in their relevant Annexes.

2.4 The ICAO Council has also adopted consequential amendments to Annexes listed in 1.1 above, reflecting the transfer of the overarching safety management provisions to Annex 19 and providing appropriate cross-references to Annex 19.

2.5 Independently of the 14 November 2013 applicability date for Annex 19, first edition, and the consequential amendments to the relevant Annexes, the previously adopted safety management SARPs maintain their original applicability date.

3. **BENEFITS OF ANNEX 19**

3.1 Highlights the importance of safety management at the State level and enhances safety by consolidating safety management provisions applicable to multiple aviation domains into a single Annex.

3.2 Facilitates the future evolution of safety management provisions.

3.3 Promotes aligned implementation of SMS and SSP provisions.

3.4 Creates a process to collect and analyse feedback regarding the implementation of SMS and SSP.

4. **IMPLEMENTATION OF ANNEX 19 BY ICAO MEMBER STATES**

4.1 A draft third edition of the *Safety Management Manual* (SMM) (Doc 9859) has been posted on the Safety Management website since May 2012. The SMM has been restructured according to the SSP and SMS frameworks and includes detailed guidance and tools developed for SSP and SMS implementation. ICAO has given a high priority to the finalization and translation of this document. Further information is available on the Safety Management website.

4.2 The ICAO safety management training material is being updated to reflect the third edition of the SMM, the first edition of Annex 19 and the latest safety management developments.

4.3 The regional aviation safety groups (RASGs) have been invited to identify activities in support of ICAO's roll-out plan and the effective and continuing implementation of SMS and SSP provisions.

4.4 Compliance to all applicable SARPs remains the foundation on which State safety programmes are established. The concepts of performance or risk management in Annex 19 do not absolve the States from complying with the existing provisions in other Annexes, which remains fundamental to aviation safety.

5. **ELECTRONIC FILING OF DIFFERENCES (EFOD) – TO COMPLEMENT ATTACHMENT C TO THIS STATE LETTER**

5.1 The EFOD System will be updated to include Annex 19 provisions and to reflect the consequential amendments to other Annexes from 15 July 2013 to allow States to begin identifying and notifying their differences to ICAO.

5.2 States will be expected to review any difference(s) currently filed to overarching safety management SARPs in Annexes 1, 6, 8, 11, 13 and 14, Volume I, to determine if the difference(s) should be filed to provision(s) as transferred into Annex 19.

5.3 In order to support this task, Attachment D contains a mapping of safety management provisions from the existing Annexes to Annex 19. In addition, for each State, a special report of the differences currently filed to safety management provisions, based on Attachment D, will be generated and made available on the Universal Safety Oversight Audit Programme (USOAP) website, <https://soa.icao.int/usoap/>.

5.4 When filing differences, States should ensure that all aviation sectors (aviation training organizations, air operators, approved maintenance organizations, air traffic services providers, certified aerodromes and international general aviation operators) are properly considered. This is particularly important for Chapters 3 and 4 of Annex 19.

6. **ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)**

6.1 Effective SSP implementation is a gradual process requiring time to mature fully. Factors that affect the time required to establish an SSP include the complexity of the air transportation system as well as the maturity of the aviation safety oversight capabilities of the State.

6.2 The USOAP State Aviation Activity Questionnaire (SAAQ) and Protocol Questionnaires (PQs) will be updated to address safety management provisions in a comprehensive manner.

6.3 Timelines identifying the availability and applicability dates for the updated SAAQ and PQs will be posted by the end of May 2013 on the USOAP website, <https://soa.icao.int/usoap/>. These timelines will be in accordance with ICAO's safety strategy, with an expected applicability after May 2014.

7. **FURTHER DEVELOPMENT OF SAFETY MANAGEMENT SARPS**

7.1 Comments received during the consultation period for the first edition of Annex 19 that related to the second phase development are being considered by the Safety Management Panel.

7.2 Annex 19 is expected to follow a three-year amendment cycle. An impact assessment will be required for any proposed changes to Annex 19 provisions to ensure stability and continuity in the implementation of SSP and SMS for all States.

7.3 In the future, while overarching safety management SARPs will be included in Annex 19, new sector-specific safety management provisions are expected to be included in the appropriate Annexes.

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