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ANNEX 19 AMENDMENT 2 PROPOSALS

SEIG/5 Meeting

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Background

- Amendment 1 to Annex 19 was adopted in March 2016 with a delayed applicability of November 2019.
- The Safety Management Panel (SMP) endorsed proposals for Annex 19 Amdt 2 to Annex 19 during the SMP/5 held Q4 2021.
- Proposed changes to Annex 19 stem from a variety of sources including:
 - a. Terms of reference of the SMP;
 - b. the collective experience of the SMP in implementing SSPs and SMSs; and
 - c. information collected through ICAO implementation support initiatives.

State Letter Amendment 2 to Annex 19

- State Letter containing proposals for the amendment of **Annex 19** and consequential amendments to **Annexes 1; 6 Parts I and III; and 13** has been published on 5 April 2023.
- The deadline for comments is **5 October 2023**





Grouping of Proposals

Batch 1: Enhanced provisions related to SSP

Batch 2: Enhanced provisions related to SMS

Batch 3: Provisions related to the extension of SMS applicability

Batch 4: Enhanced provisions related to safety performance management

Batch 5: Enhanced provisions related to safety intelligence

Overview Batch 1: Enhanced provisions related to SSP

- Existing STD for establishing an SSP amended to **remove the phrase “commensurate with size and complexity”** and emphasize need to tailor SSP implementation
- **New STD** for States to ensure the **role of CAAs is reflected in emergency response planning and crisis management**
- **New RP** related to **SMS discretionary** applicability
- **New RP for management of change** process at State level



Overview Batch 1: Enhanced provisions related to SSP

- Existing STD for establishing an SSP amended to remove the phrase “commensurate with size and complexity” and emphasize need to tailor SSP implementation

3.1 ~~State safety programme (SSP)~~ General

3.1.1 States shall establish and manage ~~maintain~~ an SSP in accordance with the components detailed in 3.2, 3.3, 3.4 and 3.5, supported by a system description. ~~that is commensurate with the size and complexity of the State’s civil aviation system, but may delegate safety management related functions and activities to another State, Regional Safety Oversight Organization (RSOO) or Regional Accident and Incident Investigation Organization (RAIO).~~

Note 1.— ~~States retain responsibility for safety management related functions and activities delegated to another State, RSOO or RAIO.~~ How an SSP is established and managed differs from one State to another due to a number of aspects including, but not limited to, the complexity of the State’s civil aviation system as captured in the system description, the State’s legal system and the State’s civil aviation priorities.



Overview Batch 1: Enhanced provisions related to SSP

- New STD for States to ensure the role of CAAs is reflected in emergency response planning and crisis management

3.2.3.5 States shall ensure that the role of Civil Aviation Authorities is appropriately reflected in Emergency Response Planning and Crisis Management at the State level, to effectively address the impacts on aviation.



Overview Batch 1: Enhanced provisions related to SSP

- New RP related to SMS discretionary applicability

3.3.5.3 Recommendation.— *States should periodically review the need to extend the SMS applicability to additional aviation sectors beyond those covered under 3.3.2, in accordance with the SMS framework contained in Appendix 2, as a safety risk control.*

Overview Batch 1: Enhanced provisions related to SSP

- New RP for management of change process at State level

3.4.3 Management of change

3.4.3.1 Recommendation.— *States should develop and maintain a process to proactively manage changes at the State level, to ensure that the safety risks incurred by the changes are properly controlled while the desired outcomes are achieved.*

Note.— *Guidance on the management of change is contained in the Safety Management Manual (Doc 9859).*

Overview Batch 2: Enhanced provisions related to SMS

- Proposed amendments to support implementation of the SMS framework
- **New STD to support the identification of interfaces**
- **New STD to ensure products and services** that have an impact on safety are covered by the SMS
- Existing STD amended to further emphasize the need to identify hazards across interfaces

Overview Batch 2: Enhanced provisions related to SMS

4.1 General

4.1.1 The SMS of ~~each~~ service provider ~~addressed under 3.3.2.1 of this Annex~~ shall:

- a) be established ~~and managed~~ in accordance with the framework elements contained in Appendix 2;
~~and~~
- b) ~~cover a defined scope of products and services; and be commensurate with the size of the service provider and the complexity of its aviation products or services.~~
- c) be supported by the identification of relevant organizational interfaces.

Note 1.— The way in which an SMS is established and managed differs from one service provider to another depending on its products and services.

Note 2.— Guidance on the development of a system description and the management of interfaces is contained in the Safety Management Manual (Doc 9859).

Overview Batch 3: Provisions extending SMS applicability

SMS applicability extended to:

- certified Remotely-Piloted Aircraft System (RPAS) operators
- approved maintenance organizations (AMOs) providing services to them
- certified Heliports

Overview Batch 3: Provisions extending SMS applicability

3.3.2 Safety management system obligations

3.3.2.1 States shall require that the following service providers under their authority implement an SMS:

- c) operators holding a remotely piloted aircraft system (RPAS) operator certificate and authorized to conduct international operations in accordance with Annex 6, Part IV;

Note.— When maintenance activities are not conducted by an approved maintenance organization in accordance with Annex 6, Part IV, they are included in the scope of the operator's SMS.

- e) approved maintenance organizations providing services to operators authorized to conduct international RPAS operations in accordance with Annex 6, Part IV;

Overview Batch 3: Provisions extending SMS applicability

3.3.2 Safety management system obligations

3.3.2.1 States shall require that the following service providers under their authority implement an SMS:

4.12.9 The SMS of an operator of a certified aerodrome or a certified heliport, in accordance with Annex 14, Volumes I and II, respectively, shall be made acceptable to the State responsible for the aerodrome's or heliport's certification.

Overview Batch 4: Enhanced provisions related to SPM

- **New definition** for safety objective and **updates** to definitions for **safety performance** and **safety performance indicator (SPI)**
- Acceptable Level of Safety Performance (ALoSP) concept removed from existing STD and replaced with more **foundational** SARPs
- Safety Performance **Targets (SPTs) removed** from provisions with a focus on the Safety Performance Management (SPM) process
- Improved provisions to include the use of **qualitative means** for the establishment of SPIs



Overview Batch 4: Enhanced provisions related to SPM

- **New definition** for safety objective and **updates** to definitions for **safety performance** and **safety performance indicator (SPI)**.

Safety objective. A statement of a desired safety outcome.

Safety performance. A State or a service provider's measurable effect on safety achievement as defined by its safety performance targets and assessed through safety performance indicators, supported by qualitative means as needed.

Safety performance indicator. A data-based parameter used for monitoring and assessing safety performance metric or quantitative means used to measure and monitor the progress made by a State or a service provider towards achieving a safety objective.

Overview Batch 4: Enhanced provisions related to SPM

- Acceptable Level of Safety Performance (ALoSP) concept removed from existing STD and replaced with more **foundational** SARPs.

3.4.2.1 States shall establish ~~the acceptable level of~~ safety performance indicators, supported by qualitative means as needed, to measure and monitor the safety performance ~~to be achieved through their SSP~~ of the State's civil aviation system and the progress towards achieving its safety objectives.

~~Note 1.— An acceptable level of safety performance for the State can be achieved through the implementation and maintenance of the SSP as well as safety performance indicators and targets showing that safety is effectively managed and built on the foundation of implementation of existing safety-related SARPs.~~

~~Note 2.— Guidance on establishing safety performance indicators and qualitative means ~~targets, as well as an acceptable level of safety performance,~~ to measure and monitor the State's safety performance is contained in the Safety Management Manual (SMM) (Doc 9859).~~

Note 2.— Additional provisions related to safety intelligence that support the establishment of safety performance indicators for State safety performance measurement and monitoring can be found in 5.3.1.

Overview Batch 4: Enhanced provisions related to SPM

3.4.2.2 Recommendation.— ~~States should develop and maintain a process to evaluate the effectiveness of actions taken to manage safety risks and resolve safety issues.~~ ensure that the means of safety performance measurement established by service providers addressed in 3.3.2.1 consider, and support where appropriate, the safety performance measurement and monitoring at the State level.

Note.— ~~Safety assessment results may be used to support the prioritization of actions to manage safety risks.~~ Collaboration between the State and service providers, and RSOOs where applicable, facilitates the development of effective safety performance measurement and monitoring across the State's civil aviation system.

3.4.2.3 Recommendation.— ~~States should evaluate the effectiveness of their individual SSPs to maintain or continuously improve their overall level of safety performance.~~



Overview Batch 4: Enhanced provisions related to SPM

- Safety Performance Targets (SPTs) removed from provisions with a focus on the Safety Performance Management (SPM) process

~~*Safety performance target.* The State or service provider's planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives.~~



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Updated title and objective of Chapter 5 to emphasize the **Development of safety intelligence** with a **new RP** to encourage States to develop a safety intelligence strategy
- Amended SDCPS term to refer to a **single system and enhanced SDCPS related provisions**
- **RP upgraded to STD** to highlight the importance of **collaboration, coordination, and communication** between SSP stakeholders



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Updated title and objective of Chapter 5 to emphasize the **Development of safety intelligence** with a new RP to encourage States to develop a safety intelligence strategy.

CHAPTER 5. **DEVELOPMENT OF SAFETY INTELLIGENCE DATA AND SAFETY INFORMATION COLLECTION, ANALYSIS, PROTECTION, SHARING AND EXCHANGE**

Note.— The objective of this chapter is to support States in the development of safety intelligence to maintain and continuously improve the effectiveness of their State safety programme (SSP). ~~ensure the continued availability of safety data and safety information to support the safety management activities.~~



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Updated title and objective of Chapter 5 to emphasize the Development of safety intelligence with a **new RP to encourage States to develop a safety intelligence strategy.**

5.1 General

5.1.1 Recommendation. *States should establish a strategy for the development of safety intelligence that supports the management of safety and decision-making.*

Note.— Guidance related to the strategy for developing safety intelligence is contained in the Safety Intelligence Manual (Doc10159).

Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Amended SDCPS term to refer to a **single system** and enhanced **SDCPS related provisions**

5.42 Safety data collection and processing systems

5.4.2.1 States shall establish a safety data collection and processing ~~system~~ **system** (SDCPS) consisting of a series of integrated processes and schemes to capture, store, aggregate, process and enable the analysis of safety data and safety information.

~~Note 1. SDCPS refers to processing and reporting systems, safety databases, schemes for exchange of information and recorded information including but not limited to:~~

~~a) data and information pertaining to accident and incident investigations;~~



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Amended SDCPS term to refer to a single system and enhanced SDCPS related provisions

~~b) data and information related to safety investigations by State authorities or aviation service providers;~~

~~e) mandatory safety reporting systems as indicated in 5.1.2;~~

~~d) voluntary safety reporting systems as indicated in 5.1.3; and~~

~~e) self-disclosure reporting systems, including automatic data capture systems, as described in Annex 6, Part I, Chapter 3, as well as manual data capture systems.~~

Note 1.— The SDCPS may also include some analysis functions.

Note 2.— Guidance related to an SDCPS is contained in the Safety Management Manual (SMM) (Doc 9859) the Safety Intelligence Manual (Doc 10159).

Note 3.— The term “safety database” may refer to a single or multiple database(s).

Note 4.— SDCPS may include inputs from State, industry and public sources, and may be based on reactive and proactive methods of safety data and safety information collection.

Note 5.— Sector specific safety reporting provisions are contained in other Annexes, PANS and SUPPs. There is a recognized benefit to the effective implementation of an SSP in having an integrated approach for the collection and analysis of the safety data and safety information from all sources.



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Amended SDCPS term to refer to a **single system** and enhanced SDCPS related provisions

5.2.2 States shall ensure that the SDCPS is based on proactive as well as reactive methods of safety data and safety information collection.

Note.— An SDCPS may include inputs from State, industry and public sources.



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- Amended SDCPS term to refer to a **single system** and enhanced SDCPS related provisions

5.2.3 States shall ensure that the safety data and safety information collected through mandatory safety reporting systems are incorporated into the SDCPS.

Note 1.— Mandatory safety reporting systems include the reporting of hazards and safety deficiencies.

Note 2.— The SDCPS includes mandatory safety reporting systems established by the State in accordance with sector-specific provisions contained in other Annexes, Procedures for Air Navigation Services (PANS) and supporting guidance material. In addition, Annex 13 contains information on accident/incident data reporting (ADREP). Examples of mandatory safety reporting systems are contained in the Safety Intelligence Manual (Doc 10159).



Overview Batch 5: Enhanced provisions related to Safety Intelligence

- RP upgraded to STD to highlight the importance of collaboration, coordination, and communication between SSP stakeholders

~~5.1.4 **Recommendation.** — State authorities responsible for the implementation of the SSP should have access to the SDCPS as referenced in 5.1.1 to support their safety responsibilities, in accordance with the principles in Appendix 3.~~

5.2.5 State authorities responsible for the implementation of the SSP shall contribute and have access to safety data and safety information in the SDCPS to support their safety responsibilities.

Note 1. — State authorities responsible for the implementation of the SSP include accident investigation authorities.



Overview Batch 5: Enhanced provisions related Safety Intelligence (2)

- RP upgraded to STD for the use of **standardized taxonomies** for the identification of hazards, consistent comparison of safety data and safety information, and sharing and exchange of safety information
- A new RP is proposed to highlight the importance of **safety data and safety information governance** to support the development of safety intelligence by the States with a new supporting **Attachment A** to Annex 19

Overview Batch 5: Enhanced provisions related Safety Intelligence (2)

- RP upgraded to STD for the use of **standardized taxonomies** for the identification of hazards, consistent comparison of safety data and safety information, and sharing and exchange of safety information

~~5.1.5 **Recommendation.** *The safety database should use standardized taxonomy to facilitate safety information sharing and exchange.*~~

5.2.6 States shall use a taxonomy for safety reporting that is aligned with standardized taxonomies and that facilitates the:

- a) identification of hazards at the State's civil aviation system level as referenced in 3.3.4;
- b) consistent comparison of safety data and safety information; and
- c) sharing and exchange of safety information as referenced in 5.5.

~~Note. — States are encouraged to use an~~ Guidance related to standardized taxonomies including, but not limited to ADREP taxonomy, is contained in the Safety Intelligence Manual (Doc 10159). ~~compatible system. More information on ADREP can be found in Annex 13, Chapter 7.~~

Overview Batch 5: Enhanced provisions related Safety Intelligence (2)

- A new RP is proposed to highlight the importance of **safety data and safety information governance** to support the development of safety intelligence by the States with a new supporting **Attachment A** to Annex 19

5.2.7 Recommendation.— *States should establish a means for the governance of safety data and safety information.*

Note.— *Further guidance on safety data governance is contained in the Safety Intelligence Manual (Doc 10159).*



Timeline

Timeline for Annex 19, Amendment 2 and supporting Guidance Material

	2022-Q4	2023-Q1	2023-Q2	2023-Q3	2023-Q4	2024-Q1	2024-Q2	2024-Q3	2024-Q4	2025-Q1	2025-Q2	2025-Q3	2025-Q4	2026-Q1	2026-Q2	2026-Q3	2026-Q4
Meeting Milestones	SMP/WG/7		SMP/6 (8 - 12 May)						SMP/7 (9- 13 Dec)						SMP/8 (25- 29 May)		
Amendment 2 to Annex 19		ANC Preliminary Review (16 Jan to 3 Feb)	State letter and Consultation (1 Feb 2023 - 1 August 2023)		ANC Final Review (2nd half)		Draft Report and Council Adoption		Effective Date								Applicable
Consequential Amendments, Annexes 1, 6 and 13		ANC Preliminary Review (16 Jan to 3 Feb)	State letter and Consultation (1 Feb 2023 - 1 August 2023)		ANC Final Review (2nd half)									Draft Report and Council Adoption	Effective Date		Applicable
5th Edition of SMM (Doc 9859)	Development of draft proposals		SMP endorses draft content	Secretariat to compile and finalize draft			ANB editorial review	SEC internal coord	Post advanced unedited version	Formal editorial review and tranx	Pub in all ICAO Langs						
Safety Data Collection and Processing System (SDCPS) Manual (Doc 10159)			SMP endorses draft content		Post advanced unedited version	Formal editorial review and tranx	Pub in all ICAO Langs										



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Thank you!

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