



**WORKING PAPER**

**ASSEMBLY — 38TH SESSION**

**TECHNICAL COMMISSION**

**Agenda Item 28: Aviation Safety: Standardization**

**ANNEX 19 – A NEW ANNEX AND NEXT STEPS**

(Presented by Lithuania on behalf of the European Union and its Member States<sup>1</sup> and the other Member States of the European Civil Aviation Conference<sup>2</sup>; and by EUROCONTROL)

**EXECUTIVE SUMMARY**

New Annex 19, which becomes effective later this year, consolidates the existing requirements under State safety programmes (SSP), safety management systems (SMS) and for the protection of safety data. Work has already started on a second iteration of the Annex, the content of which is not yet agreed, and this paper explores a number of ideas for ways of ensuring that this second version builds successfully on the first one, including through practical support for SSP implementation by States at different levels of compliance maturity.

**Action:** The following recommendations, relating to the development of the next iteration of new Annex 19 and on securing international support for implementation of the Annex, are proposed for consideration by the Assembly:

- a) States should be encouraged to consider implementing programmes for the sharing of experience of SMS (within and between regions), and for the familiarization of regulators with SMS;
- b) the Council should encourage the harmonization and reinforcement of the quality of training in SSP and SMS implementation, including through the promotion of a ‘Safety Culture’ approach; and
- c) the Council should consider a phased approach, under Annex 19, to the implementation of safety management, as a means of ensuring that the benefits of Annex 19 are available to States at all levels of compliance maturity.

<i>References:</i>	Doc 9374, <i>Safety Oversight Manual</i> , Part B Annex 19, Section 3.2 2010 High Level Safety Conference Recommendation 3/3a ICAO 37th Assembly Resolutions A37-5, A37-8 and A37-21
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<sup>1</sup> Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxemburg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

<sup>2</sup> Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Georgia, Iceland, Republic of Moldova, Monaco, Montenegro, Norway, San Marino, Serbia, Switzerland, The former Yugoslav Republic of Macedonia, Turkey and Ukraine.

## 1. INTRODUCTION

### *A New Annex*

1.1 For the first time in 30 years, the Chicago Convention is to have a new Annex. Working from a draft which drew together existing material, a new panel consisting of representatives from twenty States and seven international organisations, spanning all aviation disciplines, produced a new draft Annex in less than 90 days. The States presenting this paper recognize the exceptional effort by the ICAO Secretariat in supporting the delivery of Annex 19 which was adopted by the ICAO Council by 33 votes to zero in February 2013.

1.2 It is important now not to rest on the completion of this first phase of the work but to press ahead with implementation of the new Annex and at the same time to proceed to its second iteration.

### *Annex 19 Content*

1.3 The first edition of the Annex requires very few new actions by regulators or industry. It does however seek to elevate the importance of SSP, SMS and data protection within State's priorities to provide a single coherent document covering these issues and to enhance standardisation between related SARPs in different areas. This reflects the conviction that safety management is the best approach to achieving continuing safety improvements in the increasingly complex aviation environment. The Annex spans all disciplines and therefore has to accommodate different approaches to the management of risk.

### *Implementation*

1.4 Implementation of the Annex will involve the amendment of ICAO documents and training material. The panel has also begun to discuss the possibility of a phased approach to implementation under which there would be outlined a recommended focus for States at differing stages of compliance maturity.

1.5 States may also wish to propose an international programme of support activity to improve the uptake and success of the Annex. This might take the form of SMS/SSP experts facilitating the sharing of experience of and familiarisation with SMS/SSP amongst States, within or between regions, and actions to enhance the quality of training provided globally on SMS implementation, such as an industry accreditation scheme for commercial SMS training providers. Guidance and supporting material is already provided by ICAO and might be supplemented by additional tools such as those produced by the Safety Management International Collaboration Group. Safety Culture too is important, especially in SMS implementation, and could be promoted using a range of methods with account taken of cultural considerations.

## 2. DIRECTIONS FOR THE NEXT ITERATION OF ANNEX 19

### *General Aims*

2.1 The content of the next iteration of Annex 19 has not yet been determined by the panel. As with the present version, the aim should be at text which is simple, practical and usable, which avoids complex terminology and which focuses on the key issues for aviation safety. It may include, for example, links to guidance on concepts and tools which support successful implementation of SMS, such

as “Safety Culture”. Once the recommended draft of the next version of the Annex is complete, the panel will need to become involved in generating further guidance material, such as updates to the Safety Management Manual and the Safety Oversight Manual.

### ***Compatibility with Other ICAO Ambitions***

2.2 Annex 19’s compatibility with other ICAO documents and objectives is important in achieving a coherent, joined-up suite of ICAO material for States to use. Safety oversight, continuous monitoring approach (CMA), Acceptable Level of Safety and other concepts are clearly not ‘owned’ by the Annex 19 panel. However, as the content of Annex 19 will interface with these areas, it will make sense for the Annex to promote, for example, data collection in a way that is compatible with the aims of CMA. The Annex will need to maintain its simple and clear structure and thus remain user friendly for States. It will also need to emphasise the importance of a holistic approach to managing safety at the level of the State (but without of course the State taking responsibility itself for service providers’ operations).

2.3 A phased approach to implementation might be considered (see below), similar in principle to that described in the Global Aviation Safety Plan. This would of course need to be coordinated with the ICAO oversight teams. As with the development of the present version of Annex 19, any such development will require extensive liaison with, and consideration of the inputs from such other ICAO groups as the Safety Information Protection Task Force.

### ***Phased Approach to Implementation***

2.4 Under a phased approach to implementation, the aim would be to produce material that allowed participation by, and benefitted, States at all levels of compliance maturity. It might for example suggest different actions by States at different levels of maturity, and allow those in the earlier stages of achieving compliance to focus on implementing the more fundamental SARPs. Such a concept would require careful development and coordination, before it could be implemented.

## **3. THE NEED FOR AN INTERNATIONAL SUPPORT PROGRAMME**

### ***Supporting Member States***

3.1 The safety management approach is not free from possible misinterpretation. It might for example be supposed, mistakenly, that SMS replaces compliance, or somehow makes it less important, even though the ICAO material underlines that compliance with existing requirements is fundamental to the risk management system. If expertise in SMS is insufficient, or compliance de-prioritised, then safety could actually decline instead of improve. Working with SMS requires high levels of knowledge and new skills on the part of both the industry and the regulator. SMS (and SSP) are important enablers of a fully operational CMA.

3.2 To make an SMS work in industry requires commitment, training and expertise, but the number of aviation professionals who currently understand it well is still small. In States, Inspectors performing industry oversight will have to be well prepared, if they are to be effective in SMS evaluation. They may need to undergo specialist training in the relevant techniques in order to be able to assess SMS effectiveness during their routine oversight activities. It may therefore be beneficial to organize joint industry/authority training, in order to facilitate a common understanding of how to characterize an effective SMS. To be cost effective, such training might be organised on a regional basis. In the European region there is already some experience of SMS experts assisting State inspectors in SMS evaluation.

### ***Industry Training***

3.3 Expertise in industry is likewise important for the implementation of effective SMS. Commercial training providers and consultants are widely available but the content and quality of this training is variable. As SMS becomes increasingly important, there may be value in considering whether industry accreditation schemes could improve the consistency and adequacy of training for service providers. Uptake of industry initiatives could be encouraged, including through the pooling of the expertise, tools and data in such organisations as IATA, AEA, and the FSF.

### ***Supporting Material***

3.4 Supporting material for Annex 19 users will be increasingly important as SMS implementation evolves. This may include panel support to the development of future versions of the Safety Management Manual, the circulation of material and tools developed internationally (such as those produced by the Safety Management International Collaboration Group), user friendly pamphlets on specific subjects, risk assessment or SMS tools designed for use on the internet or smart phone “apps”, as well as other material or best practice that may emerge, and may be provided by a range of sources within a coordinated plan. There should also be a wide ranging communications plan, covering *inter alia* the availability of a consistent set of core messages for use in local briefings, conferences and aviation press articles.

## **4. CONCLUSION**

4.1 The following recommendations, relating to the development of the next iteration of new Annex 19 and on securing international support for implementation of the Annex, are proposed for consideration by the Assembly:

- a) States should be encouraged to consider implementing programmes for the sharing of experience of SMS (within and between regions), and for the familiarisation of regulators with SMS;
- b) the Council should encourage the standardisation and reinforcement of the quality of training in SSP and SMS implementation, including through the promotion of a ‘Safety Culture’ approach; and
- c) the Council should consider a phased approach, under Annex 19, to the implementation of safety management, as a means of ensuring that the benefits of Annex 19 are available to States at all levels of compliance maturity.

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