



ASSEMBLY — 38TH SESSION

TECHNICAL COMMISSION

Agenda Item 28: Aviation Safety — Standardization

Annex 19 — SAFETY MANAGEMENT

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This paper presents a report on the development and adoption of Annex 19 – *Safety Management*, ICAO’s roll-out plan, and the strategy to be followed by ICAO and aviation stakeholders for the implementation and development of safety management Standards and Recommended Practices (SARPs).

Action: The Assembly is invited to:

- a) note the development and adoption of Annex 19;
- b) note the roll-out plan and strategy to support implementation of Annex 19 provisions; and
- c) encourage States to actively participate in the Regional Aviation Safety Groups (RASGs) to promote the implementation of safety management provisions and report progress made at the regional level.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	The activities referred to in this paper will be undertaken subject to the resources available in the 2014-2016 Regular Programme Budget and/or from extra budgetary contributions.
<i>References:</i>	*Doc 9935, <i>Report of the High-level Safety Conference (2010)</i> *Doc 9859, <i>Safety Management Manual (SMM)</i> *Doc 10004, <i>Global Aviation Safety Plan (GASP)</i> SL AN8/3-13/30 – Adoption of Annex 19 <hr/> *Principal References

1. INTRODUCTION

1.1 The High-level Safety Conference 2010 (HLSC/2010) held in Montréal from 29 March to 1 April 2010 concluded that safety management processes under the direct responsibility of ICAO Member States that are critical to civil aviation safety should be contained in a single Annex. Furthermore, the Conference recommended that ICAO should develop this Annex in close collaboration with States, international and national organizations and that it be dedicated to safety management responsibilities and processes. (HLSC/2010 Conclusion 2/5 and Recommendation 2/5 refer).

1.2 In its report to Council on the HLSC/2010 outcomes, the Air Navigation Commission (ANC) recommended that the development of a new Annex on safety management follow a two-phased process: the first phase limited to the consolidation and reorganization of existing Standards and Recommended Practices (SARPs) and supporting guidance material, followed by the second phase during which safety management provisions would be reviewed to determine the need for any amendment. This approach was intended to allow for initial development of the new Annex in a relatively short amount of time.

2. ANNEX 19 DEVELOPMENT AND ADOPTION

2.1 The ANC established the Safety Management Panel (SMP) to provide recommendations on the development of a new Annex on safety management responsibilities and processes. The SMP provided its recommendation to the ANC after its second meeting, which was attended by forty-two participants from sixteen Member States and six international organizations.

2.2 During its 190th session, the ANC completed its preliminary review of the proposed new Annex as well as the consequential amendments to Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*, Volume I — *Aerodrome Design and Operations*, resulting from the transfer of the safety management provisions. Modifications were made to the transferred provisions only for the purpose of structure and to enhance consistency and clarity. Provisions applicable to a single type of aviation activity are retained in their respective Annexes, with appropriate cross references provided.

2.3 Following a consultation with States and international organizations, the ANC conducted a final review of the proposed Annex 19 during its 191st Session and recommended to the Council that the new Annex to be adopted.

2.4 The safety management provisions consolidated in Annex 19 were amended as follows:

- a) the four components of the State safety programme (SSP) framework were elevated to a Standard;
- b) the State safety oversight provisions derived from Annex 6, Part I — *International Commercial Air Transport — Aeroplanes* and Annex 6, Part III — *International Operations — Helicopters* were made applicable to all service providers;
- c) provisions related to the collection analysis and exchange of safety data were transferred from Annex 13. Annex 13, Attachment E, *Legal guidance for the protection of safety information from safety data collection and processing systems*, is replicated as Attachment B to Annex 19; and

- d) the applicability of the safety management system (SMS) framework was extended to include the type design and manufacture of aircraft.

2.5 Annex 19 – *Safety Management* was adopted by the ICAO Council during its 198th session and will become applicable on 14 November 2013.

3. ANNEX 19 ROLL-OUT PLAN

3.1 ICAO has developed a roll-out plan to promote the implementation of safety management SARPs in conjunction with the adoption of Annex 19 and consistent with the Global Aviation Safety Plan (GASP) objectives. 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.

3.2 To further support the roll-out of Annex 19, the third edition of the *Safety Management Manual* (SMM) (Doc 9859) has been published. The SMM is structured according to the SSP and SMS frameworks and includes detailed guidance and tools developed for SSP and SMS implementation.

3.3 The ICAO safety management training material is also being updated to reflect the latest safety management developments. The Regional Aviation Safety Groups (RASGs) have been invited to identify activities in support of ICAO's roll-out plan and to report on the effective and continuing implementation of SMS and SSP provisions.

4. STRATEGY FOR THE IMPLEMENTATION OF SAFETY MANAGEMENT SARPS

4.1 Although the majority of SARPs in Annex 19 are not new, some with applicability dates as early as 2001, the level of implementation of these provisions is lower than expected. The implementation of safety management provisions is highlighted in the newly amended GASP with near-, mid- and long-term objectives. The strategy established by the GASP objectives and related timelines is progressive in nature, and prioritizes the implementation of fundamental safety oversight systems within each State as a prerequisite to the implementation of SSP.

5. BENEFITS OF ANNEX 19

5.1 The publication of Annex 19 highlights the importance of safety management at the State level; enhances safety by consolidating safety management provisions applicable to multiple aviation domains; promotes aligned implementation of SMS and SSP provisions; creates a process to collect and analyse feedback regarding the implementation of SMS and SSP; and facilitates the future evolution of safety management provisions.

6. FUTURE DEVELOPMENT OF SAFETY MANAGEMENT SARPS

6.1 ICAO continues to work in close collaboration with Member States and international organizations on the development of safety management SARPs and guidance material, keeping in mind the need to ensure that a high degree of stability in SARPs is maintained to enable consistent SSP implementation.

6.2 Future amendments to SARPs on safety management should include further enhancements of provisions related to the collection, use and protection of safety information as recently recommended by the Safety Information Protection Task Force (SIP TF).¹ Specific to safety management, the SIP TF recently recommended new and amended provisions to Annex 19, including a revised set of principles to further enhance the appropriate use and protection of information and related sources generated through safety management activities with the ultimate objective to maintain and improve aviation safety. The SIP TF recommendations will be considered by appropriate groups of experts for inclusion in Annex 19, other Annexes and relevant guidance materials. More information on the work and outcomes of the SIP TF is available in A38-WP/80.

7. CONCLUSION

7.1 Since the 37th ICAO Assembly, a new Annex on Safety Management has been established to facilitate the implementation of safety management SARPs by States and industry. ICAO has developed a roll-out plan and a global strategy to further support this effort. Member States are encouraged to actively participate in the RASGs to promote the implementation of safety management provisions and report on progress made at the regional level.

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¹ The SIP TF was established as a result of recommendations provided by the Accident Investigation and Prevention (AIG) Divisional Meeting (Montreal, 13 - 18 October 2008), the High-level Safety Conference (HLSC 2010) (Montreal, 29 March - 1 April 2010), and the 37th Session of the Assembly (Montreal, 28 September – 8 October 2010). The SIP TF mandate was to provide recommendations for the development of new and/or amendments to existing SARPs and guidance material intended to assure the appropriate level of protection for safety data and information, other than that related to accident and incident records, and certain accident and incident records.