



A38-WP/379  
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27/9/13

**ASSEMBLY — 38TH SESSION**  
**TECHNICAL COMMISSION**

**DRAFT TEXT FOR THE REPORT**  
**ON**  
**AGENDA ITEM 28**

The attached material on Agenda Item 28 is submitted for consideration by the Technical Commission.

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

28.1 Under this agenda item, the Commission reviewed A38-WP/82, presented by the Council, providing an update on the adoption and roll-out of the new ICAO Annex on Safety Management. The paper highlights the importance of safety management at the State level and supports the future evolution of safety management provisions. States are encouraged to actively participate in the regional aviation safety groups (RASGs), which will identify activities in support of the Annex 19 roll-out plan and will report on the implementation of safety management provisions at the regional level.

28.2 The Commission reviewed A38-WP/200, presented by China, highlighting their experience in implementing safety management systems (SMS) for air operators and air traffic control units and the initiation of SMS for aerodromes using SMS auditing procedures and tools. The paper recommended that globally harmonized SMS performance auditing criteria be established to guide States in monitoring the effectiveness of SMS implementation and that States continue to monitor the actual performance of SMS to ensure that the expected results are achieved.

28.3 The Commission reviewed A38-WP/329, presented by the Russian Federation, which invited the Assembly to recommend that the Council expedite the development and adoption of a unified method of processing safety recommendations and measures. Furthermore, the paper proposed the elevation of Recommended Practices 6.11 and 6.12 in ICAO Annex 13 — *Aircraft Accident and Incident Investigation* to the status of Standards, taking into account the provisions of Annex 19 related to State safety assurance.

28.4 The Commission reviewed A38-WP/96, presented by the United States, proposing the integration of the eight critical elements of a State safety oversight system and the eleven elements of the State Safety Programme (SSP), and the reflection of this integration in the Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach (CMA) activities. In addition, the paper supported the development of criteria to facilitate the mutual acceptance of SMS across States.

28.5 The Commission reviewed A38-WP/199, presented by Venezuela (Bolivarian Republic of), proposing the development of guidance material and seminars/workshops to address the implementation of SMS for small service providers. A second paper presented by Venezuela (Bolivarian Republic of), A38-WP/255, identified the need for additional workshops to address the development of harmonized safety indicators and common targets for agreement by States and regions as well as design indicators for universally acceptable levels of safety for the purposes of SSP. Because of the budgetary implications, these proposals will be referred to Council.

28.6 The Commission reviewed A38-WP/77, presented by Lithuania on behalf of the European Union (EU) and its Member States, other Members of the European Civil Aviation Conference, and by EUROCONTROL. This paper supported a phased approach to implementation of safety management as a means to ensure that the benefits of Annex 19 are available to States having safety oversight systems with varying levels of maturity.

28.7 The Commission reviewed A38-WP/206, presented by the Civil Air Navigation Services Organisation (CANSO), emphasizing the importance of safety culture and the need to integrate these principles in successive stages of development for Standards and Recommended Practices (SARPs) and guidance material, as well as for the implementation of SMS.

28.8 Broad support was expressed for Annex 19 and the phased approach to implementation provided in the Global Aviation Safety Plan (GASP) which prioritizes the implementation of fundamental safety oversight systems within each State as a prerequisite to the implementation of SSP (ref. Agenda Item 27).

28.9 Delegates emphasized the importance of seminars and workshops along with additional tools and guidance material to support the implementation of safety management. The role of the RASGs and regional safety oversight organizations (RSOOs) in identifying the needs of each region, facilitating the sharing of experiences and reporting progress at the regional level was noted.

28.10 Delegates also expressed support for the integration of the eight critical elements of a State safety oversight system and the eleven elements of the SSP to create one framework. Several States expressed the need to ensure that the eight critical elements are retained and that the merged framework be fully aligned with the GASP. A concern was raised that the current level of implementation of existing safety management provisions, as determined by USOAP results, indicates that it is necessary to consider the appropriate time to introduce a change of this nature. This will therefore be referred to the Council for further consideration.

28.11 The Technical Commission noted the adoption of Annex 19 and the work already underway to further develop safety management provisions, including consideration of the relationship between the critical elements of a State safety oversight system and the State safety programme. The Commission also noted the related Annex 19 implementation strategy and encouraged States to actively participate in the RASGs and RSOOs.

28.12 While ICAO safety management training materials are currently undergoing revision, requests for the development of workshops and seminars will be referred to the Council for consideration, subject to budgetary considerations.

28.13 The Commission, having reviewed A38-WP/329, presented by the Russian Federation, noted the support expressed. This paper referred to Recommendations 1.6/5 and 1.6/6 (stemming from AIG/08) which have been progressed accordingly. Recommendation 1.6/5, in particular, is addressed in Appendix 6 of the Second Edition of the *Manual of Aircraft Accident and Incident Investigation, Part IV — Reporting* (Doc 9756, unedited version published June 2013). Recommendation 1.6/6 has been progressed by the EU and the ensuing taxonomies for safety recommendations will be incorporated into the ADREP taxonomy in due course. Appendix 6 (referenced above) also addresses the recommendation to expedite the development and adoption of a unified method to formalize safety recommendations and measures.

28.14 The Commission also discussed the proposal to elevate Recommended Practices 6.11 and 6.12 in Annex 13 to the status of Standards as well as to clarify the link between these provisions and the Annex 19 provisions related to State safety assurance and agreed to forward it to Council for consideration.

28.15 Information papers were also presented by the Canada (A38-WP/365), Dominican Republic (A38-WP/141), United States (A38-WP/95), Agency for Air Navigation Safety in Africa and Madagascar (ASECNA) (A38-WP/248) and Secretariat (A38-WP/80).