



ICAO

SAFETY

# ICAO Safety Management SARPs

## Development and Evolution

*ICAO / ANB / Safety Management Programme  
(2017)*





## Contents

- ✓ Initial Introduction of ICAO Safety Management SARPs
- ✓ Evolution of Annex 19 – A Two-phased Process
- ✓ Annex 19 – *Safety Management* (First Edition)
- ✓ Annex 19 – *Safety Management* (Amendment 1)





# Initial Introduction of ICAO SM SARP

## Safety Management SARPs for States

Description	Annex	Effective Date	Applicability Date
Safety Programme	6, 11 and 14	17 July 2006	23 November 2006
State Safety Programmes	1, 8, 13	20 July 2009	18 November 2010
SSP Framework (Attachment)	1, 6, 8, 11, 13 and 14	20 July 2009	18 November 2010

## Safety Management SARPs for Service Providers

Description	Annex	Service Provider	Effective Date	Applicability Date
Safety Management Programme	11, amdt. 40	<b>Air Traffic Services (ATS)</b>	16 July 2001	1 November 2001
Safety Management Programme	14, Vol 1, amdt. 4	<b>Certified Aerodromes</b>	16 July 2001	1 November 2001
Safety Management Systems (SMS)	11, amdt 44	<b>ATS providers</b>	17 July 2006	23 November 2006
SMS	14, Vol 1, amdt. 8	<b>Certified Aerodromes</b>	17 July 2006	23 November 2006
SMS	6, amdt. 31	<b>Air Operators and Approved Maintenance Organizations (AMOs)</b>	16 July 2007	1 January 2009



# Initial Introduction of ICAO SM SARP (Cont.)

## Safety Management SARPs for Service Providers (Cont.)

Description	Annex	Service Provider	Effective Date	Applicability Date
SMS	6, Part II, amdt. 27	<b>International general aviation</b>	20 July 2008	18 November 2010
SMS	1, amdt. 169B	Safety Management principles applied to <b>the medical assessment process of licence holders</b> and <b>Approved Training Organizations</b>	20 July 2009	18 November 2010
SMS Framework (Appendix)	1, amdt. 169B	<b>Approved Training Organizations</b>	20 July 2009	18 November 2010
SMS Framework (Appendix)	6, amdt. 33B	<b>Air Operators</b> and <b>AMOs</b>	20 July 2009	18 November 2010
SMS Framework (Appendix)	11, amdt. 47B	<b>ATS providers</b>	20 July 2009	18 November 2010
SMS Framework (Appendix)	14, Vol 1, amdt. 10B	<b>Certified Aerodromes</b>	20 July 2009	18 November 2010



# Evolution of Annex 19: A Two-phased Process

## 1st Phase

### Annex 19 First Edition

Adoption: 25 Feb 2013

Effective: 15 Jul 2013

Applicable: 14 Nov 2013

Establish the safety management Annex through the consolidation and reorganization of existing Standards and Recommended Practices (SARPs) and supporting guidance material.

## 2nd Phase

### Annex 19 Amendment 1

Adoption: 2 Mar 2016

Effective: 11 Jul 2016

Applicable: **7 Nov 2019**

Further development of the Safety Management Annex and supporting guidance material.



# Annex 19 – *Safety Management* (First Edition)

## Overview

- ✓ Annex 19 is essentially a **transfer of existing overarching safety management provisions from six other Annexes.**
- ✓ These overarching provisions are related to **SSP and SMS implementation**, as well as **associated elements** including the **collection and use of safety data, the protection of safety data and safety information**, as well as **State safety oversight.**
- ✓ **Sector-specific safety management provisions** remain in their appropriate Annexes.

## New SM provisions

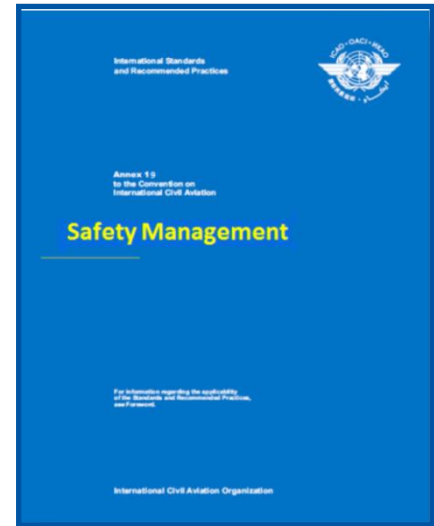
The following new provisions were included in Annex 19 First edition to ensure consistency and support implementation:

- ✓ The SMS framework became **applicable to organizations responsible for the type design and manufacture of aircraft**
- ✓ The **four components of the SSP** were **elevated to the status of Standard** in Chapter 3
- ✓ The **State Safety Oversight** (Appendix 1) became **applicable to the oversight of all product and service providers**



## Annex 19 – *Safety Management* (First Edition)

- ✓ The **adoption of Annex 19** in March 2013 **completed the first phase of the development** of the Annex.
- ✓ It is important to **note that** the applicability for the **existing safety management provisions** as originally introduced **continue to apply**.
- ✓ The **November 2016 applicability** is ***only for the changes*** introduced with the initial adoption of Annex 19.



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# Annex 19 – Safety Management (Amendment 1)

## Overview

- 1) **INTEGRATION** of the State safety oversight (SSO) system critical elements (CEs) and the State safety programme (SSP) provisions
- 2) **ENHANCEMENT** of safety management system (SMS) provisions to support uniform implementation
- 3) **PROTECTION** of safety data, safety information and related sources

## State Safety Management Responsibilities

- The eight CEs of an SSO system and the SSP provisions related to a State's safety management responsibilities have been integrated.
- The elements of the SSP framework have been elevated to SARPs.
- The streamlined provisions are expected to support States in achieving SSP implementation in a more efficient manner.



## Safety Management System (SMS)

- Amendment 1 extends the applicability of **SMS** to organizations responsible for the **type design and manufacturing of engines and propellers**
- For **areas of aviation activity** that fall outside of the scope of Annex 19, but have the potential to introduce hazards to the safe operation of aircraft, existing **service providers should address these activities as part of their SMS through interface management**

**EXTENSION of APPLICABILITY**  
**INTERFACE MANAGEMENT**



**NEW & AMENDED PROVISIONS**  
**TO FACILITATE**  
**SMS**  
**IMPLEMENTATION**

**ENHANCEMENT**

## SMS for International General Aviation Operators

The same SMS standard is established to all the industry organizations addressed in Annex 19, including **international general aviation operators**:

**3.3.2.3** *The State of Registry shall establish criteria for international general aviation operators of large or turbojet aeroplanes in accordance with Annex 6, Part II, Section 3, to implement an SMS.*



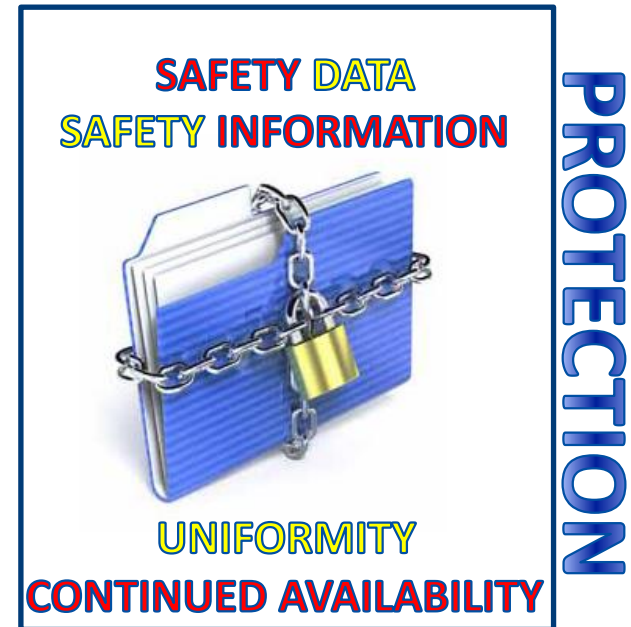
**Criteria:** Provides States some flexibility in how they establish regulatory requirements for international general aviation operators similar to other provisions in Annex 6, Part II.





## Safety Data and Safety Information Collection, Analysis, Protection, Sharing and Exchange

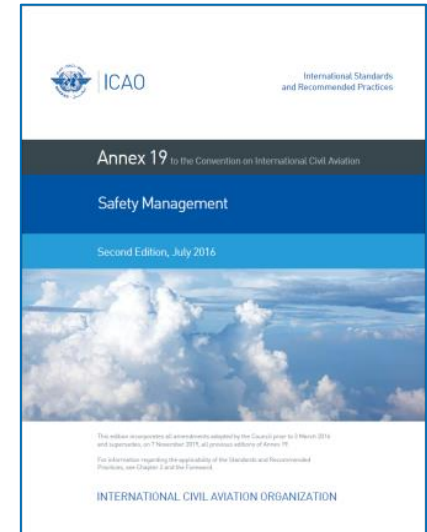
- **Upgrading Attachment B of Annex 19 to the status of an Appendix** establishes new SARPs to provide greater impetus for their implementation.
- The Amendment provides **enhanced protections** to **safety data and safety information** as well as their **sources**.
- Ensures that there is **no potential overlap** with the protection provisions in other annexes





# Annex 19 – Safety Management (Amendment 1)

- ✓ The adoption of Amendment 1 **completes the second phase of the development** of the Annex.
- ✓ It is important to **note that** the applicability for the **existing safety management provisions** as originally introduced **continue to apply**.
- ✓ The **November 2019 applicability** is **only for the changes** introduced with the amendment.
- ✓ The provisions became effective July 2016, at which time States were expected to begin implementation.



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