



THIRTEENTH AIR NAVIGATION CONFERENCE

Montréal, Canada, 9 to 19 October 2018

DRAFT REPORT OF COMMITTEE B ON AGENDA ITEMS 6 (Sub-Items 6.2, 6.2.1, 6.2.2 and 6.2.3)

The attached draft report on Agenda Items 6.2, 6.2.1, 6.2.2 and 6.2.3 is presented for approval by Committee B for submission to the Plenary.

Agenda Item 6: Organizational safety issues
6.2 Implementation of safety management

6.2.1 The Committee reviewed AN-Conf/13-WP/28, presented by the Secretariat, summarizing some important recent ICAO initiatives including the launch of the safety management implementation (SMI) website, which complements the fourth edition of the *Safety Management Manual (SMM)* (Doc 9859) and the delivery of four Regional Safety Management Symposia and Workshops. The working paper also suggests some areas where further work is needed to support the implementation of effective State safety programmes (SSPs) and safety management systems (SMSs). The Committee expressed support for the recommendations identified in the Secretariat working paper. Additional emphasis was made and supported by the Committee on the need to develop robust hazard identification and risk management processes taking into account the evolution, sometimes rapid, of the industry and operating environments.

6.2.2 The Committee reviewed AN-Conf/13-WP/117, presented by Canada, which promoted increased visibility and use of the SMI website and noted wide support for continued development, promotion and maintenance of the website, including support for other ICAO languages, and encouraged States to contribute their practical examples and supporting rationales.

6.2.3 As a result of the discussions, the Committee agreed on the following recommendation:

Recommendation 6.2/1 – Supporting Effective Safety Management Implementation

That States and international organizations:

- a) identify focal points for the submission of practical examples and tools to be reviewed, validated and posted on the ICAO safety management implementation (SMI) website as a means of sharing successful experiences with the aviation community;
- b) support the ICAO SMI website by providing practical examples of their respective safety management practices, methodologies and tools for the purpose of sharing with other Member States;

That ICAO:

- c) commit to the ongoing development, promotion and maintenance of the safety management implementation (SMI) website in order to ensure active use of the tool and relevance of content to the aviation community;
- d) devise strategies to support the submission and validation of practical examples for the SMI website in other ICAO working languages as well as the translation of the content posted on the website into other ICAO working languages;
- e) develop initiatives tailored to each region with inputs from the Regional Aviation Safety Groups (RASGs) in support of the goals and targets of the Global Aviation Safety Plan (GASP) and Global Air Navigation Plan (GANP) with a focus on the effective implementation of State safety programmes (SSPs) and safety management systems (SMSs) at the State and service provider levels, respectively, including the

development of the required safety management competencies and/or the delegation to recognized safety oversight organizations;

- f) further support the development of appropriate harmonized safety performance indicators (SPIs) at the State and service provider levels and explore the development of means to monitor the effectiveness of SSP and SMS on a more real-time basis;
- g) in collaboration with States, RSOOs and industry explore more powerful methods of identifying hazards and managing risk, suitable for complex socio-technical systems such as aviation and adaptable, regardless of the type of risk;
- h) in collaboration with States, RSOOs and industry explore the benefits of a unified framework for integrated risk management (safety, security, environment, etc...) taking into account the evolution of ISO management standards; and
- i) update, for adoption by the 40th Session of the ICAO Assembly, Assembly Resolutions related to safety management to reflect Amendment 1 to Annex 19 — *Safety Management*, as well as Amendment 15 to Annex 13 — *Aircraft Accident and Incident Investigation*, with consideration given to an overarching safety management Assembly Resolution to complement Assembly Resolution A39-12, Appendices A and B, related to the Global Aviation Safety Plan (GASP) and Global Air Navigation Plan (GANP) in order to focus the attention of States on key aspects of achieving effective SSP implementation.

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6.2.1 State safety programmes (SSPs)

6.2.4 The Committee reviewed AN-Conf/13-WP/77 Revision No. 1, presented by Australia and New Zealand, and AN-Conf/13-WP/134, presented by Brazil, related to the process for the development and implementation of ICAO Standards and Recommended Practices (SARPs) and the benefits of using a risk-based approach to achieve a target level of safety. In addition, AN-Conf/13-WP/134 suggested States share studies or data that could be used to conduct risk assessments in support of this approach. The Committee agreed that the Council should be requested to explore the use of a risk-based approach based on a target level of safety performance in the SARPs development and implementation process, where appropriate, taking into account budgetary implications.

6.2.5 The Committee reviewed AN-Conf/13-WP/116 Revision No. 1, presented by Australia, Austria on behalf of the European Union¹ and its Member States², the other Member States of the European Civil Aviation Conference³ and by EUROCONTROL, Brazil, Cameroon, Canada, Colombia, Dominican Republic, New Zealand, Saudi Arabia, Singapore, South Africa and International Federation of Air Traffic Controllers' Associations (IFATCA), outlining challenges faced by States in achieving an

¹ In the European Union, State obligations are discharged to a large extent on the basis of EU law and as such States refer to EU legislation in their State safety programmes

² 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.

³ 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.

acceptable level of safety performance (ALoSP) and suggesting further work is required in this area. The Committee expressed strong support for ICAO to further review this concept taking into consideration the experience of States.

6.2.6 The Committee reviewed AN-Conf-WP/147, presented by the Dominican Republic, highlighting the importance of change management which was also mentioned and supported in AN-Conf/13-WP/28. The Committee agreed on the need for capacity building at the State level in this regard to ensure the successful implementation of the global plans.

6.2.7 The Committee reviewed AN-Conf/13-WP/155, presented by the Venezuela (Bolivarian Republic of) and supported by SAM States⁴, which presented the status of a pilot project including eleven South American (SAM) States, with the support of the ICAO SAM Regional Office, for the implementation of SSP. The Committee noted the benefits of this project in addressing the goal of No Country Left Behind (NCLB) and agreed that other regions could benefit from a similar approach.

6.2.8 The Committee reviewed AN-Conf/13-WP/239, presented by Republic of Korea, which addressed the need for ICAO to consider civil-military coordination and cooperation in the effective implementation of safety management. The Committee noted the work done by ICAO during the past decade with regard to civil-military cooperation to enhance air navigation safety capacity and efficiency. The attention of the Committee was brought to the ongoing work to update Annex 11 — *Air Traffic Services* relating to the conduct of safety risk assessments for activities potentially hazardous to civil aircraft, and its relationship to the *Safety Management Manual* (Doc 9859). The Committee agreed that civil-military cooperation should be addressed as part of the implementation of SSP.

6.2.9 Information papers presented by Algeria (AN-Conf/13-WP/216), Brazil (AN-Conf/13-WP/132), Indonesia (AN-Conf/13-WP/277 and AN-Conf/13-WP/278), People's Republic of China (AN-Conf/13-WP/204) and United Arab Emirates (AN-Conf/13-WP/164), were noted.

6.2.10 As a result of the discussions, the Committee agreed on the following recommendation:

Recommendation 6.2.1/1 - State safety programmes (SSPs)

That States:

- a) identify and address the need to build capacity at the State level for the management of change; and
- b) share their experiences in civil-military cooperation for State safety programmes (SSPs) implementation in conferences, meetings and/or on the safety management implementation (SMI) website;

⁴ Supported by 13 Contracting States (Argentina, Bolivia (Plurinational State of), Brazil, Chile, Colombia, Ecuador, Guyana, Panama, Paraguay, Peru, Suriname, Uruguay and Venezuela (Bolivarian Republic of)).

That ICAO:

- c) review the acceptable level of safety performance (ALoSP) concept taking into consideration the experience of States; and
- d) review the need for additional guidance on the management of change at the State level.

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6.2.2 Safety management systems

6.2.11 The Committee noted the progress made by People's Republic of China in implementing SMS and in developing methods for their assessment and performance evaluation reflected in AN-Conf/13-WP/146.

6.2.12 AN-Conf/13-WP/152, presented by the Dominican Republic, highlighted the benefits of requiring air navigation service providers (ANSPs) to implement SMS across the aviation system. The Committee was reminded that SARPs for air traffic services providers to implement SMS were initially introduced in Annex 11 — *Air Traffic Services* and became applicable in November 2006. The Committee agreed that States should ensure that the latest SMS SARPs for air traffic services providers, as indicated in Amendment 1 to Annex 19 — *Safety Management*, have been implemented.

6.2.13 An information paper presented by United Republic of Tanzania (ANConf/13-WP/289) was noted.

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6.2.3 Developing safety intelligence

6.2.14 With respect to the development of safety intelligence, AN-Conf/13-WP/300 was presented by International Air Transport Association (IATA), International Federation of Air Line Pilots' Associations (IFALPA) and IFATCA. The paper expressed support for States to use industry/State collaboration models for the exchange of safety data and safety information in establishing a safety data collection and processing system (SDCPS) as required by Amendment 1 to Annex 19 to capture, store, aggregate and enable the analysis of the safety data and safety information. The Committee expressed strong support for the actions contained in the paper, which reiterated the provisions in Amendment 1 to Annex 19 and highlighted that there may be some specific circumstances where the safety data may be used by States, in specific contexts and where appropriate, as long as the protection principles are applied. The Committee also recognized that implementation of the protective provisions in Appendix 3 to Annex 19 is challenging for States with right-to-know laws. Additional discussions related to the development of safety intelligence can be found under Agenda Item 7.1.

6.2.15 An information paper presented by People's Republic of China (AN-Conf/13-WP/203) was noted.

6.2.16 As a result of the discussions, the Committee agreed on the following recommendation:

Recommendation 6.2.3/1: Developing safety intelligence

That States and international organizations:

- a) collaborate for the development of trust sharing networks and adhere to the protective provisions as provided in Amendment 1 to Annex 19 — Safety Management; and

That ICAO:

- b) support States with right-to-know laws in addressing the provisions for the protection of safety data, safety information and related sources in Amendment 1 to Annex 19.

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