



WORKING PAPER

ASSEMBLY — 40TH SESSION

TECHNICAL COMMISSION

Agenda Item 30: Other issues to be considered by the Technical Commission

DEVELOPMENT OF EFFECTIVE AND APPROPRIATE STATE SAFETY PROGRAMMES

(Presented by Australia and co-sponsored by Canada, New Zealand and Singapore)

EXECUTIVE SUMMARY

States can realise widespread safety, efficiency and economic benefits by developing, implementing and maintaining an appropriate and effective State Safety Programme (SSP). These benefits arise from the clear articulation of mechanisms outlining how safety is managed, and from identifying critical safety priorities within States that warrant the most attention and targeted resources.

Consistent with ICAO's *No Country Left Behind* initiative, to assist States with smaller aviation systems, such as the Pacific Island States, further measures are needed to support implementation of ICAO Annex 19 – *Safety Management* requirements relating to SSPs, safety plans, and safety management systems. These measures include developing more appropriate guidance material and educational resources, targeted at smaller aviation systems, and the use of enhanced regional cooperative engagement.

Action: The Assembly is invited to:

- a) encourage States' continued efforts to comply with Annex 19 – *Safety Management* including through enhanced regional cooperative engagement;
- b) recommend that ICAO seek and share advice from States, including those with established SSPs, of any challenges they face, or have faced, in complying with Annex 19 – *Safety Management*; and
- c) recommend that ICAO develop targeted guidance and educational resources for States with small aviation systems, to help build their capacity to complete a relevant and effective SSP that meets the intent and key requirements of Annex 19 – *Safety Management*.

<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 2020-2022 Regular ICAO Programme Budget.
<i>References:</i>	Annex 19 – <i>Safety Management</i> Doc 10004, <i>Global Aviation Safety Plan</i> Doc 9734, <i>Safety Oversight Manual</i>

1. INTRODUCTION

1.1 The development, implementation and continuous improvement of State Safety Programmes (SSPs) across the globe as required by ICAO Annex 19 – *Safety Management* varies, and States with smaller aviation systems and level of resources face particular challenges.

1.2 Annex 19, Chapter 3, Section 3.1 (*State safety programme*), Standard 3.1.1 requires that each State establish a SSP for the management of safety in the State, in order to achieve an acceptable level of safety performance in civil aviation, commensurate with the size and complexity of its aviation activities.

1.3 The proposed 2020-2022 edition of the *Global Aviation Safety Plan* (GASP) also sets out goals in relation to all States implementing the foundation of a SSP by 2022, and by 2025 an effective SSP, as appropriate to their aviation system complexity.

1.4 Through Annex 19, Document 9859, *Safety Management Manual* (SMM), Document 10004, the *Global Aviation Safety Plan* and related ICAO efforts, there is clearly articulated guidance for the management of risk at a State level, to assist States with reaching global and regional aviation targets.

1.5 For example, as a mechanism to assist States reflect on their progress achieved in SSP implementation, ICAO is undertaking SSP implementation assessments during the period 2018-2020. ICAO intends to complete SSP audits of all States by 2022, to examine compliance with Annex 19 requirements.

1.6 However, the pace and extent of implementation of Annex 19 SSP requirements by States varies considerably. This is despite the range of benefits that can be realised by States in doing so, arising from the clear articulation of state safety mechanisms and transparency around how safety is managed, and availability of guidance and support.

2. DISCUSSION

2.1 Benefits to implementing safety management

2.1.1 Annex 19, Chapter 1 *Introduction*, Section 1.1.7 (*Benefits of Safety Management*) of the SMM details the many benefits to implementing safety management arrangements. These include fostering a strengthened safety culture; documenting a process-based approach to assure safety; better understanding safety-related interfaces and relationships; improving efficiencies; and potential financial savings.

2.1.2 In addition, the SMM notes that implementing safety management arrangements can improve a State/service provider's ability to detect emerging safety issues, which can prevent accidents and incidents through the proactive identification of hazards and management of safety risks. This in turn can help ICAO and donor States focus their efforts to support progress towards ICAO global targets, focus on opportunities for continuous improvement and, in the Asia-Pacific region, assist with implementation of the 2018 Beijing Declaration objectives.

2.2 Critical requirements for safety

2.2.1 ICAO outlines the Eight Critical Elements of a safety oversight system in Chapter 8, paragraph 8.2.1 (shown in figure 8-1) of the SMM, with further guidance provided as part of Document 9734, *Safety Oversight Manual* (SOM). They are:

- a) primary aviation legislation;
- b) specific operating regulations;
- c) State civil aviation system and safety oversight functions;
- d) technical personnel qualification and training;
- e) technical guidance, tools and the provision of safety-critical information;
- f) licensing, certification, authorization and approval obligations;
- g) surveillance obligations; and
- h) resolution of safety concerns.

2.2.2 Each of these critical elements for safety requires implementation in detail by the State. In the guidance for safety management set out in Safety Management FAQs Ed.18 2013 (Q10), there is specific reference to how a small organization with limited operation would implement a Safety Management System (SMS), however there is no correlating guidance for how a small developing State can implement a SSP.

2.2.3 Developing, implementing and continuously improving a SSP can be a complex task, and demand significant coordination, resources (human and financial) and information. This is the case even for a State such as Australia with a mature aviation system, and commensurate resources.

2.2.4 There is a risk that some States may see the development and implementation of a SSP as a high cost, low priority endeavour of limited benefit and this risk needs to be addressed.

2.3 **States with small aviation systems and measures to improve compliance**

2.3.1 Not all States have the same capacity and capability to prepare an initial SSP, let alone implement and continuously improve it. This includes many States in the Asia Pacific Region that face a range of unique challenges in implementing the SSP and related requirements of Annex 19.

2.3.2 In the case of the Pacific Island States, a range of challenges are expected to be highlighted in more detail as part of the '*Pacific Small Island Developing State Needs Analysis Study*', including:

- a) very limited population base and financial resources, limited pool of skilled and experienced aviation experts, often combined with geographic isolation and a dispersed population;
- b) low level of aviation activity and demand, though often combined with a high reliance on such services for the movement of people and goods to support broader economic development of the State; and

- c) reliance on external assistance for certain aspects of ICAO compliance.

2.3.3 To assist such States realise the full benefits of developing, implementing and continuously improving a SSP, and consistent with the ICAO *No Country Left Behind* initiative, it is clear that further work is required by ICAO to support implementation of Annex 19.

2.3.4 Acknowledging that ‘one size does not fit all’, this work would include developing more targeted guidance material, educational resources and training that takes into account smaller aviation system requirements.

2.3.5 Other potential strategies to support these States, could include:

- a) encouraging face to face interaction with key SSP personnel across States;
- b) onsite SSP presentations and guidance for relevant State personnel; and
- c) engaging and encouraging States to attend existing ICAO activities, such as relevant working groups, especially at the regional level.

3. CONCLUSION

3.1 Meeting the global implementation plan for SSPs will continue to prove a challenge for all States, particularly those with smaller aviation systems combined with a lower level of resourcing and a small population base.

3.2 In this regard, Australia considers that further work is needed to support implementation of ICAO Annex 19 relating to SSPs and Plans, and SMSs. To begin with, ICAO could seek and share advice from States, including those with established SSPs, on the challenges they face, or have faced, in complying with Annex 19.

3.3 Subject to this work, Australia encourages ICAO, through for example the Safety Management Panel, to develop targeted guidance and educational material for States with smaller aviation systems seeking to implement a SSP, with the worthy intent of improving global, regional and national safety Standards.

3.4 A complementary means of encouraging individual States’ continued efforts to meet the requirements of Annex 19, particularly relevant to States with smaller aviation systems, is through enhanced regional engagement and cooperation. This would potentially reduce the demands on individual States by working collaboratively with other States.