Third AFI Aviation Safety Symposium

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Amendment No.1 to Annex 19 - Safety Management and enhanced support for implementation of SSP

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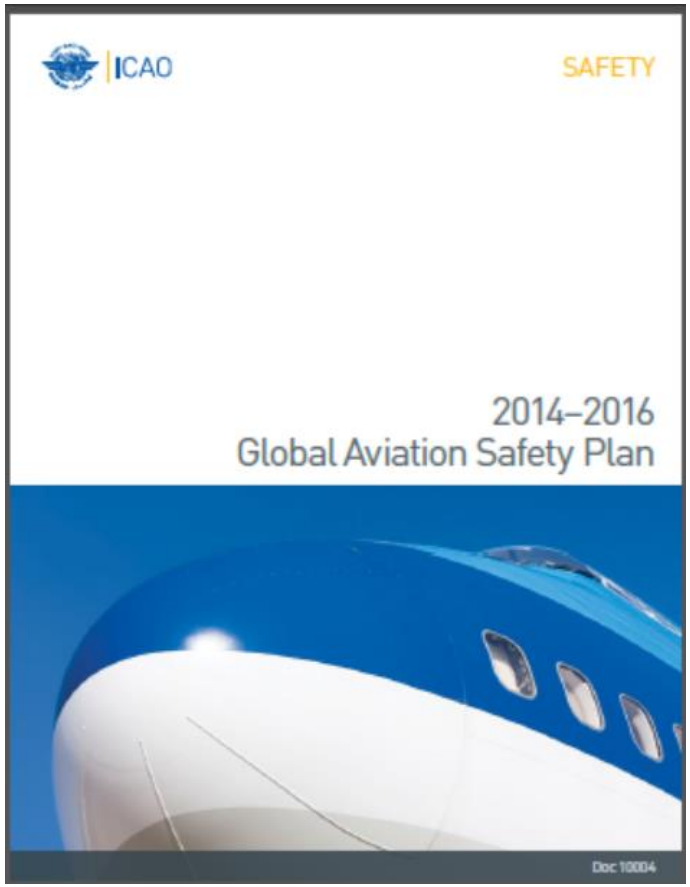
Overview

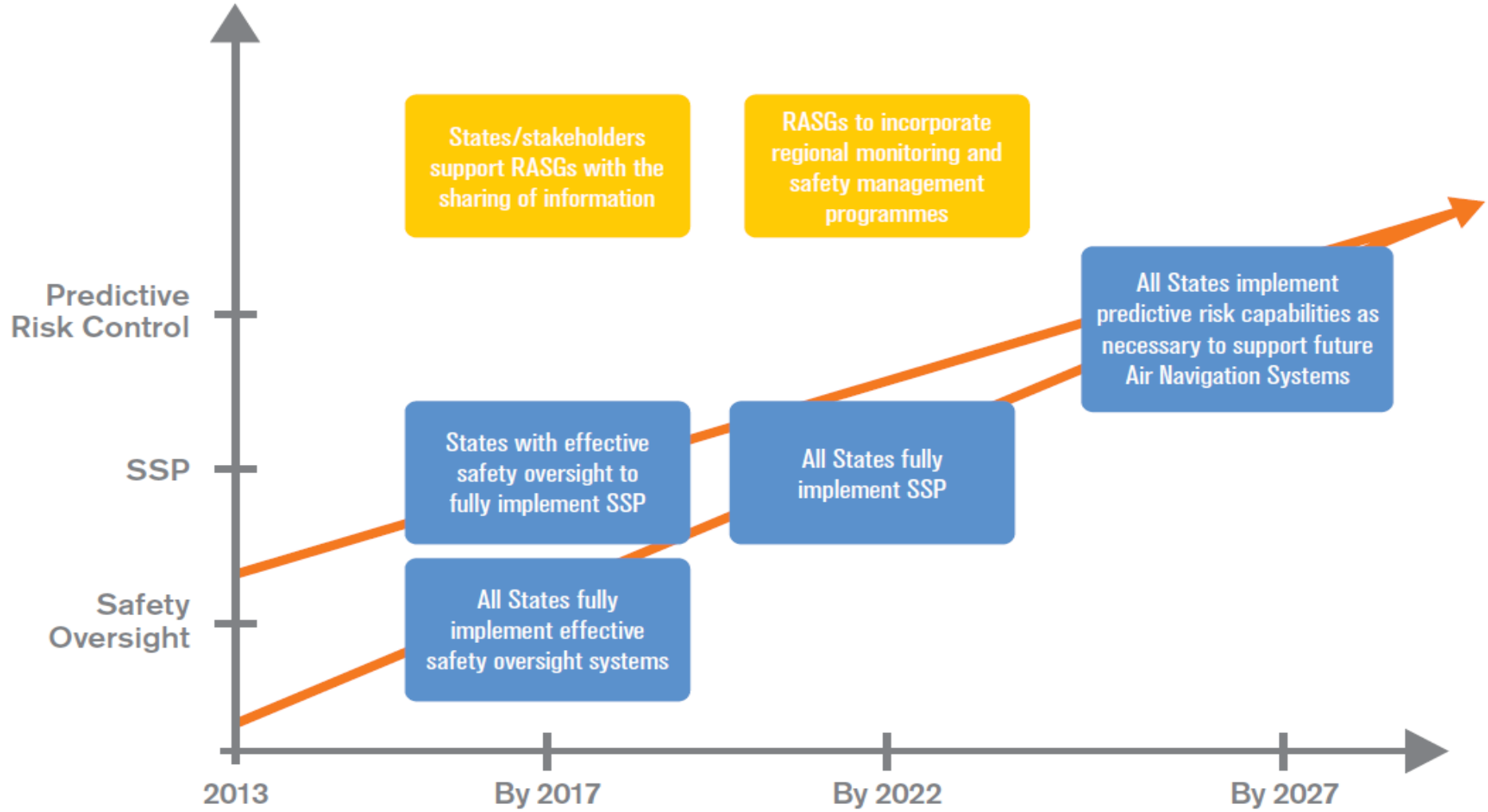
- Global Aviation Safety Plan (GASP) objectives and timelines
- Annex 19 – *Historical Background*
- Amendment 1 to Annex 19
  - Summary of Changes
  - Supporting activities
- Conclusions
- Recommendations

GASP Objectives and Timelines



- Endorsed by the 37th Session of the ICAO Assembly (2013)
- High-level, policy, planning and implementation document
- Guides air transport progress in conjunction with the Global Air Navigation Plan (GANP, Doc 9750)
- Defines the means and targets by which ICAO, States and aviation stakeholders can anticipate and efficiently manage air traffic growth while proactively maintaining or increasing safety

Overview of GASP Objectives and Timelines



Annex 19 - Historical Background

- High-level Safety Conference 2010 - Recommendation 2/5
  - ICAO should develop, in close collaboration with States, international and national organizations, a new Annex dedicated to safety management responsibilities and processes which would address the safety management responsibilities of States framed under the State Safety Programme (SSP).
  - The new Safety Management Annex should facilitate the provision of State and air carrier safety information to the travelling public, in addition to specifying the high level safety responsibilities of States.
- The ANC agreed to establish the Safety Management Panel (SMP) in 2011

Annex 19 - *Historical Background*

- High-level Safety Conference 2010 - Recommendation 2/4
  - Recommended that ICAO establish a multidisciplinary group to progress activities regarding the protection of safety data and safety information.
- ICAO Council:
  - Following the recommendations of the HLSC, the Air Navigation Commission proposed that a multidisciplinary taskforce be formed to conduct this work and that the Secretariat prepare the terms of reference. The Council agreed with these proposals.
- In December 2010, the ANC approved the establishment of the Safety Information Protection (SIP) Task Force

Annex 19 - Benefits

- Highlights the importance of safety management at the State level;
- Enhances safety by consolidating safety management provisions applicable to multiple aviation domains;
- Facilitates the evolution of safety management provisions;
- An opportunity to further promote the implementation of SMS and SSP provisions; and
- A process established to analyze feedback received regarding Annex 19 and safety management implementation.

Two-phase approach to develop Annex 19

- ANC recommended and Council accepted that Annex 19 be developed in 2 phases :
  - First phase focused on the consolidation of the existing Standards and Recommended Practices (SARPs) and supporting guidance material
  - Second phase focused on further development of the Safety Management Annex and supporting guidance material

Annex 19 - Phase 1

- Adopted by the Council
  - 25 February 2013
- Became effective
  - 15 July 2013
- Became applicable
  - 14 November 2013

Annex 19 - Contents

- CHAPTER 1 - Definitions
- CHAPTER 2 - Applicability
- CHAPTER 3 - State safety management responsibilities
- CHAPTER 4 - Safety management system (SMS)
- CHAPTER 5 - Safety data collection, analysis and exchange
- APPENDIX 1 - State safety oversight system
- APPENDIX 2 - SMS Framework
- ATTACHMENT A - SSP Framework
- ATTACHMENT B - Legal guidance for the protection of information from safety data collection and processing systems

Annex 19 - Implementation

- Third Edition, Doc 9859, was published on 8 May 2013
  - Restructured according to the SSP and SMS Frameworks (Annex 19)
  - Contains detailed guidance and tools for SSP and SMS implementation
- ICAO Safety Management Website: http://www.icao.int/Safety/SafetyManagement
- ICAO Safety Management I-Kit http://cfapp.icao.int/tools/SMikit/story.html
- Regional Aviation Safety Groups

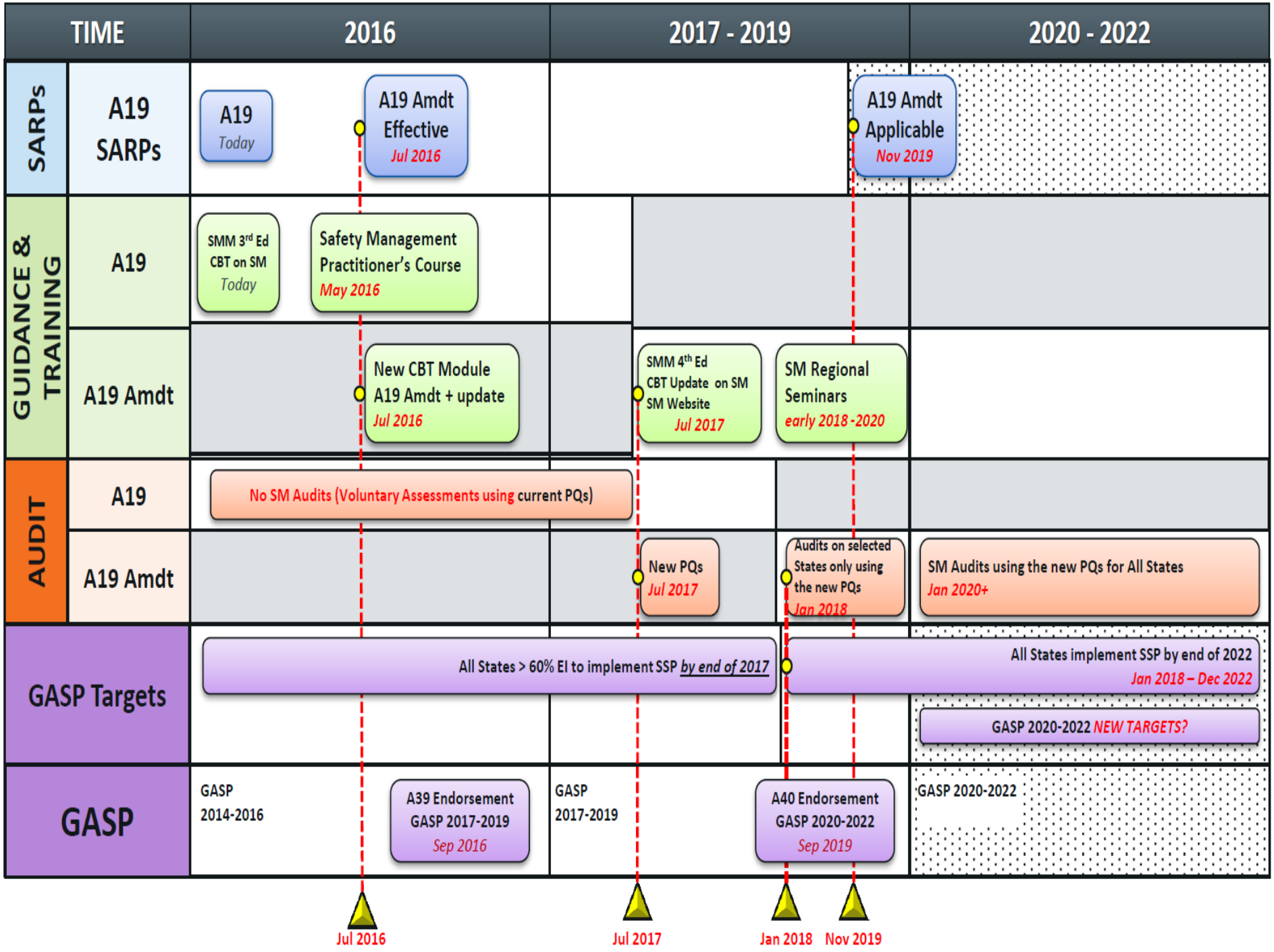
Annex 19 - Phase 2
SMP Work Programme

- Development of enhanced SSP provisions
- Development of enhanced SMS provisions
- Development of coordinated emergency response plan provisions
- Enhanced provisions for the collection, analysis and exchange of safety data and safety information
- Further development of SMS and SSP implementation and assessment tools
- Extension of the applicability of the SMS provisions
- Enhanced provisions for the integration of SMS and SSP activities

AMENDMENT 1 TO ANNEX 19

– The first amendment to Annex 19 — *Safety Management* was adopted by the ICAO Council on 2 March 2016 and will become effective on 11 July 2016 with an applicability date of 7 November 2019.

– State letter AN 8/3.1-16/16, dated 4 April 2016 provides the contents of the amendment.


TIME
2016
2017 - 2019
2020 - 2022
SARPs
A19 SARPs
A19 Today
A19 Amdt Effective Jul 2016
A19 Amdt Applicable Nov 2019
GUIDANCE & TRAINING
A19
SMM 3rd Ed CBT on SM Today
Safety Management Practitioner's Course May 2016
A19 Amdt
New CBT Module A19 Amdt + update Jul 2016
SMM 4th Ed CBT Update on SM SM Website Jul 2017
SM Regional Seminars early 2018 -2020
AUDIT
A19
No SM Audits (Voluntary Assessments using current PQs)
A19 Amdt
New PQs Jul 2017
Audits on selected States only using the new PQs Jan 2018
SM Audits using the new PQs for All States Jan 2020+
GASP Targets
All States > 60% EI to implement SSP by end of 2017
All States implement SSP by end of 2022 Jan 2018 – Dec 2022
GASP 2020-2022 NEW TARGETS?
GASP
GASP 2014-2016
A39 Endorsement GASP 2017-2019 Sep 2016
GASP 2017-2019
A40 Endorsement GASP 2020-2022 Sep 2019
GASP 2020-2022
Jul 2016
Jul 2017
Jan 2018
Nov 2019

SUMMARY OF THE CHANGES

- Integration of the State Safety Oversight (SSO) Critical Elements (CEs) and SSP provisions was carried out in response to the need to define the relationship between the eight CEs of a SSO system and the SSP provisions.
- The proposed amendments to Chapter 3 of Annex 19 integrate all provisions related to a State's safety management responsibilities.
- In addition, the integration of provisions related to a State's safety management responsibilities, elevates the elements of the SSP framework to SARPs (currently they are contained in Attachment A of Annex 19).
- The impact on States will depend on the progress made in implementing their SSP thus far and will require States to update their SSPs and amend their legislation.

SUMMARY OF THE CHANGES

- Amendment 1 also extends the applicability of SMS to organizations responsible for the type design and manufacturing of engines and propellers, which is facilitated by the recognition of these organizations in Annex 8 — *Airworthiness of Aircraft*.
- 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.
- New and amended provisions for Chapter 4 and Appendix 2 have also been provided to facilitate SMS implementation.

SUMMARY OF THE CHANGES

- The amended provisions related to the protection of safety data, safety information and related sources, elevate Appendix B of Annex 19 to the status of an Appendix. This upgrades the principles of protection from guidance material to SARPs and thus provides greater impetus for their implementation.
- Another important element of the adopted provisions is that safety data and safety information in voluntary reporting systems are accorded protection through a Standard to ensure their continued availability and greater uniformity among States.
- The protection of safety data and safety information in mandatory reporting systems, which differs among various legal systems, is reflected in a Recommendation.

Subject	2016									2017						
	April	May	June	July	August	September	October	November	December	January	February	March	April	May	June	July
Safety Management				SMP/1 delivers GM		A39	A39									
Protection of safety data, safety information and related sources	SIP IG/1								SIP IG delivers GM							
Supporting best practices				Website terms of use & prototype												
Training		SM Practitioner's Workshop		new SM CBT module A19 amdt + update												SM CBT update w/ new SIP module

- Delivery of GM from Expert group
- Drafting and coordination for SMM 4th edition
- Manual peer review
- Finalize SMM 4th edition
- Editorial review
- Translation
- Collection of best practices for website
- Safety Management website testing
- Publication 4th edition SMM and website launch

SUPPORTING ACTIVITIES - TIMELINES

FOURTH EDITION OF THE SAFETY MANAGEMENT MANUAL

- The current work programme of the Safety Management Panel (SMP) includes the development of guidance material to support the amendment of Annex 19. The Safety Information Protection Implementation Group (SIP IG) was established and held its first meeting in Montréal from 13 to 15 April 2016.
- The SIP IG comprises safety and legal experts from the SMP and Safety Information Protection Task Force (SIP TF). Their terms of reference include assisting the Secretariat on helping Member States with the implementation of provisions related to the protection of safety data, safety information and related sources, as it correlates with safety management activities.

FOURTH EDITION OF THE SAFETY MANAGEMENT MANUAL

- The Secretariat has developed a strategy for the 4th edition of the *Safety Management Manual (SMM)* (Doc 9859) that includes a streamlined version of the document complemented by an enhanced ICAO safety management website.
- The document would include guidance material to address the full range of subjects covered by Annex 19, Amendment 1, and risk-based approaches to managing safety identified during the HLSC 2015.
- The expected publication date of the 4th edition of the SMM is July 2017. The *Safety Oversight Manual* (Doc 9734), Part A — *The Establishment and Management of a State's Safety Oversight System* and Part B — *The Establishment and Management of a Regional Safety Oversight Organization* are also expected to be updated in the same timeframe.

FOURTH EDITION OF THE SAFETY MANAGEMENT MANUAL

- The enhanced ICAO safety management website http://www.icao.int/SafetyManagement would include the examples currently found in the SMM and provide a mechanism for the sharing of best practices.
- Recognizing the challenges faced in implementing SSP and SMS “commensurate with the size and complexity” of each organization and the wide range of service providers addressed by Annex 19, the website will support the provision of multiple examples.
- This will emphasize the need for an SSP or an SMS to be tailored to the specific needs of each State and service provider. In addition, as experience in the implementation of safety management grows and the tools continue to evolve, the web-based format will allow for continuous update. States, regional organizations, international organizations and service providers will be invited to share their examples as one means to share best practices.

FOURTH EDITION OF THE SAFETY MANAGEMENT MANUAL

- Examples will initially be posted in the language submitted with accommodation made for translated versions to be posted in the future based on the demonstrated usefulness of the examples. To accommodate States that do not have adequate internet access, the Secretariat is exploring options to allow the website material to be readily downloaded.
- The launch of the website is expected in July 2017 along with the availability of an update to the ICAO SSP gap analysis tool on iSTARS/SPACE http://www.icao.int/safety/istars/pages/intro.aspx to reflect Amendment 1 to Annex 19, and the development of a new SMS gap analysis tool.

SAFETY MANAGEMENT TRAINING PROGRAMME

- ICAO offers a safety management online course (http://store1.icao.int/index.php/safety-management-training-programme-safety-management-systems-sms-and-state-safety-programme-ssp-training.html), that will provide State regulatory and administrative personnel involved in SSP with knowledge of how to implement, administer or participate in SMS operations.
- The modules of the course include:
- Module 1, *Safety Management Fundamentals*;
- Module 2, I*CAO Safety Management provisions*;
- Module 3a, *State Safety Programme (SSP)*;
- Module 3b, *Safety Management Systems (SMS)*.

SAFETY MANAGEMENT TRAINING PROGRAMME

- The safety management online course will be updated to reflect Amendment 1 to Annex 19 with phase 1 of the update expected to be released in July 2016 to coincide with the effective date of the amendment.
- A separate module, Module 2a, to explain the changes introduced with the amendment is being developed and will be provided to those who have already taken the online course since its initial release at no additional cost.
- Phase 2 of the Safety Management online course update to be released in July 2017 will further reflect the 4th edition of the SMM and will include an additional module on safety information protection (SIP).

SAFETY MANAGEMENT TRAINING PROGRAMME

- To complement the safety management online course, a Safety Management for Practitioners Course aims to provide regulatory and service provider staff involved in the implementation of SSP and SMS with an understanding of operational safety management processes and practical examples.
- The classroom course incorporates the use of a software tool to demonstrate how the efficiency of safety management activities can be enhanced. This hands-on course is conducted in English and is one week (30 training hours) in duration. Qualification and experience requirements, as well as the approval process, for instructors have been established.
- The Global Aviation Training office is accepting nominations for instructors and requests for the delivery of the Safety Management for Practitioners Course through the ICAO Regional Offices.

ADDITIONAL SUPPORTING ACTIVITIES

- A Safety Management Webinar will be available in mid-July 2016 and is expected to address:
  - the benefits of safety management;
  - an explanation of the changes introduced with Amendment 1 to Annex 19;
  - enhanced guidance material to support safety management implementation;
  - ICAO training activities; and
  - additional supporting activities.

ADDITIONAL SUPPORTING ACTIVITIES

- To share the work developed in support of the implementation of Annex 19, ICAO plans to deliver three symposia to provide a forum for participants to exchange ideas and operational experiences and contribute to the future of safety management.
  - The symposia will provide an important information-sharing opportunity for regulators, service providers, operational personnel and all aviation professionals involved in safety-management activities.
- Regional safety management seminars are expected to be delivered shortly after the symposia, with a plan to provide ten over the course of twenty-four months in all of the ICAO regions.
  - These seminars are expected to provide a means for sharing of best practices at a regional level and an opportunity for the further collection of examples to be posted on the ICAO safety management website for those unable to participate.

UPDATE TO USOAP SSP-RELATED PROTOCOL QUESTIONS AND MONITORING ACTIVITIES

- The SSP-related Universal Safety Oversight Audit Programme (USOAP) protocol questions (PQs), initially published in November 2014, are expected to be updated in July 2017 with the publication of the 4th edition of the SMM. States with a USOAP effective implementation above 60% should perform a self-assessment using the SSP-related PQs after performing the SSP gap analysis indicated above as a means to progress SSP implementation.
- The commencement of monitoring activities using the SSP-related PQs has been postponed until January 2018, (Ref. EB 2015/56, dated 4 December 2015 and EB 2015/55, dated 19 November 2015) and then only for selected States which agree to receiving an audit using the updated PQs, prior to the applicability date of Annex 19, Amendment 1.
- Beginning in January 2020, the threshold for the applicability of the SSP-related PQs will be based on 2020-2022 Global Aviation Safety Plan (GASP) objectives.

CONCLUSIONS

- States need additional support in order to meet the objectives outlined in the Doc 10004, *2014-2016 Global Aviation Safety Plan*.
- The Secretariat has developed a strategy that would provide additional guidance material, tools and a mechanism for the sharing of experiences in implementing SSP and SMS in accordance with the outcomes of the HLSC 2015.
- Updates to the safety management training are also underway. The commencement of USOAP activities to include SSP-related protocols has also been planned in line with the availability of the guidance and training.

RECOMMENDATIONS

States to:

- continue the implementation of SSP and report on progress using the SSP GAP Analysis Tool on iSTARS/SPACE and completing the USOAP PQ self-assessments on the OLF;
- identify any additional areas of clarification needed or additional subjects that need to be covered in the 4th edition of the SMM;
- assist the Secretariat in identifying appropriate examples and tools for inclusion in the update to the ICAO safety management website;
- identify potential instructors for the Safety Management for Practitioners Course that meet the established qualifications; and
- consider what additional activities could be provided by ICAO to support the implementation of SSP.

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THANK YOU