



**WORKING PAPER**

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**TECHNICAL COMMISSION**

**Agenda Item 30: Aviation Safety and Air Navigation Policy**

**30.3: Relevant Outcomes of the High-level Conference on COVID-19, Safety Stream (HLCC 2021)**

**STRATEGY FOR IMPLEMENTING SMS IN SERVICE PROVIDERS SUBJECT TO ANNEX 19 — SAFETY MANAGEMENT**

(Presented by Ecuador, supported by Argentina, Bolivia, Brazil, Chile, Colombia, Dominican Republic, El Salvador, Guyana, Mexico, Panama, Paraguay, Peru, Suriname, Uruguay and Venezuela)

**EXECUTIVE SUMMARY**

This working paper presents to the Assembly a strategy for promoting the implementation of the safety management system (SMS) in service providers covered by Annex 19 — *Safety Management* and improving the maturity levels of State Safety Programmes (SSP).

**Action:** The Assembly is invited to:

- a) take note of this working paper; and
- b) request ICAO to promote the exchange of best practices and develop guidance materials relating to the experience reported in this working paper and other shared experiences, so as to ensure that, in the process of implementing their SSPs, States have at their disposal sufficient information on the delegation of functions and responsibilities for safety in order to establish efficient structures for approval and monitoring of the SMS of service providers.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	None
<i>References:</i>	Annex 19 — <i>Safety Management</i> Doc 9859, <i>Safety Management Manual (SMM)</i> Doc 10004, <i>2020-2022 Global Aviation Safety Plan</i>

<sup>1</sup> Spanish version provided by Ecuador.

## 1. INTRODUCTION

1.1 The purpose of the Standards and Recommended Practices (SARPs) in Annex 19 — *Safety Management* of the Convention on International Civil Aviation relating to safety management is to help States manage aviation safety risks, given the increasing complexity of the global air transport system and the interrelatedness of its aviation activities necessary to ensure the safe operation of aircraft. Annex 19 therefore has supported the ongoing development of a preventive strategy that has led to improved safety performance.

1.2 This preventive strategy, which is aligned with the objectives of the ICAO *2020-2022 Global Aviation Safety Plan* (GASP, Doc 10004) and the South American (SAM) Region Safety Plan (SAMSP) and is described in the *Safety Management Manual (SMM)* (Doc 9859), is based on the implementation and operation of a State Safety Programme (SSP) by the State, supported by the implementation of Safety Management Systems (SMS) by the various service providers subject to Annex 19.

1.3 In Annex 19 and Doc 9859, ICAO mentions that the purpose of the SMS is to provide service providers with a systematic approach to continuously improve safety through hazard identification, data collection and analysis, and continuous assessment of safety risks. The SMS further seeks to proactively contain or mitigate safety risks before they become aviation incidents or accidents. The system enables service providers to effectively manage their activities, safety performance and resources while gaining a greater understanding of their contribution to aviation safety. An effectively implemented SMS demonstrates to States the service provider's ability to manage its safety risks and provides for effective safety management in support of State management.

## 2. ANALYSIS

2.1 In accordance with Annex 19, second edition, the implementation and operation of the SSP also involves the implementation of the SMS by service providers. In this regard, Chapter 9 of Doc 9859, fourth edition, provides guidance for service providers on the implementation of a framework for SMS under Annex 19, as well as guidance for States on the acceptance and oversight of SMS. However, there is very little information on who should be responsible within the Civil Aviation Authorities (CAAs) for the acceptance and oversight of SMS from service providers, which has led to confusion and misunderstandings within the organizational structure of these Authorities.

2.2 Given that the SSP combines the eight critical elements (CEs) of a State system of safety oversight with the rules and principles of safety management, and that the implementation of CE 6 - Licensing, Certification, Authorization and/or Approval Obligations, and CE 7 - Oversight Obligations, has been carried out by the safety inspectors in the areas of Personnel Licensing and Instruction (PEL); Aircraft Operations (OPS); Airworthiness (AIR); Air Navigation Services (ANS) and Aerodromes and Ground Aids (AGA), the Civil Aviation Authorities have sufficient human resources to carry out the tasks of acceptance and monitoring of the SMSs of the service providers; all that is needed is to include these inspectors in the SSP/SMS, provide them with the required competencies, and assign them the appropriate functions and responsibilities.

2.3 It is essential to understand the advantages of implementing an SSP embedded in the machinery specific to each State, especially when governmental safety inspectors are the ones who carry out the acceptance of SMS from service providers and surveillance activities. It should also be considered that the level of implementation of the SMS by the different service providers is a very important result when carrying out State Safety Programme Implementation Assessments (SSPIAs) in a State, since the

number of SSP-related protocol questions is 55, out of a total of 80 protocol questions, representing 68.8 per cent of the State's total SSP implementation assessment.

2.4 In the SAM Region, it has been observed that the States that have been most successful in advancing SSP and SMS implementation have chosen to assign responsibility for SMS acceptance and monitoring to PEL, OPS, AIR, ANS and AGA inspectors as part of their normal inspection, certification and monitoring functions. On the other hand, States that have opted for a centralized approach without involving safety inspectors show less progress in the implementation of safety management (SSP and SMS). It is therefore essential to involve safety inspectors in SSP- and SMS-related tasks.

2.5 Involving safety inspectors in these processes generates greater exposure and shared responsibility with all stakeholders for this change in approach, which leads to improved safety, greater engagement and commitment, and better implementation results.

2.6 Likewise, the State should include the accident and incident investigation function within the SSP structure, provide the necessary competencies to both safety inspectors and air accident and incident investigators so that CAAs and Accident Investigation Authorities (AIAs) can exercise their functions and responsibilities related to safety management and specifically to risk management.

### 3. CONCLUSION

3.1 The implementation of SMS by service providers will make it possible to:

- a) improve safety substantially by increasing SSP maturity levels and reducing aviation accident and incident rates;
- b) meet the goals of the GASP, the SAMSP, and States' national aviation safety plans (NASPs); and
- c) enjoy the economic benefits of efficiency and safety that the system will provide, once it has been implemented.

3.2 With the aim of ensuring that, in the process of implementing their SSPs, States have at their disposal sufficient information on the delegation of functions and responsibilities for safety in order to establish efficient structures for approval and monitoring of the SMS of service providers, the Assembly is invited to request ICAO to promote the exchange of best practices and develop guidance materials relating to the experience reported in this working paper and other shared experiences.

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