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- Agenda Item 3: RASG-PA Working Groups**
- 3.1 Aviation Safety Training Team (ASTT)**
- 3.1.5 ICAO State Safety Programme (SSP) and Safety Management Systems (SMS)**

ICAO STATE SAFETY PROGRAMME (SSP) AND SAFETY MANAGEMENT SYSTEMS (SMS)

(Presented by the Secretariat)

SUMMARY

The ICAO safety management strategy includes continued State Safety Programme (SSP) and Safety Management Systems (SMS) implementation as a means to continuously improve aviation safety at a global level.

References:

- ICAO Doc 9859

Strategic Objective

This working paper is related to Strategic Objective A – Safety.

1. Introduction

1.1 Proactive safety risk management concepts are essential to ICAO's safety strategy and are consistent with SSP and SMS requirements mandated for implementation by States and service providers, respectively. As of November 2006, safety management Standards and Recommended Practices (SARPs) became applicable in Annex 6 — *Operation of Aircraft*, Annex 11 — *Air Traffic Services* and Annex 14 — *Aerodromes*. Subsequently, safety management SARPs were introduced in Annex 1 — *Personnel Licensing* and Annex 13 — *Aircraft Accident and Incident Investigation* and became applicable as of November 2010. Safety management SARPs related to Annex 8 — *Airworthiness of Aircraft* are scheduled to become applicable in November 2013.

1.2 States and service providers must implement safety risk management (SRM) and safety assurance (SA) processes as key SSP and SMS components. The successful transition to a predictive, data-driven approach to safety requires development of increased safety analysis capabilities for use by States and service providers to accurately evaluate and monitor key safety trends.

2. Safety Management Development and Implementation

2.1 ICAO has supported the development of safety management practices and their implementation through SSP and SMS implementation training programmes and workshops. ICAO will continue its training efforts, including implementation workshops intended to facilitate safety management efforts of both States and service providers.

2.2 SSP and SMS contain SRM and SA components, which require continuous analysis of various forms of safety data to enable analysis of predictive safety trends that are precursors to accidents and serious incidents. Therefore, continued SSP and SMS maturation will create new sources of information through the collection, archiving and analysis of data related to hazards that exist in many instances as normal components within the aviation system.

2.3 A significant increase in the amount of information available to support proactive safety analyses worldwide is anticipated due to continued SSP and SMS implementation. The integration of information regarding hazards that exist within the international aviation system, reactive safety data resulting from investigation of accidents and incidents, as well as various forms of safety oversight data is essential to achieve future safety improvements in the aviation system.

3. Conclusion

3.1 Components and elements contained within ICAO SSP and SMS framework will be essential to the proactive resolution of safety issues existing at the State, regional and global levels as depicted in the **Appendix** to this working paper.

3.2 ICAO must continue its role of facilitating the effective SSP and SMS development and implementation through delivery of associated training programmes and implementation workshops.

3. Suggested Action

3.1 The RASG-PA is invited to:

- a) support and promote the ICAO safety management strategy regarding the State Safety Programme (SSP) and Safety Management Systems (SMS) implementation;
- b) encourage service providers to implement their SMS; and
- c) encourage States to implement their SSP.

**APPENDIX
ICAO SSP FRAMEWORK**

1. State safety policy and objectives

- 1.1 State safety legislative framework
- 1.2 Safety responsibilities and accountabilities
- 1.3 Accident and incident investigation
- 1.4 Enforcement policy

2. State safety risk management

- 2.1 Safety requirements for service providers SMS
- 2.2 Agreement on service providers' safety performance

3. State safety assurance

- 3.1 Safety oversight
- 3.2 Safety data collection, analysis and exchange
- 3.3 Safety data driven targeting of oversight on areas of greater concern or need

4. State safety promotion

- 4.1 Internal training, communication and dissemination of safety information
- 4.2 External training, communication and dissemination of safety information

ICAO SMS FRAMEWORK

1. Safety policy and objectives

- 1.1 Management commitment and responsibility
- 1.2 Safety accountabilities
- 1.3 Appointment of key safety personnel
- 1.4 Coordination of emergency response planning
- 1.5 SMS documentation

2. Safety risk management

- 2.1 Hazard identification
- 2.2 Risk assessment and mitigation

3. Safety assurance

- 3.1 Safety performance monitoring and measurement
- 3.2 The management of change
- 3.3 Continuous improvement of the SMS

4. Safety promotion

- 4.1 Training and education
- 4.2 Safety communication

A VISION OF THE FUTURE – INTEGRATION

State Safety Programme (SSP) + service providers Safety Management Systems (SMS) = Integrated Safety System

