



International Civil Aviation Organization

**EIGHTH MEETING OF THE ASIA PACIFIC REGIONAL AVIATION SAFETY TEAM
(APRAST/8)**

(Bangkok, Thailand, 28 March – 1 April 2016)

Agenda Item 5: Presentation – State / Industry / ICAO

REVIEW OF PANS-ATM IN CONSONANCE WITH ANNEX 19

(Presented by Nepal)

SUMMARY

The provisions related to ATS Safety Management were introduced in PANS-ATM Doc 4444 in 2001. Annexes 1, 6, 8, 11, 13 and 14 (Vol. I) also included SMS related provisions. The safety management concept underwent a paradigm shift through all these years triggering the need of a separate Annex on Safety Management. Realizing this need, the Council adopted Annex 19 in 2013 consolidating in Annex 19 all the safety related provisions from the above mentioned Annexes. However, the safety management related provisions in Doc 4444 remained untouched throughout all these years.

Such differences lead to confusion regarding the steps to be followed while formulating national legislation and regulations according to the ICAO guidelines.

This paper discusses on the discrepancies in provisions on SMS in Doc 4444 compared to those in Annex 19 - *Safety Management*.

1. INTRODUCTION

1.1 The provisions of safety management were introduced in Annex 11- *Air Traffic Services* and in Doc 4444 - *Procedures for Air Navigation Services - Air Traffic Management* (PANS-ATM) at the same time in year 2011. Provisions and procedures stipulated in Doc 4444 are complementary to the Standards and Recommended Practices (SARPs) contained in the corresponding Annexes.

1.2 Adoption of ICAO Annex 19 - *Safety Management* by the Council in 2013 was the result of the paradigm shift in the Safety Management. It consolidated all provisions related to safety management that were scattered in ICAO Annexes 1, 6, 8, 11, 13 and 14. As a result of which the safety related provisions stated in these Annexes were transferred to the Annex-19. However, PANS-ATM Doc 4444 still contains the provisions on ATS Safety Management which are not in line with Annex 19. Moreover, these provisions have remained untouched without any amendment since their introduction in 2001. Such differences could lead to confusion regarding the steps to be followed while formulating national legislation and regulations according to the ICAO guidelines.

2. DISCUSSION

2.1 Annex 19 lists four components and related twelve elements as the framework for the implementation of SMS. In this regard, the first component *safety policy and objective* is the starting point of SMS. Similarly, safety risk management, safety assurance and safety promotion are the other components that need to be adopted along with their related elements for this purpose.

2.2 Chapter 2 of PANS-ATM (Doc 4444) has included the provisions of SMS for ATS Service Providers. However, these provisions are not in line with Annex 19. Procedure 2.3.1 of Doc 4444 has included four ATS Safety Management Activities which out of anachronism are incomplete and not in order as that in Annex 19. Doc 4444 does not require the ATS Service Providers to set safety policy and objectives without which commencement of SMS cannot be envisaged. Procedure 2.3.1 a) and b) are the elements related to *Safety Assurance* component as mentioned in Annex 19. Similarly, 2.3.1 c) is one of the elements of *Safety Risk Management* and 2.3.1 d) is one of the elements of *Safety Promotion* components of SMS in Annex 19. These four activities have not covered all components and respective elements of SMS.

2.3 Clearly, the terminologies used in 2.3.1 of Doc 4444 are not compatible with those in Annex 19. For instance, 'monitoring of overall safety levels', 'detection of any adverse trend', 'safety reviews', 'safety assessments' and 'safety enhancing measure' are some of the terminologies that are not in congruence with Annex 19.

2.4 Annex 19 has made provisions regarding mandatory incident reporting system in 5.1.1 which reads as "Each state shall establish a mandatory incident reporting system to facilitate collection of information on actual or potential safety deficiencies." Whereas Procedure 2.4.1.2 states that the establishment of formal incident reporting system is not mandatory. In this regard, the provision related to Mandatory Incident Reporting System is missing in Doc 4444.

2.5 Doc 4444 2.5.2 'Scope of Safety Reviews' has included three issues viz. *regulatory issues, operational and technical issues* and *licensing and training issues*. The issues included in this Doc under these three headings such as ATS operations manual, ATS route structure, compliance with separation minima, testing of CNS equipments, licensing of controllers etc. are already meant to be in place under ATS operations system (though not specified by ICAO) before proceeding with implementation of SMS. Hence, as these issues are incongruous, these must be suitably relocated.

3. ACTION BY THE MEETING

3.1 The Meeting is invited to

- a) note the information presented in this working paper;
- b) Discuss the issues raised in this working paper;
- c) recommend ICAO to harmonize the provisions regarding SMS in Doc 4444 in line with Annex 19