



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

Regional Analysis USOAP-CMA

NACC/DCA/5

Port of Spain, Trinidad and Tobago

28-30 April 2014



Annex 19 – Safety Management

Basis of Annex 19, 1st edition



1. The **transfer of overarching** safety management provisions from the following Annexes:
 - **Annex 1** — *Personnel Licensing*;
 - **Annex 6** — *Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, Part II — International General Aviation — Aeroplanes and Part III — International Operations — Helicopters*;
 - **Annex 8** — *Airworthiness of Aircraft*;
 - **Annex 11** — *Air Traffic Services*;
 - **Annex 13** — *Aircraft Accident and Incident Investigation*; and
 - **Annex 14** — *Aerodromes, Volume I — Aerodrome Design and Operations*

Note: Independently of the applicability date of Annex 19, these SARPS retain their original applicability, dating from 2001 onwards. Furthermore, as a result of the transfer of the overarching safety management provisions to Annex 19, consequential amendments to existing Annexes were adopted by the ICAO Council.

Basis of Annex 19, 1st edition (cont.)



2. The **adaptation** of Annex 6, Part I, Appendix 5 and Annex 6, Part III, Appendix 1, Safety oversight of Air Operators to expand applicability to all service providers.
3. The **duplication** of Annex 13, Attachment E, Legal guidance for the protection of information from safety data collection and processing systems.

Key changes for Annex 19, 1st edition



- 1.** The SMS framework now applies to organizations responsible for the type design and manufacture of aircraft.
- 2.** The four components of the SSP framework are elevated to the status of Standard in Chapter 3
- 3.** The State Safety Oversight System (Appendix 1) is applicable to the oversight of all product and service providers; and
- 4.** The Safety Data Collection Analysis and Exchange (Chapter 5) and the Legal Guidance for the Protection of Safety Information from Safety Data Collection and processing systems (Attachment B) complement the SSP.



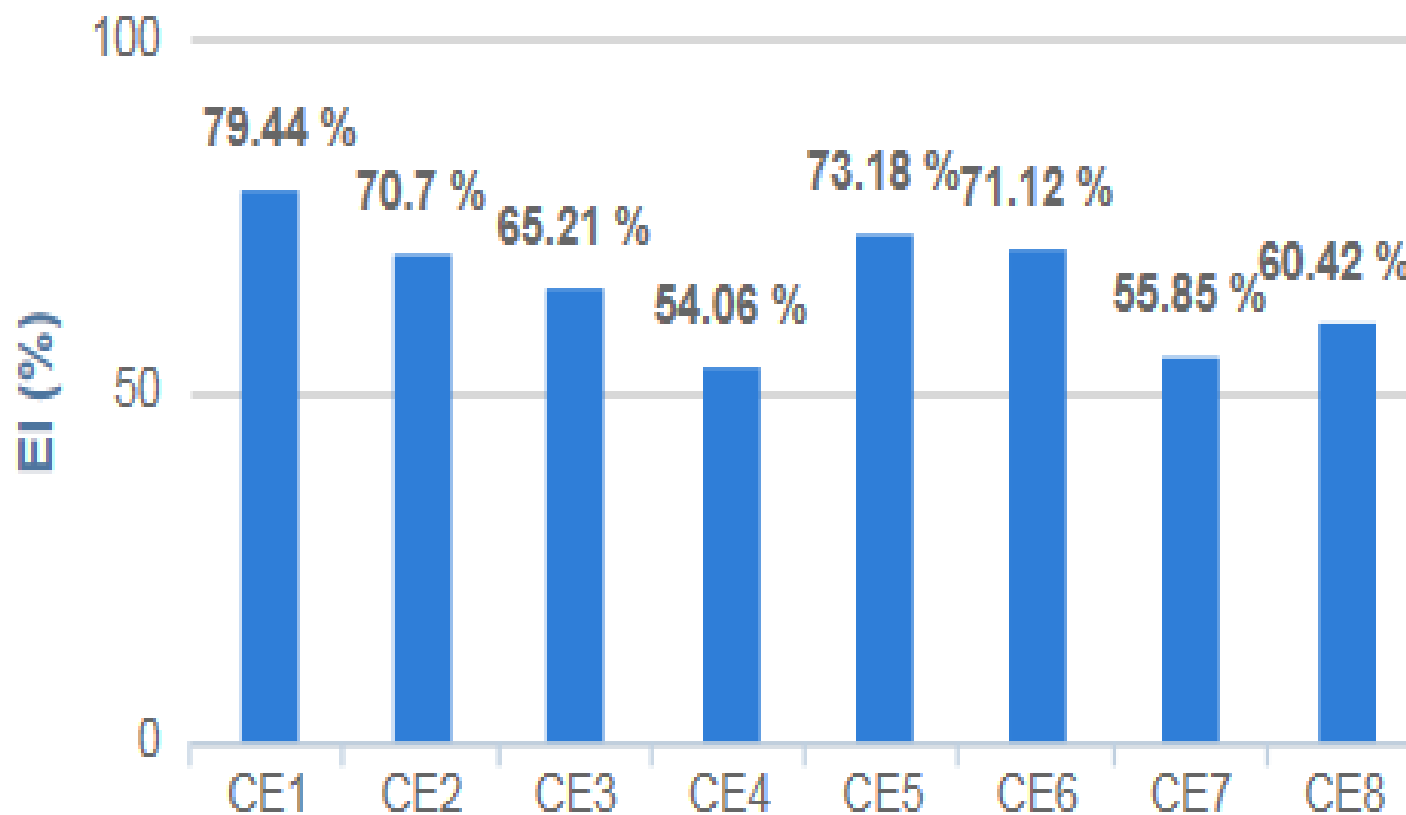
Annex 19: Critical Elements (CEs) Effective Safety Oversight System



EI by Critical Element



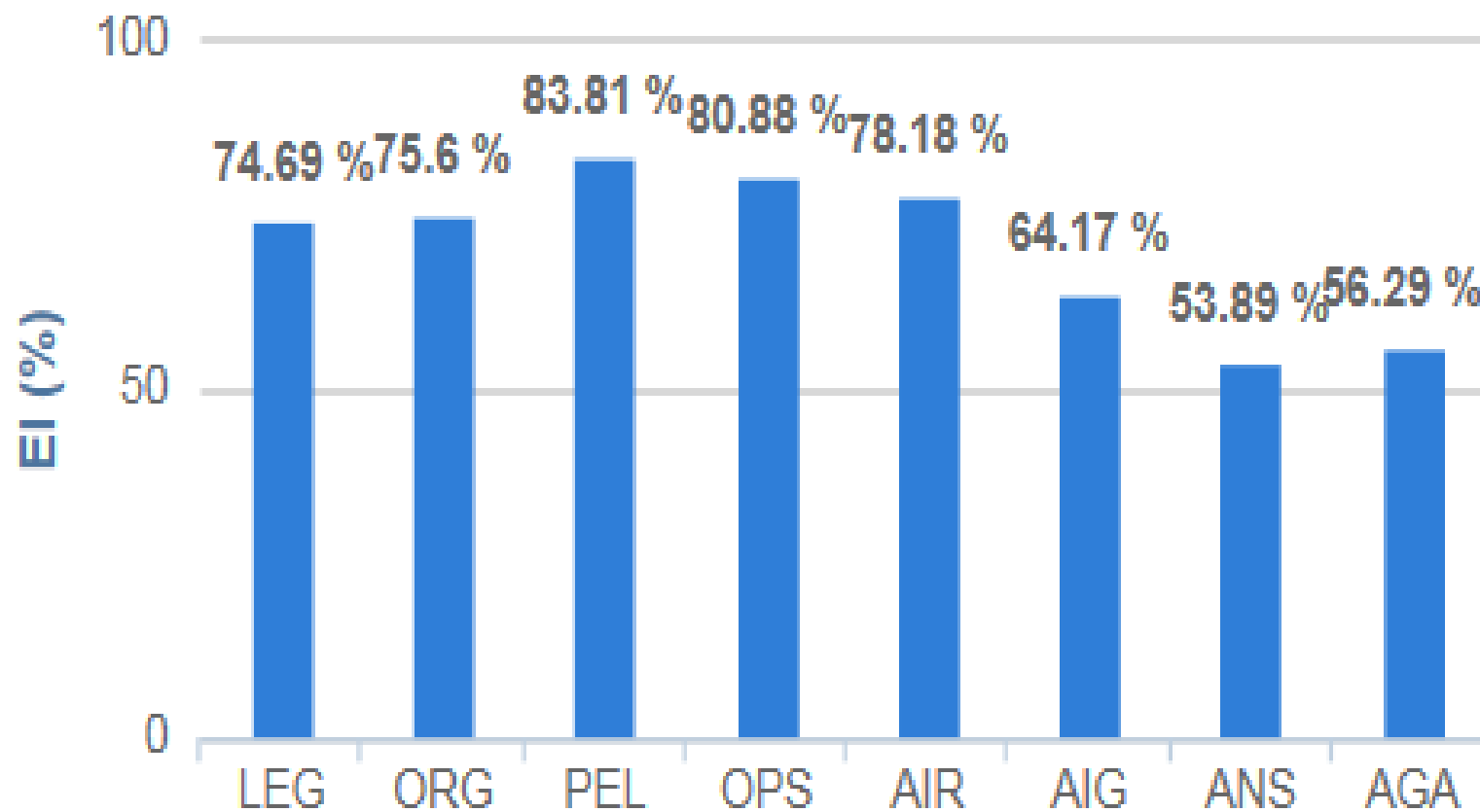
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EI by Area



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ANS Top Findings NACC



DESCRIPTION	EI
Ensuring oversight over procedures specialists or service providers?	14.3
Ensuring that safety reviews are being regularly conducted by the service provider?	14.3
Ensuring that the SMS developed by the air traffic service (ATS) provider includes provisions for safety assessment to be carried out for any significant safety-related change to the ATS system	19
State establish an acceptable level of safety performance to be achieved in the provision of Air Traffic Services (ATS)	19
Ensuring that the entity providing the MET service has established a properly organized quality system	23
Ensuring oversight over the entity providing the cartographic service	23
Ensuring that the air traffic service (ATS) provider has developed and implemented a SMS	23
Has the State established a mechanism/system with time frame for elimination of deficiencies identified by SAR inspectorate staff?	28
Ensuring oversight over the entity operating CNS systems and facilities	28
Ensuring oversight over air traffic service (ATS)	33
Implementation of SMS for the air traffic service (ATS) provider	40

Determination of State safety risk profile



Safety risk factors

- Previous USOAP activity results
- Level of traffic in the State
- Progress made by the State in resolving USOAP deficiencies

Safety risk indicators

- LEI vs. traffic (exposure)
- Existence of SSC(s)
- Level of aviation activities for each audit area
- Projected growth of aviation activities
- Level of acceptability of State's CAPs
- Progress in implementation of State's CAPs
- Ongoing or planned assistance projects
- Major changes in the organizational structure

Safety risk profile

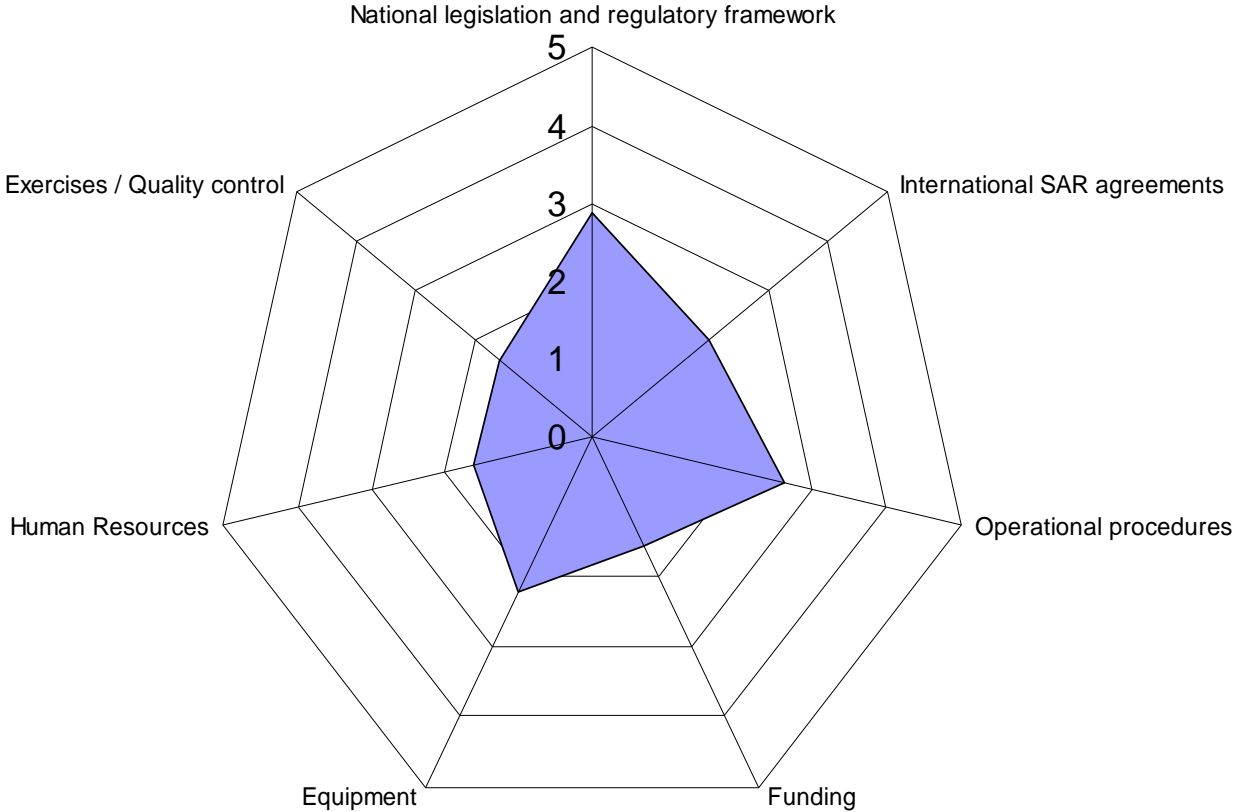
- CMO determines the safety risk profile which is generated by determining safety risk factors and indicators.

SAR CHECKLIST

Lista de Preguntas SAR



SMS / QA Evaluation data





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Thank you