



Twenty - Eighth Regional Aviation Safety Group — Pan America Executive Steering Committee Meeting (RASG-PA ESC/28)

ICAO SAM Regional Office, Lima, Peru, 4 to 5 May 2017

Agenda Item 4: RASG-PA Special Interest Briefing – ICAO HQ

ENHANCING SUPPORT FOR SAFETY MANAGEMENT IMPLEMENTATION

(Presented by the Secretariat)

EXECUTIVE SUMMARY

Subsequent to the adoption of Amendment 1 to Annex 19 - *Safety Management*, ICAO has identified the following tasks to enhance the support for the implementation of State Safety Programmes (SSPs) and Safety Management Systems (SMS):

- a) a revision to the Safety Management Manual (SMM) (Doc 9859);
- b) the development of an enhanced ICAO Safety Management Implementation website with examples to complement the SMM;
- c) an amendment to the Universal Safety Oversight Audit Programme (USOAP) SSP-related Protocol Questions (PQs);
- d) an update to the ICAO Safety Management Standardized Training Programme;
- e) an update to the Integrated Safety Trend (Analysis) and Reporting System (iSTARS) SSP Gap Analysis tool; and
- f) the delivery of four regional symposia, combined with regional safety management workshops and followed by 7 additional workshops;

The update and inclusion of the amended SSP-related protocol questions in the scope of USOAP activities have also been agreed based on the implementation support plans outlined above. The **Appendix** provides a summary of the safety management implementation support plans.

Action:	Suggested Action is presented in Section 4.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"> • Safety
<i>References:</i>	<ul style="list-style-type: none"> • EB 2015/55, dated 19 November 2015 • <i>Second HLSC 2015 Report</i> (Doc 10046) • State letter AN 8/3.1-16/16, dated 1 April 2016 • State letter AN 8/3-16/89, dated 27 September 2016 • EB 2016/63 dated 1 November 2016 • EB 2016/70 dated 30 November 2016 • <i>Global Aviation Safety Plan</i> (Doc 10004) • <i>Annex 19 - Safety Management, second Edition</i> • <i>Safety Management Manual (SMM) (Doc 9859), third edition</i>

1. Introduction

1.1 As a result of the Second High-level Safety Conference 2015 (HLSC 2015) held at ICAO Headquarters in Montréal from 2 to 5 February 2015, the Montréal Declaration on Planning for Aviation Safety Improvement called upon ICAO to continue assisting States in implementing safety-related Standards and Recommended Practices (SARPs) and an effective safety oversight system through additional guidance material, training and tools. Conclusion 2/1 b) related to implementing State safety programmes (SSP) highlights that additional guidance and sharing of experiences are necessary for States to further develop and implement SSPs.

1.2 The 39th Session of the ICAO Assembly, held in Montreal from 27 September to 7 October 2016, endorsed the 2017-2019 Global Aviation Safety Plan (GASP), which maintains continuity with the version endorsed by the Assembly in 2013, while introducing a new global aviation safety roadmap to ensure that safety initiatives deliver the intended benefits of the GASP objectives through enhanced coordination, thus reducing inconsistencies and duplication of efforts.

1.3 During the Assembly the need for additional support for ICAO to assist States in the implementation of SSP was also expressed. State letter AN 8/3-16/89, dated 27 September 2016, announced the establishment of an ICAO Safety Management Programme and outlines a set of deliverables with timelines to support SSP implementation. States and industry partners have been asked to consider means to support the deliverables in order to achieve the objectives outlined in the GASP.

2. Discussion

Amendment 1 to Annex 19

2.1 The first amendment to Annex 19 — *Safety Management*, was adopted by the ICAO Council on 2 March 2016 and became 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. It is important to note that the applicability for the existing safety management provisions as originally introduced continue to apply; the new applicability date only relates to the changes introduced with Annex 19, Amendment 1.

Fourth Edition of the Safety Management Manual

2.2 The current work programme of the Safety Management Panel (SMP) includes the development of guidance material to support SSP implementation. The Safety Information Protection Implementation Group (SIP-IG) was established and includes 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.

2.3 The Secretariat has developed a strategy for the fourth edition of the *Safety Management Manual (SMM)* (Doc 9859), expected to be published in July 2017, that includes a streamlined version of the document complemented by an ICAO Safety Management Implementation website. The manual would include guidance material to address the full range of subjects covered by Annex 19, Amendment 1, and risk-based approaches to managing safety as discussed during the HLSC 2015. . 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.

2.4 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 ICAO Safety Management Implementation website will include the examples currently found in the SMM, provide a mechanism for the sharing of best practices, and 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 and international organizations, and service providers will be invited to share their examples.

2.5 Examples will initially be posted in the language in which they are submitted with accommodation made for translated versions to be posted based on the demonstrated usefulness of those 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 SSP Assessment tool to replace the ICAO SSP Gap Analysis tool on iSTARS (<https://portal.icao.int/space/Pages/SSP-Gap-Analysis.aspx>). The data already entered into the ICAO SSP Gap Analysis tool will be transferred to the new SSP Assessment tool which will reflect Amendment 1 to Annex 19 and incorporate USOAP PQ data to highlight the need to address pre-requisites for a sustainable SSP implementation. The new SSP Assessment tool will have multiple uses (e.g. gap analysis, ongoing assessment, reporting progress to ICAO) and will interface with the USOAP SSP-related PQs for a more detailed self-assessment.

Safety Management Training Programme

2.6 ICAO also offers the Online Safety Management Training Course, which is most beneficial for those who work for a State regulatory body involved in the planning, development, and implementation of SSP, and for staff who work for an aviation service provider involved in the planning, development, and implementation of SMS (<http://store1.icao.int/index.php/safety-management-training-tic-course-part-1-html.html>). The modules of the course include: Module 1, *Safety Management Fundamentals*; Module 2, *ICAO Safety Management Provisions*; Module 3a, *State Safety Programme (SSP)*; and Module 3b, *SMS Implementation*.

2.7 An update to the course was launched on 17 October 2016, and includes a new module 2A, *Amendment 1 to Annex 19*, which explains the changes introduced with the amendment. The new module will be made available, at no additional cost, to those who have already taken the online course. Phase 2 of the Online Safety Management Training Course update expected to be released in July 2017, will further reflect the fourth edition of the SMM and will include an additional module on Safety Information Protection (SIP).

2.8 To complement the safety management online course, the 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 five days (thirty training hours) in duration. The ICAO 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

2.9 Safety management promotional videos have been developed to communicate the benefits of safety management and highlight important points for the community, e.g. safety information protection and benefits of safety management, both available on the ICAO Safety Management Public website.

2.10 To share the work developed in support of the implementation of Annex 19, ICAO plans to deliver four regional 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.

2.11 Regional safety management workshops are expected to be delivered with the symposia and followed by seven additional workshops over the course of twenty-four months in all of the ICAO Regions. These workshops are expected to provide a means for sharing of examples at a regional level and an opportunity for the further collection of examples to be posted on the ICAO Safety Management Implementation website.

Update To USOAP SSP-Related Protocol Questions and Monitoring Activities

2.12 The new SSP-related USOAP PQs, initially published in November 2014, are expected to be amended in July 2017. States with a USOAP effective implementation above 60 per cent 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.

2.13 The commencement of monitoring activities using the SSP-related PQs was initially postponed until January 2018. However, after the adoption of Annex 19, this was revised to include only selected States on a voluntary but non-confidential basis. Beginning in January 2020, the threshold for the applicability of the SSP-related PQs will be based on 2020-2022 GASP objectives (Electronic Bulletins 2016/63 and 70 refer).

2.14 Additional support is needed in order for States to meet the objectives outlined in the Doc 10004, *2017-2019 Global Aviation Safety Plan*. The Secretariat has developed a strategy that would provide additional guidance material, tools, training, and a mechanism for the sharing of experiences. The commencement of USOAP activities to include SSP-related protocols has also been planned taking into consideration the availability of this additional support.

3. Action by the Meeting

3.1 The meeting is invited to:

- a) note the contents of this paper; and
- b) endorse the following draft conclusion.

**DRAFT CONCLUSION
RASG-PA ESC/28/XX**

SAFETY MANAGEMENT IMPLEMENTATION

That States are urged to continue the implementation of SSP and report on progress using the SSP Assessment Tool on iSTARS and completing the USOAP SSP-related PQ self-assessments on the online framework (OLF).

APPENDIX

