



**Cooperative Development of Operational Safety and
Continuing Airworthiness Programme
COSCAP-SOUTH ASIA
International Civil Aviation Organization**



**22nd STEERING COMMITTEE MEETING
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UPDATE ON ICAO SSP AND SMS IMPLEMENTATION

EXECUTIVE SUMMARY

This paper presents the recent developments concerning the implementation of ICAO State Safety Programme and Safety Management Systems for the kind information of the Steering Committee.

1. Background

- 1.1 ICAO State letter 2007/74, dated 7 December 2007, informed States of the proposal for the amendments of Annex 1 – Personnel Licensing, Annex 6 – Operation of Aircraft, Part I — International Commercial Air Transport — 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 to harmonize and extend provisions relating to safety management. The proposal centred on the introduction of two frameworks, one for the implementation and maintenance of a State’s Safety Programme (SSP) and the other for the implementation and maintenance of a service provider’s Safety Management System (SMS).
- 1.2 In March 2009, the ICAO Council approved, during its fifth meeting of the 186th Session, the harmonization of provisions relating to safety management in Annex 1, Annex 6, Parts I and III, Annex 8, Annex 11, Annex 13 and Annex 14, Volume I.
- 1.3 The ICAO Council approved during its 6th meeting of the 190th Session that, as recommended at the ICAO High Level Safety Conference (HLSC) held in March 2010, ICAO develop a new Annex dedicated to States’ safety management responsibilities and processes, including those framed under the SSP. To that end, during the 186th Session of the Air Navigation Commission, it was agreed to establish the Safety Management Panel (SMP) to provide recommendations on the development of the new Annex. It was considered that this would provide an opportunity to review and harmonize existing safety management provisions.
- 1.4 The SMP, set up in summer 2011, comprises an international group of experts from 20 Member States and 7 international organizations. Its mandate is split in a two phased approach.

- 1.5 The first phase of the SMP was to provide an initial version of Annex 19 based on existing safety management requirements, compiling those initially adopted in Annexes 1, 6, 8, 11, 13 and 14 with a view to achieving an applicability date in November 2013. This applicability date shall not distract the need for timely implementation of the existing safety management requirements as already proposed in their respective Annexes.
- 1.6 The first meeting of the SMP Working Group took place in November 2011 and a special meeting took place in February 2012, where 42 participants from 17 States and 7 international organizations were attended. Subsequently the draft of the new Annex 19 and consequential amendments to existing provisions in Annex 1, 6, 8, 11, 13 and 14 were proposed, which are now being circulated to States and appropriate international organizations for comments due by 28 September 2012 (through State Letter AN 8/3 – 12/42 issued on 29 June 2012). It is envisaged that all comments will be reviewed by the ANC later this year with the final version of Annex 19 first edition to be submitted to the ICAO Council for their approval at the beginning of 2013.
- 1.7 The second phase of the SMP's work consists in further developing the provisions of Annex 19 first edition, once approved, taking into consideration all comments and needs identified during the first phase of the project. This work programme for the second phase includes four issue-based work tasks approved on 1 June 2012 (ANC 190th Session / AN Min.190-9) as follows: 1) development of amendments to SSP provisions; 2) development of amendments to SMS provisions; 3) development of emergency response plan provisions; and 4) enhancement of provisions for the collection, analysis and protection of safety data and safety information. The SMP has already been working since August 2012 on these issues and shall coordinate with relevant existing Panels. The outcome of these work tasks will constitute the basis for the first amendment to the forthcoming Annex 19 and further revisions to ICAO guidance material. The target date for the completion of this work is November 2016.
- 1.8 Independently to this process, the Safety Management Manual (SMM - ICAO Doc 9859) was updated and an advanced electronic version of Edition 3 is now available in English on the ICAO-NET website (<https://portal.icao.int/ICAO-NET/Pages/default.aspx> - Publications/Documents). This new edition is restructured in the following four chapters: Safety Management Fundamentals, Safety Management SARPs, SSP and SMS. It contains enhanced guidance materials for SSP and SMS implementation, including criteria for defining an acceptable level of safety performance through the development of safety performance indicators. Guidance for implementing SSP using a four-phase approach is also provided.
- 1.9 The result of the second phase of the SMP's work is likely to result in another revision to the SMM and may also have an impact on other ICAO guidance material related to safety management.

2. Discussion

- 2.1 COSCAP-SA has been delivering ICAO SMS training courses on a regional as well as on an individual basis to States. Feedback obtained through the

delivery of SMS training courses indicated the need to develop more practical guidance material for States regarding their safety management programmes and safety oversight functions. Such guidance material enhancements have been largely addressed in the current 2012 SMM 3rd edition.

- 3.2 The COSCAP programmes held an SMS Implementation Seminar, in conjunction with the Republic of Korea and the FAA 2011 Flight Safety Seminar for CAAs and Operators, in Seoul 31 May to 2 June 2011. This major international event brought together 507 participants from 30 States, including regulatory agencies, airlines, aerodrome, air traffic control and other experts to exchange safety management information.
- 3.3 The COSCAP programmes in Asia Pacific developed and tested a detailed SMS Assessment Protocol with a volunteer air operator and CAA in December 2010, and in April 2012 the Safety Management International Collaboration Group (SMICG) published the Safety Management Systems Evaluation Tool. Assistance to Member Administrations, drawing on the COSCAP and SMICG work, is available on request."
- 3.4 To assist States in the development and implementation of an SSP, ICAO developed an SSP training course, aimed at State officials with responsibilities for the implementation of the SSP, including the implementation and/or oversight of safety management systems.
- 3.5 The collection, analysis and exchange of safety information is essential to implement an SSP combining prescriptive and performance-based approaches to safety rulemaking, policy development and oversight by States. Chapter 5 of draft Annex 19 contains provisions related to the collection, analysis and exchange of safety information.
- 3.6 Considering the latest developments in ICAO's safety management provisions and guidance material, there is a need to update the ICAO training and seminar materials. As a long-term goal, ICAO is planning to update the safety management training and seminar materials, using modernized training methods as described in ICAO Doc 9941, TRAINAIR PLUS, *Training Development Guide*. However, no timelines for this project have been established yet.
- 3.7 The COSCAP-SA has identified that there is still a need to provide support to States for the implementation of SMS and SSP. Until such time as the updated and modernized safety management training and seminar materials are available, measures should be taken to ensure that any training or seminars delivered to States reflect the latest ICAO safety management provisions and guidance material, including the SMM.

4. Recommendations

- 4.1 COSCAP-SA Steering Committee Meetings should be utilized as a forum to provide Member Administrations with the latest developments concerning SMS and SSP.

- 4.2 States should continue to complete the development and implementation of their SSP as well as SMS requirements for service providers in an expeditious manner, taking into consideration the latest amendment to the Safety Management Manual (SMM - ICAO Doc 9859).
- 4.3 COSCAP-SA should ensure courses, workshops, seminars, evaluation protocols and consultation provided to assist Member States in meeting the requirements of ICAO SARPs related to SMS and SSP implementation, reflect the most up-to-date information available.

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