

## 26<sup>th</sup> COSCAP SA STEERING COMMITTEE MEETING

### ENHANCING SUPPORT FOR SAFETY MANAGEMENT IMPLEMENTATION Discussion Paper 8 (DP-8)

(Presented by the ICAO Secretariat)

#### SUMMARY

Subsequent to the adoption of Amendment 1 to Annex 19, ICAO identified the following deliverables to support 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 ICAO Safety Management Implementation (SMI) website with examples to complement the SMM;
- c) updated SSP implementation tools;
- d) an update to the ICAO Safety Management Training Programme and
- e) SSP implementation promotional activities.

Action by the meeting is in paragraph 3.

#### REFERENCES

- Annex 19, second Edition
- Doc 9859, *Safety Management Manual (SMM)*
- Doc 10004, *Global Aviation Safety Plan*
- Doc 10046, *Second HLSC 2015 Report*
- State letter AN 8/3.1-16/16, dated 4 April 2016
- State letter AN 8/3-16/89, dated 27 September 2016
- EB 2017/35 dated 2 June 2017

## 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 Montréal 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

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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 outlined 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. States are encouraged to begin working to address Amendment 1 to Annex 19 as soon as possible, to ensure implementation is achieved by the applicability date.

### *Fourth Edition of the Safety Management Manual*

2.2 The Fourth Edition of the *Safety Management Manual (SMM)* (Doc 9859) includes guidance material to address the full range of subjects covered by Annex 19, Amendment 1. The manual is less prescriptive and more focused on the intended outcomes to support the need for the implementation to be tailored to the organization. Please note that the comments collected during the peer review which was conducted between July and September 2017 provided valuable feedback for the further improvement of the document. Notably, the document has been restructured with nine Chapters, including specific Chapters dedicated to SDCPS and Safety Analysis. A summary of the changes from the Third to the Fourth Edition is provided in the Appendix to this working paper.

2.3 The advanced, unedited Fourth Edition of the *Safety Management Manual (SMM)* is available in English only on ICAO-NET (<https://portal.icao.int/icao-net>). The official publication of the manual in English as well as the other ICAO working languages will depend on the resources available and the priority given to the document.

### *Safety Management Implementation Website*

2.4 Recognizing the challenges faced in implementing SSP and safety management system (SMS) “commensurate with the size and complexity” of each organization and the wide range of service providers addressed by Annex 19, the Fourth Edition of the *Safety Management Manual (SMM)* (Doc 9859) will be complemented by an ICAO Safety Management Implementation (SMI) website. The SMI website (<https://www.icao.int/safety/SafetyManagement/Pages/Examples-and-best-practices.aspx>) will serve as a repository for sharing examples and tools to support effective SSP and SMS implementation.

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2.5 Initially, the Safety Management Implementation (SMI) website will include some updated examples from the Third Edition of the *Safety Management Manual (SMM)*. Additional examples will be collected, reviewed and posted on an ongoing basis. In this respect, States, regional and international organizations are invited to share their examples using the instructions provided on the website found at the top of the left hand navigation bar “How to submit examples”, after clicking on “Start”.

#### *SSP implementation Tools*

2.6 In recognition of safety oversight forming the foundation of the SSP, an SSP Foundation Tool has been developed to complement the SSP Gap Analysis Tool. The tool is expected to assist States in building a solid safety oversight foundation in support of an effective SSP implementation and allows States to verify the status of a subset of USOAP PQs which have been identified as the foundation for SSP. SSP implementation plans should include the resolution of any findings related to these PQs. The tool can be found on iSTARS at <http://portal.icao.int/space/Pages/SSPFoundation.aspx>.

2.7 The ICAO SSP Gap Analysis tool on iSTARS (<https://portal.icao.int/space/Pages/SSP-Gap-Analysis.aspx>) will be updated by July 2018 to reflect Amendment 1 to Annex 19. The data already entered into the ICAO SSP Gap Analysis tool will be transferred to the updated tool.

2.8 The new SSP-related USOAP PQs, initially published in November 2014, have been updated and posted on the CMA online framework. These PQs will be updated again once the Fourth Edition of the *Safety Management Manual (SMM)* is finalized. ICAO will commence audits of selected States using the SSP-related PQs, on a voluntary and non-confidential basis, as of July 2018, Electronic Bulletin 2017/35 refers. These audits are not included in the activity plan found in the attachment of EB 2017/35.

#### *Safety Management Training Programme*

2.9 ICAO also offers a Safety Management Training Programme using a blended training approach with an online portion and a face-to-face portion. The Safety Management Online 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>).

2.10 A two-phased update process was planned to align the Online Safety Management Training Course with the Amendment 1 to Annex 19. Phase 1 of the update was launched on 17 October 2016 and includes a new module, which explains the changes introduced with the Amendment 1 to Annex 19. 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 May 2018 will reflect the Fourth Edition of the *Safety Management Manual (SMM)*. Additional modules will also be developed as time and resources permit (e.g. safety information protection (SIP)).

2.11 To complement the Safety Management Online Training Course, the Safety Management for Practitioners Course (SMxP) 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 (30 training hours) in duration. The ICAO Global Aviation Training Office is accepting

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nominations for instructors and requests for the delivery of the Safety Management for Practitioners Course through the ICAO Regional Offices.

*SSP Implementation Promotional Activities*

2.12 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.

2.13 To further promote the implementation of safety management, ICAO plans to deliver four Regional Safety Management Symposia. The symposia will provide an important information-sharing opportunity for regulators, service providers, operational personnel and all aviation professionals involved in safety management activities.

2.14 Regional safety management workshops are expected to be delivered with the symposia, and separately, over the course of twenty-four months across all ICAO Regions. The workshops will be tailored to the needs of each region. These workshops will focus on the more practical aspects of safety management, and be based on case studies and hands on material. The workshops are expected to provide a means for sharing of experience at a regional level and an opportunity for the further collection of examples to be posted on the ICAO SMI website. The workshops are targeted for personnel involved in the implementation of SSPs. The schedule for the symposia and workshops can be found on the Safety Management public website:  
<https://www.icao.int/safety/SafetyManagement/Pages/SymposiaandWorkshops.aspx>.

**3. ACTION BY THE MEETING**

3.1 The Meeting is invited to approve the following draft Conclusion.

**DRAFT CONCLUSION – SAFETY MANAGEMENT IMPLEMENTATION**

That States are invited to share tools and examples which support effective safety management implementation to be considered for posting on the Safety Management Implementation (SMI) website.

— END —

## SUMMARY OF CHANGES

### ***SAFETY MANAGEMENT MANUAL (SMM), DOC 9859, FOURTH EDITION***

Importantly, the Fourth Edition of the *Safety Management Manual (SMM)* is an evolution of its predecessors. Readers will see many similarities between the Fourth Edition and the Third Edition of the SMM. The key differences between the two editions are highlighted in the table below.

No.	Summary of Changes	
	Third Edition	Fourth Edition
1	254 pages	<ul style="list-style-type: none"> <li>Approx. 154 pages</li> </ul>
2	Examples and tools contained in the manual as Appendices to the Chapters	<ul style="list-style-type: none"> <li>Examples and tools from the Third Edition of SMM moved to the Safety Management Implementation (SMI) website which is complementary to the Fourth Edition of SMM</li> <li>Additional examples and tools will be collected from the stakeholders and will be posted on the SMI website to support SSP and SMS implementation that is commensurate with the size and complexity of the organization</li> </ul>
3	Aligned to <i>Annex 19 Safety Management, First Edition</i>	<ul style="list-style-type: none"> <li>Aligned to <i>Annex 19 Safety Management, Amendment 1</i></li> </ul>
4	Divided into five chapters: <ol style="list-style-type: none"> <li>Overview of the Manual</li> <li>Safety Management Fundamentals</li> <li>ICAO Safety Management SARPs</li> <li>State Safety Programme (SSP)</li> <li>Safety Management Systems (SMS)</li> </ol>	Divided into 9 Chapters with expanded guidance for the new Chapters: <ol style="list-style-type: none"> <li>Introduction</li> <li>Safety Management Fundamentals</li> <li>Safety Culture</li> <li>Safety Performance Management</li> <li>Safety Data Collection and Processing Systems</li> <li>Safety Analysis</li> <li>Protection of Safety Data, Safety Information and Related Sources</li> <li>State Safety Management Responsibilities</li> <li>Safety Management Systems</li> </ol>
5	No information regarding safety management applicability beyond mention of applicability dates	<ul style="list-style-type: none"> <li>Expanded introduction to address the scope of safety management provisions and their applicability, including discretionary SMS applicability</li> </ul>
6	No information on integrated risk management	<ul style="list-style-type: none"> <li>Specific guidance on integrated risk management in Chapter 1</li> </ul>
7	State safety oversight (SSO) and the critical elements (CEs) limited to SSP component 3: State safety assurance.	<ul style="list-style-type: none"> <li><i>Chapter 8 – State Safety Management Responsibilities</i> reflects the SSP with the State safety oversight (SSO) system critical elements (CEs) as the foundation of SSP.</li> <li>The CEs are integrated throughout the components.</li> <li>The term “framework” is no longer used in reference to SSP.</li> </ul>

<b>8</b>	The role of safety objectives not strongly highlighted	<ul style="list-style-type: none"> <li>Strengthened link between safety objectives and safety performance in Chapter 4, 8 and 9</li> </ul>
<b>9</b>	Some information on system description and interfaces	<ul style="list-style-type: none"> <li>General guidance on system description and interfaces contained in Chapter 1</li> <li>Specific guidance directed at States under SSP Implementation in Chapter 8</li> <li>Specific guidance directed at service providers under SMS Implementation in Chapter 9</li> </ul>
<b>10</b>	Refers to SSP and SMS being commensurate with the size and complexity without clearly explaining how this is achieved.	<ul style="list-style-type: none"> <li>General guidance on scalability contained in Chapter 1</li> <li>The guidance has been updated with a focus on intended outcomes and performance in order to achieve effective implementation. The implementation of SSP and SMS should be tailored to the needs and operational context of the organization.</li> </ul>
<b>11</b>	Some information on Acceptable Level of Safety Performance (ALoSP) in <i>Chapter 4 – State Safety Programme</i> under Safety Performance Indicators section	<ul style="list-style-type: none"> <li>Specific guidance directed at States under State Safety Performance section in Chapter 8</li> <li>The linkage between ALoSP and safety performance management activities of service providers is explained</li> </ul>
<b>12</b>	General information on Management of Change	<ul style="list-style-type: none"> <li>Enhanced guidance on Management of Change in Chapters 8 and 9 for States and service providers, respectively.</li> </ul>
<b>13</b>	Refers to the training requirements being consistent with the needs and complexity of the organization for each area of activity without clearly explaining how this is achieved.	<ul style="list-style-type: none"> <li>Specific guidance on the performing a Training Needs Analysis in Chapter 9</li> </ul>
<b>14</b>	Some information on the integration of management systems and SMS-QMS integration	<ul style="list-style-type: none"> <li>Additional guidance on the integration of management systems, including the integration of SMS and QMS in Chapter 9</li> </ul>