



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



**20<sup>th</sup> Meeting of the Steering Committee  
5<sup>th</sup> – 8<sup>th</sup> April 2011  
Colombo, Sri Lanka**

**Discussion Paper**

**DP 07: Update on ICAO SSP and SMS Implementation**

**1. Introduction**

- 1.1 This paper is to update the Steering Committee Meeting on the recent developments concerning ICAO State Safety Programme and Safety Management Systems implementation.

**2. Background**

- 2.1 The 35th Session of the Assembly agreed that ICAO should make recommendations for the achievement of global harmonization in the uniform application of ICAO provisions for safety management. On 17 December 2004, the Council agreed on the Strategic Objectives of ICAO for 2005-2010 which include inter alia Strategic Objective A8, *Support the implementation of safety management systems across all safety-related disciplines in States*.
- 2.2 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 and the other for the implementation and maintenance of a service provider's safety management system.
- 2.3 With particular reference to Annex 1, it was proposed that the principles of SMS and a risk management approach are incorporated into the medical assessment of licence holders, and that training organizations exposed to activities involving operational risk (i.e., flight training) implement a SMS. Annex 6, Part III, proposes SMS requirements for helicopter maintenance

organizations,<sup>1</sup> while Annex 8, Part II goes beyond harmonization to provide for the development of guidance material by ICAO.

Feedback obtained through the delivery of SMS training courses indicates the need to develop guidance material for States regarding their safety programmes and safety oversight function. The State letter also speaks to the introduction in Annex 13 of the responsibility for accident and incident investigation as an element of the State's safety programme.

- 2.4 Since May 2006 ICAO/COSCAP-SA has delivered SMS training courses on a regional as well as on individual basis to States, and the programme of courses continues. The need to further endeavours under Strategic Objective A 8 based upon the perspectives and feedback from the users underlies the need for focusing on implementation of a State Safety Programme and on Safety Management Systems.
- 2.5 In March 2009 the ICAO Council moved to harmonize the SMS requirements of all Annexes with the upgrading of the SSP from attachment to appendix, with an applicability date for the SMS and SPP frameworks of November 2010.
- 2.6 In a State Letter dated 13 November 2008, ICAO underscored the requirements for the implementation of the State Safety Programme (SSP) introduced in Annex 6 — *Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes*, and Part III — *International Operations — Helicopters*, Annex 11 — *Air Traffic Services*, and Annex 14 — *Aerodromes, Volume I — Aerodrome Design and Operations* in November 2006. The introduction of requirements regarding an SSP is a consequence of the growing awareness that safety management principles affect most activities of a civil aviation authority, including safety rulemaking, policy development and oversight.
- 2.7 Under an SSP, safety rulemaking is based on comprehensive analysis of the State's aviation system; safety policies are developed based on hazard identification and safety risk management; and safety oversight is focused towards the areas of significant safety concerns or higher safety risks. An SSP thus provides the means to combine prescriptive and performance-based approaches to safety rulemaking, policy development and oversight by States.
- 2.8 To assist States in the development and implementation of an SSP, ICAO has developed an SSP training course, aimed at State officials with responsibilities regarding the implementation of the State Safety Programme, including the implementation and/or oversight of safety management systems. The objectives of the SSP training course are to develop participants' knowledge on the Standards and Recommended Practices (SARPs) related to the State Safety Programme, the ICAO SSP framework and its components, and related guidance material; and to provide practical guidance on key elements of an SSP, including a State's regulation for an SSP, the establishment of acceptable level of safety, and an SSP implementation plan, in compliance with ICAO requirements.
- 2.9 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. At the same time, the Assembly recognizes the

---

<sup>1</sup> Annex 6, Part III, s.1.2.4 requires a SMS for helicopter operations effective 1 January 2009

importance of having sufficient protection for such data and their processing systems (A37-WP/388, adopted resolution 27/2 refers).

- 2.10 At the ICAO High Level Safety Conference (HLSC), following discussion under Topic 2.1 MANAGING THE TRANSITION TO THE IMPLEMENTATION OF A STATE SAFETY PROGRAMME (SSP) ENVIRONMENT, Delegates acknowledged that a transition will require that the traditional prescriptive regulatory approach be complemented by a performance-based approach, and the Chairman summarised that States require a phased transition to the implementation of SSP, recognizing the value of best practices and standards from industry in developing methodology for the development of safety performance indicators and the acceptable level of safety (ALoS) related to an SSP.
- 2.11 The HLSC also called upon ICAO to develop a new Annex dedicated to safety management processes which would define, among other things, the safety management responsibilities of States under the SSP. The new annex would assist States in developing State Safety Programmes (SSPs) and Safety Management Systems (SMS), and support the safety management framework being developed by ICAO. It was considered that this would provide an opportunity to review and harmonize existing safety management provisions and align the timing of their applicability. It was furthermore pointed out that such a review would eliminate duplication of SARPs in other Annexes and would thereby improve the content of all Annexes.

### 3. Discussion

- 3.1 ICAO State Safety Programme (SSP) training courses have been delivered in Bangkok 25 to 29 May 2009 and in Pakistan 14 to 16 June 2010. These programmes will support the South Asia Region States to implement the SSP to meet ICAO requirements.
- 3.2 An Air Operator Safety Management Systems (SMS) Implementation Seminar, planned by the Asian Region COSCAP Programmes, will take place from 31 May to 2 June 2011 in Seoul, Republic of Korea. In cooperation with the Korea Office of Civil Aviation (KOCA) under the Ministry of Land, Transport and Maritime Affairs (MLTM) and the Flight Standards Service of the United States Federal Aviation Administration (FAA), the COSCAP SMS Implementation Seminar has been integrated into the 2011 Flight Safety Seminar for CAAs and Operators (FSSCO).
- 3.3 The COSCAP programmes have also developed a detailed SMS Assessment Protocol and the Protocol was tested during an assessment of an air operator SMS during the period of 13 to 17 December 2010. The Protocol will be revised based on the feedback from the team and then tried again. Subsequently, the Protocol will be shared with ICAO and COSCAP Member Administrations. COSCAP-SA will be available to assist Member Administrations with such an assessment on request.
- 3.4 Work is progressing in ICAO on revisions to the Safety Management Manual, as it evolves toward being more of an implementation tool for SMS / SSP requirements. Integrated Safety Management (ISM) Section is working on a restructuring that will retain conceptual content, while adding guidance on many aspects including: phased implementation of SSP and risk management as well as safety assurance tools / methods specific to the applicable industry sectors. It is anticipated that the revision will be complete by the end of the this year. In addition, development of Annex 19 is anticipated to begin in the coming months.

#### 4. Recommendations

- 4.1 COSCAP-SA Steering Committee Meetings be utilized as a forum to provide Member Administration with the latest developments concerning SMS and SSP.
- 4.2 States that have yet to do so should complete the development and implementation of SMS requirements in an expeditious manner.
- 4.3 COSCAP-SA to provide workshops, seminars and courses to assist Member States in meeting the requirements of ICAO SARPs related to SMS and SSP Implementation, as opposed to concepts.
- 4.4 Member Administration to consider utilizing the COSCAP SMS evaluation protocol for conducting SMS evaluations once it is finalized.

— END —