



International Civil Aviation Organization

Annex 19 Update

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17 June 2015

Why a New Annex?

- The ICAO Assembly 2010 identified that the 18 ICAO Annexes governing individual areas was no longer sufficient to drive safety
- It commissioned a new ICAO Annex to be produced for the first time in 30 years, using a multidisciplinary Panel on Safety Management
- Feb 2012 Dr. Hazel Courtney was the “lucky” winner of the Chairman’s role (and has now been re-elected for 3rd time)

What is in the Annex

- Annex 19 compels ICAO Member States to:
 - Have a State Safety Programme
 - Mandate SMS for Service Providers
 - Legally Protect Safety Data

The Initial Team

- Panel Members
 - 20 States
 - 7 International Organisations
 - 20 Members
 - 22 Advisors
- Aviation Domains
 - Pilots / Airline industry
 - Airports
 - Regulators
 - Accident Investigation
 - Engineers
 - ATC
 - Legal
 - Others

The Task

- Review a draft Annex containing a modified compilation of existing SARPs
- Recommend text for Annex 19
- Identify consequential amendments
- Present final draft to ANC by March 2012
- Propose future work

Introduction

- ✈ Annex 19 development programmed in two phases
 - **Phase 1:** consolidation of existing safety management provisions in various Annexes into the new Annex
 - **Phase 2:** development of further safety management provisions arising from priorities identified by SMP as well as inputs from the ANC's preliminary review of Annex 19



Phase 1



Producing a Proposal in 90 Days

- 2 Meetings in Plenary and 4 sub-groups
- Preparation and actions between meetings coordinated through telcons – across all time zones
 - SG1 Definitions & Foreword
 - SG2 SMS
 - SG3 SSP
 - SG4 Safety Data Protection
- 26 Working Papers, 204 written comments to other Sub Groups work and 46 hours in telcons (plus many hours on emails, research /preparation & action time for many members!)

Annex 19 is Born

Future Work

- Annex was circulated to States for consultation in March 2012
- State's Comments incorporated
- Became Applicable in November 2013
- Amendments to Annex 19
- Guidance Material
- Implementation Issues
 - Consequential Amendments
 - ICAO training, audits, policy
 - Co-ordination with other groups

“Challenges”

- Original material developed from different perspectives, purposes, philosophy
- Structure inconsistency
- Issues of ownership and territory
- Large diverse cross disciplinary group
- Very challenging timescale (previously 7 years)
- Cultural differences
- Translation and Interpretation
- Riot outside ICAO on final day of original Panel
- Other ICAO Groups with overlapping remits
- ICAO is not always one voice – ‘Tribal Warfare’ – and many areas do not like change

- SIPTF was a legal team who were tasked by ICAO to develop an approach to the protection of safety information within the global diversity of legal frameworks
- This was developed in parallel and their output was issued to States with a State Letter (SL) and received comments, many of which referred to the need to integrate with other parts of Annex 19
- This caused some confusion with the development of similar material tasked to the Annex 19 WG3

Phase 2



Now its Grown

- Safety Management Panel 2 -7 November 2014
- 63 attended including, Chair, Vice Chair, 3 WG leads
 - 26 members
 - 33 advisors
 - 4 secretariat
- Representing
 - 18 States
 - 8 International Organisations
 - ICAO

SMP in Session



Headlines



21 Working Papers including:

- WG 1: proposal for integration of SSO & SSP SARP's to clarify relationship between SSO and SSP
- WG 2: proposals for a range of 'enablers' of industry SMS to support practical SMS implementation for service providers including IGA resolution
- WG 3: inputs requested by ANC on SIPTF SL, definitions of safety data and safety information, and integrated text on protection of safety information (after some different requests – followed job card)

Frameworks integration

✈ States need both

- SSO – ensure that State safety functions audited by ICAO are *implemented* (compliance with ICAO SARPs)
- SSP – ensure that State safety functions audited by ICAO are not only implemented but *achieve their safety objectives* (safety performance)

| State Safety Oversight System (8CEs) | | | |
|--------------------------------------|--|---|--|
| CE1 Legislation | CE2 Operating Regulations | CE3 Aviation System & Functions | CE4 Technical Expert Training |
| CE5 Guidance & Procedures | CE6 Licensing/ Certification | CE7 Surveillance/ Inspection | CE8 Resolution of Safety Concern |

| SSP (11 Elements) | |
|---|--|
| 1. State's safety policy and objectives 1.1 State safety legislative framework 1.2 State safety responsibilities and accountabilities 1.3 Accident and incident investigation 1.4 Enforcement policy | 2. State's safety risk management 2.1 Safety requirements for service providers SMS 2.2 Agreement on the service provider's safety performance |
| 3. State's safety assurance 3.1 Safety oversight 3.2 Safety data collection, analysis and exchange 3.3 Safety data driven targeting of oversight on areas of greater concern or need | 4. State's safety promotion 4.1 Internal training, communication and dissemination of safety information 4.2 External training, communication and dissemination of safety information |

WG1 Changes to Annex 19

- Clarify the relationship between SSP and SSO by integrating the SSP and SSO requirements into Chapter 3, keeping the critical elements in Appendix 1 for visibility
- New/revised SARPs related to SSP/SSO, including:
 - size and complexity requirements for the State safety programme
 - Safety policy and objectives for States
- Emphasized that the State safety oversight system constitutes the foundation of a State's safety management responsibilities
- Proposed definitions for hazard, safety oversight and surveillance
- Introduced new provisions on delegation of specific functions and activities to another State or RSOO
- Revised SARPs to require State to establish criteria for SMS for IGA operators of large turbojet aircraft
- Introduced new provisions for State emergency response plan to ensure continued safety in the event of exceptional circumstances

WG1 Proposed Guidance Material

- Reviewed and proposed guidance material which were developed by the SM-ICG to facilitate States' implementation of their SSP and assessment of SMS
 - SMS Inspector competencies
 - SMS evaluation tool
 - State level Safety performance measurement

WG2 Changes to Annex 19

- Revised definitions for clarity and consistency:
 - 'safety performance target' and 'safety management system'
- Revised SMS requirements clarifying the relationship between safety policies, objectives and targets, and promotion of positive safety culture through safety policy
- Extension of SMS to include organisations designing/manufacturing engines and/or propellers and assignment of State oversight responsibilities
- New notes to clarify an organisation's responsibilities in respect of its interfaces, the role of internal audit and the acceptability of a single organisation-wide SMS, and removal of ATS-specific SMS note
- Clarification of the role of the SMS implementation plan
- Confirmation of the need to co-ordinate emergency response plans where organisations are required to have them
- Clarification of the use of 'predictive' methods for analysis, rather than for hazard identification

SMS Applicability Extension



- SMP has developed criteria and a scoring system so that different service providers may be evaluated for the extension of SMS applicability.
- Criteria include: service provider contribution to the total aviation system; visibility and control of hazards; specialist nature of services; existing rules or oversight requirements; potential effect on States.
- The possibility of existing industry standards is also considered.
- For Annex 19 amdt. 1, the following were considered:
 - 1) Dangerous Goods – to be considered within operator SMS,
 - 2) Instrument Flight Procedures Designers – to be considered for later revision,
 - 3) Ground Handling – to be considered for later revision
 - 4) Training organisations (operations already included) – to be considered for later revision
 - 5) CNS, AIS, MET, SAR providers – to be considered managed by ATS SMS
 - 6) Designers/Manufacturers of Engines and Propellers - to be included in Annex 19, co-ordinated with AIRP Annex 8 changes.

Items 1)-4) require co-ordination with relevant Panels/Expert Groups.

WG3 Proposed Text

- Proposal
 - Comprehensive A19 amendment proposal considering all inputs and situations (JC as well as tasks resulting from the State Letter issuance)
 - Language developed with intent to ensure fidelity to and consistency with the SIPTF recommendations, while also maintaining consistency with SMP Annex 19 developments
 - Proposal addresses protection of safety data and safety information, its source, use consistent with recommendations of the SIPTF

WG3 Integrated Approach

- Integration examples
 - Definitions applied to entire Annex, not just specific Chapters or Appendix
 - Analysis provisions moved from Ch5 to Ch3 (State requirements)
 - Ch5 provision to protect safety data and information coordinated with language in Ch3 regarding Enforcement Policy
 - Notion of “safety culture” coordinated throughout Annex (Ch3, Ch4)

SIPTF & SMP harmonisation

- 26 March 2015 SIPTF & SMP Reconciliation Meeting at ICAO
 - Meeting of SIPTF & SMP representatives Chaired by Catalin Radu
 - All differences resolved without pain
 - Joint proposal now agreed

Next Steps

- Proposals for Amendment 1 to Annex 19 will go to ANC in June 2015 including
 - Merger of SSO and SSP
 - SMS enablers and applicability extended to design
 - Joint proposal for Safety Information Protection
- If agreed a State Letter will be issued to States
- State comments will be considered and a decision reached to issue/ amend/ defer

Questions ?

