



International Civil Aviation Organization

# Highlights on SMM 3<sup>rd</sup> Edition Highlights ICAO Doc 9859





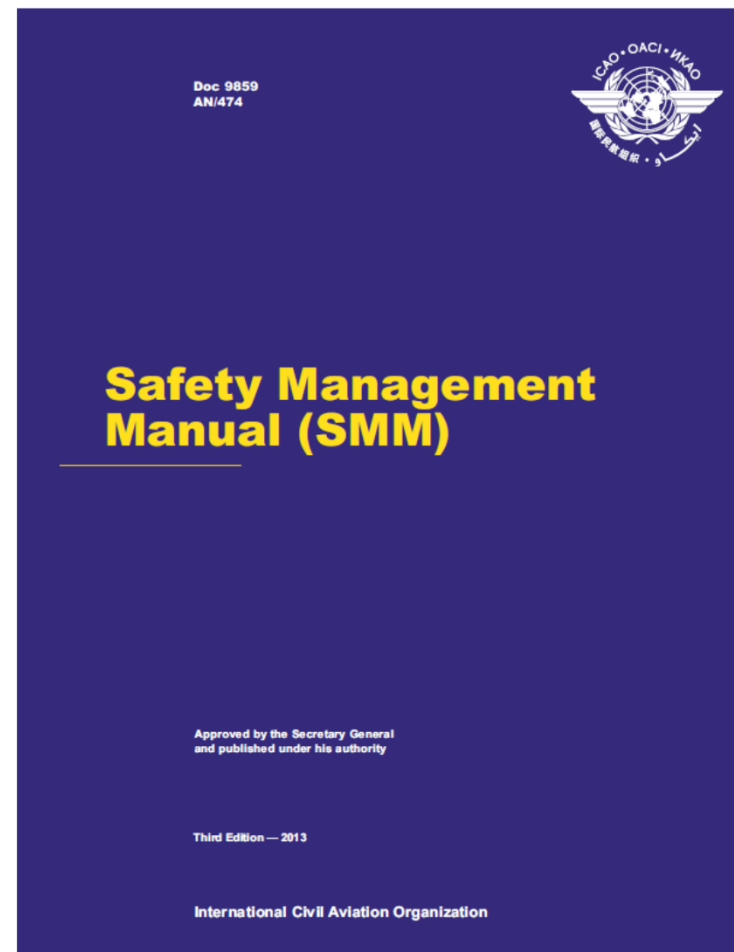
# SMM 3<sup>rd</sup> Edition Highlights - *Agenda*

1. Introduction
2. SMM 3rd Edition - Contents overview
3. Twenty-six enhancements
4. Q & A



# SMM 3<sup>rd</sup> Edition - *Introduction*

- SMM 1st & 2<sup>nd</sup> editions in 2006 & 2009
- SMM 3<sup>rd</sup> edition (advance version) posted on 28 May 2012
- SMM 3<sup>rd</sup> edition final version November 2013
- Purpose of this presentation





# SMM 3<sup>rd</sup> Edition – *Contents overview*

4 Chapters:

CHAPTER 1 - SAFETY MANAGEMENT FUNDAMENTALS

CHAPTER 2 - ICAO SAFETY MANAGEMENT SARPs

CHAPTER 3 - STATE SAFETY PROGRAMME (SSP)

CHAPTER 4 - SAFETY MANAGEMENT SYSTEM (SMS)

(previous SMM 2<sup>nd</sup> Edition 2009 had 11 Chapters)

Browse SMM 3<sup>rd</sup> Edition [Contents Page](#)

# Chapter 1 Highlights: (5)

## *Safety Management Fundamentals*



### 1. Definitions:

✓ *List of Definitions included* (new) [DEFNS]

### 2. Safety Culture [1.6]:

✓ *Organization risk profile assessment* (new) [C1A3]

# Chapter 1 Highlights: (5 of 5)

## *Safety Management Fundamentals*



### 3. Hazards [1.12]:

- ✓ *Hazards prioritization procedure* (new) [\[C1A1\]](#)
- ✓ *Distinguishing Aviation & OSHE hazards* ([new](#))

### 4. Safety Risk Management (SA) [1.15]:

- ✓ *Basic risk mitigation tool* ([enhancement](#))

### 5. Prescriptive & Performance-based Requirements [1.16]

- ✓ *Performance-based requirements and its oversight* ([enhancement](#))



## Chapter 2 Highlights: (2)

### *Safety Management SARPs*

#### 1. SARPs [2.2; 2.3]:

✓ *Consolidation and overview of current safety management SARPs* (new)

#### 2. Annex 19 [2.4]:

✓ *Introduction to Annex 19 development status* (new)

# Chapter 3 Highlights: (1 of 6)

## *State Safety Programme*



### 1. SSP framework elements overall guidance improvements:

Enforcement Policy (1.4) [App 3 & 4]:

➤ *Clarity between enforcement policy & enforcement procedures* (enhancement)

Agreement on service provider safety performance (2.2)

➤ *Agreement on SPIs and associated target & alert settings* (enhancement)



# Chapter 3 Highlights: (1 of 6) continued

## *State Safety Programme*



### Safety data collection, analysis and exchange (3.2)

[App 9, 11 & 12]:

- *Mandatory & voluntary reporting systems;*
- *SPI & ALoSP development;*
- *Safety information protection* (enhancement)

Safety-data driven targeting of oversight on areas of greater concern or need (3.3) [Fig 3.3-1]:

- *Safety data and risk based surveillance process* (enhancement) [Fig 3.3-1]

# Chapter 3 Highlights: (2 of 6)

## *State Safety Programme*



### 2. SSP Gap Analysis & Implementation Plan [3.3.2; App 1]

- ✓ *Updated gap analysis questions, including main text references* (enhancement) [\[C3A1TA\]](#)
- ✓ *Improved documentation for gap analysis outcomes and tasks implementation* (new) [\[C3A1TB&C\]](#)

# Chapter 3 Highlights: (3 of 6)

## *State Safety Programme*



### 3. SSP Implementation – Phased Approach [3.4; Table A]

✓ *Guidance on 4-phased progressive implementation of SSP elements & processes* (new)

[C3.4-TA]

# Chapter 3 Highlights: (4 of 6)

## *State Safety Programme*



### 4. Safety Indicators & Acceptable level of safety performance (ALoSP) [3.3.4; App 6]

- ✓ *Guidance on ALoSP measurement and monitoring through State aggregate SPIs and associated Target and Alert levels (new) [C3A6]*

In essence - A State defines its ALoSP through:

- A selected package of aggregate SPIs;
- Set Target and Alert levels for each SPI; and
- Monitor & measure individual & consolidated SPIs' Target achievement & Alert avoidance (Yes/ No/ Points) outcomes.

# Chapter 3 Highlights: (4 of 6)

## *State Safety Programme*



Purpose of SPI Alert & Target settings:

- ✓ *An Alert level ensures attention is drawn to a SPI anytime its trending is statistically worse off than its recent performance*
- ✓ *A Target level ensures a planned endeavor to drive a SPI to improve on its own recent average performance*
- ✓ *Alert exceedance & Target achievement incidence count is a data-based performance measure of a package of SPIs*

# Chapter 3 Highlights: (6 of 6)

## *State Safety Programme*



### 5. SMS Acceptance/ Assessment [App 7]

✓ *Initial SMS regulatory acceptance as well as routine SMS audit checklists* (new) [\[C3A7\]](#)

### 6. SSP Document/ Manual Contents [App 10]

✓ *Guidance on SSP Manual Contents development* ([new](#))



## Chapter 4 Highlights: (4)

### *Safety Management System*

#### 1. SMS framework elements overall guidance improvements:

##### Emergency Response Planning (1.4) [App 4]

✓ *Enhanced guidance on emergency response planning* (enhancement)

##### SMS Documentation (1.5) [App 3]

✓ *Guidance on development of a SMS Document/Manual* (new)



## Chapter 4 Highlights: (4)

# *Safety Management System*

### Hazard Identification (2.1) [App 7]

- ✓ *Guidance on SMS voluntary and confidential reporting system* (new)

### Risk Assessment & Mitigation (2.2) [C1-App 2]

- ✓ *Basic Safety Assessment Tool* (new) [C1- App 2]  
Latest version>



## Chapter 4 Highlights: (4)

### *Safety Management System*



## 2. Integration of Management Systems [4.4.2]

- ✓ *Enhanced guidance, especially on SMS-QMS integration* (enhancement)

## 3. SMS Gap Analysis & Implementation Plan

[4.4.3/4; App 2]

- ✓ *Updated gap analysis questions, including main text references* (enhancement)

## Chapter 4 Highlights: (4)

### *Safety Management System*



## 4. SMS Safety Indicators & Safety Performance

{4.4.5; App 6}

- ✓ *Safety performance measurement through SPIs' target and alert settings (4.4.5;App6)*

In summary...



# SMM 3<sup>rd</sup> Edition Highlights - *Summary*

## *1. List of Definitions*

### Chapter 1 (Safety Management Fundamentals):

- 2. Hazards prioritization procedure*
- 3. Organization risk profile assessment*
- 4. Distinguishing Aviation & OSHE hazards*
- 5. Basic risk mitigation tool*
- 6. Performance-based requirements and its oversight*

### Chapter 2 (Safety Management SARPs):

- 8. Consolidation of current safety management SARPs*
- 9. Introduction to Annex 19 development status*



# SMM 3<sup>rd</sup> Edition Highlights - *Summary*

## Chapter 3 (State Safety Program):

- 10. Clarity between enforcement policy & procedures*
- 11. Agreement on SPIs, Targets & Alert settings*
- 12. Mandatory & voluntary reporting systems*
- 13. SPI & ALoS development*
- 14. Safety information protection*
- 15. Safety data and risk based surveillance process*
- 16. Updated GAQs, including main text references*
- 17. Documentation for gap analysis & tasks implementation*
- 18. 4-phased progressive implementation of SSP*
- 19. ALoSP measurement through SPI Target and Alert levels*



# SMM 3<sup>rd</sup> Edition Highlights - *Summary*

## Chapter 4 (SMS):

- 20. Guidance on emergency response planning*
- 21. Guidance on development of a SMS Document/ Manual*
- 22. Guidance on SMS voluntary reporting system*
- 23. Basic Safety Assessment Tool*
- 24. SMS-QMS integration guidance*
- 25. Updated GAQs, including main text references*
- 26. Safety performance measurement through SPI target and alert settings*



## SMM 3<sup>rd</sup> Edition – *Your Feedback*

So, out of these 26 items, what would you consider as the most pertinent guidance material in this SMM 3<sup>rd</sup> edition? (in relation to SSP/ SMS implementation)

# SMM 3<sup>rd</sup> Edition



Q & A