

ICAO STANDARDS AND RECOMMENDED PRACTICES - SARPs

The Convention is supported by eighteen annexes containing standards and recommended practices (SARPs). The annexes are amended regularly by ICAO and are as follows:

- * Annex 1 - Personnel Licensing
- * Annex 2 - Rules of the Air
- * Annex 3 - Meteorological Service for International Air Navigation
 - Vol I Core SARPs
 - Vol II Appendices and Attachments
- * Annex 4 - Aeronautical Charts
- * Annex 5 - Units of Measurement to be used in Air and Ground Operations
- * Annex 6 - Operation of Aircraft
 - Part I - International Commercial Air Transport - Aeroplanes
 - Part II - International General Aviation - Aeroplanes
 - Part III - International Operations - Helicopters
- * Annex 7 - Aircraft Nationality and Registration Marks
- * Annex 8 - Airworthiness of Aircraft
- * Annex 9 - Facilitation
- * Annex 10 - Aeronautical Telecommunications
 - Vol I Radio Navigation Aids
 - Vol II Communication Procedures including those with PANS status
 - Vol III Communication Systems
 - Part I Digital Data Communication Systems
 - Part II Voice Communication Systems
 - Vol IV Surveillance Radar and Collision Avoidance Systems
 - Vol V Aeronautical Radio Frequency Spectrum Utilization
- * Annex 11 - Air Traffic Services - Air Traffic Control Service, Flight Information Service and Alerting Service
- * Annex 12 - Search and Rescue
- * Annex 13 - Aircraft Accident and Incident Investigation
- * Annex 14 - Aerodromes
 - Vol I Aerodrome Design and Operations
 - Vol II Heliports
- * Annex 15 - Aeronautical Information Services
- * Annex 16 - Environmental Protection
 - Vol I Aircraft Noise
 - Vol II Aircraft Engine Emissions
- * Annex 17 - Security: Safeguarding International Civil Aviation Against Acts of Unlawful Interference
- * Annex 18 - The Safe Transport of Dangerous Goods by Air

* Future ICAO Requirements

USA Compliance: Annex 6, 11, 13, 14: Expected: 19 November 2009
Annex 1, 8: Expected: 18 November 2010

ICAO SARPS – SMS REQUIREMENTS

DEFINITIONS:

ICAO International Civil Aviation Organization
SARPs Standards and Recommended Practices
SMS Safety Management System: A systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.

Safety Programme: An integrated set of regulations and activities aimed at improving safety.

ICAO SMS MINIMUM REQUIREMENTS:

1. Identify safety hazards;
2. Ensure that remedial action necessary to maintain an acceptable level of safety is implemented;
3. Provide for continuous monitoring and regular assessment of the safety level achieved;
4. Aim to make continuous improvement to the overall level of safety.

In November 2006, the International Civil Aviation Organization (ICAO) amended Annex 14, Volume I (Airport Design and Operations) to require member states to have certificated international airports establish a Safety Management System (SMS). In February 2007, the FAA released Advisory Circular 150/5200-37 which begins the process of introducing SMS into the U.S. airport community. The FAA intends to propose new rules to Part 139 in 2009. FAA's plan for the future, NGATS (Next Generation Air Transportation System), requires SMS as an integral component. The FAA has worked closely with ICAO in developing SMS - evidenced through various ICAO and U.S. FAA documentation. 7 December 2007, ICAO – State Letter AN12/51-07/74 – sent out a proposal for the amendment of Annex 1, 6 (Parts I and III), 8, 11, 13 and 14 (Vol. 1) to harmonize and extend provisions relating to safety management included extending the date for SMS implementation to 19 November 2009. The Commission envisages a separate applicability date of 18 November 2010 for the proposed provisions in Annex 1 and Annex 8.

ICAO ANNEX 6

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| <p>3.2 Safety management</p> <p>3.2.1 States shall establish a safety programme, in order to achieve an acceptable level of safety in the operation of aircraft.</p> <p>3.2.2 The acceptable level of safety to be achieved shall be established by the State(s) concerned. Note: Guidance on safety programmes is contained in the ICAO Safety Management Manual (Doc 9859) and the definition of acceptable levels of safety in Attachment E to Annex 11.</p> <p>3.2.4 From 1 January 2009 19 November 2009 States shall require as part of their safety programme, that an operator implements a safety management system acceptable to the State of the Operator that, as a minimum: a) identifies safety hazards; b) ensures that remedial action necessary to maintain an acceptable level of safety is implemented; c) provides for continuous monitoring and regular assessment of the safety level achieved; and d) aims to make continuous improvement to the overall level of safety.</p> <p>3.2.5 A safety management system shall clearly define lines of safety accountability throughout the operator's organization, including a direct accountability for safety on the part of senior management.</p> | <p>3.2.7 An operator of an aeroplane of a maximum certificated take-off mass in excess of 27000 kg shall establish and maintain a flight data analysis programme as part of its safety management system. Note: An operator may contract the operation of a flight data analysis programme to another party while retaining overall responsibility for the maintenance of such a programme.</p> <p>3.2.8 A flight data analysis programme shall be non-punitive and contain adequate safeguards to protect the source(s) of the data. <i>Note 1: Guidance on flight data analysis programmes is contained in the ICAO Safety Management Manual (Doc 9859). Note 2: Legal guidance for the protection of information from safety data collection and processing systems is contained in Annex 13, Attachment E.</i></p> <p>3.2.9 An operator shall establish a flight safety documents system, for the use and guidance of operational personnel as part of its safety management system <i>Note: Guidance on the development and organization of a flight safety documents system is provided in Attachment H.</i></p> |
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ICAO ANNEX 6 – PART I - MAINTENANCE

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| <p>8.7.3.1 States shall establish a safety programme, in order to achieve an acceptable level of safety in the maintenance of aircraft.</p> <p>8.7.3.2 The acceptable level of safety to be achieved shall be established by the State(s) concerned. Note: Guidance on safety programmes and on defining acceptable levels of safety is contained in Attachment E to Annex 11 and in the ICAO Safety Management Manual (Doc 9859).</p> <p>8.7.3.4 From 1 January 2009 19 November 2009, States shall require, as part of their safety programme, that a maintenance organization implements a safety management system acceptable to the State that, as a minimum: a) identifies safety hazards; b) ensures that remedial action necessary to maintain an acceptable level of safety is implemented; c) provides for continuous monitoring and regular assessment of the safety level achieved; and d) aims to make continuous improvement to the overall level of safety.</p> | <p>8.7.3.5 A safety management system shall clearly define lines of safety accountability throughout a maintenance organization, including a direct accountability for safety on the part of senior management.</p> <p>8.7.4.1 The maintenance organization shall establish procedures, acceptable to the State granting the approval, which ensure good maintenance practices and compliance with all relevant requirements of this chapter.</p> <p>8.7.4.2 The maintenance organization shall ensure compliance with 8.7.4.1 by either establishing an independent quality assurance system to monitor compliance with and adequacy of the procedures, or by providing a system of inspection to ensure that all maintenance is properly performed.</p> |
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ICAO ANNEX 11 – ATS (& AIRPORTS 2.26.1 - 2.26.4)

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| 2.26.1 States shall implement systematic and appropriate ATS safety management programmes to ensure that safety is maintained in the provision of ATS within airspaces and at aerodromes. | 2.26.5 Any significant safety-related change to the ATC system, including the implementation of a reduced separation minimum or a new procedure, shall only be effected after a safety assessment has demonstrated that an acceptable level of safety will be met and users have been consulted. |
| 2.26.2 States shall establish the acceptable level of safety and safety objectives applicable to the provision of ATS within their airspace and at their aerodromes. | |
| 2.26.4 States shall identify actual and potential hazards and determine the need for remedial action, ensure that remedial action necessary to maintain an acceptable level of safety is implemented, and provide for continuous monitoring and regular assessment of the safety level achieved. | Additional ICAO guidance on the intended scope and management of SMS is located in ICAO PANS-ATM Doc. 4444 Chapter 2. |

ICAO ANNEX 14 - AERODROMES

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| 1.4.1 As of 27 November 2003 , November 23, 2006, States shall certify aerodromes used for international operations in accordance with the specifications contained in this Annex as well as other relevant ICAO specifications through an appropriate regulatory framework. | 1.5.2 The acceptable level(s) of safety to be achieved shall be established by the State(s) concerned. <i>Note. Guidance on safety programmes and on defining acceptable levels of safety is contained in Attachment E to Annex 11 and in the Safety Management Manual (SMM) (Doc 9859).</i> |
| 1.4.2 Recommendation - States should certify aerodromes open to public use in accordance with these specifications as well as other relevant ICAO specifications through an appropriate regulatory framework. | 1.5.3 States shall require, as part of their safety programme, that a certified aerodrome operator implements a safety management system acceptable to the State that, as a minimum: a) identifies safety hazards; b) ensures that remedial action necessary to maintain an acceptable level of safety is implemented; c) provides for continuous monitoring and regular assessment of the safety level achieved; and d) aims to make continuous improvement to the overall level of safety. |
| 1.4.3 The regulatory framework shall include the establishment of criteria for the certification of aerodromes. | |
| 1.4.4 As part of the certification process, States shall ensure that an aerodrome manual which will include all pertinent information on the aerodrome site, facilities, services, equipment, operating procedures, organization and management including a safety management system, is submitted by the applicant for approval/acceptance prior to granting the aerodrome certificate. <i>Note. The intent of a safety management system is to have in place an organized and orderly approach in the management of aerodrome safety by the aerodrome operator.</i> | 1.5.4 A safety management system shall clearly define lines of safety accountability throughout a certified aerodrome operator, including a direct accountability for safety on the part of senior management. <i>Note. Guidance on safety management systems is contained in the Safety Management Manual (SMM) (Doc 9859), and in the Manual on Certification of Aerodromes (Doc 9774).</i> |
| 1.5.1 States shall establish a safety programme in order to achieve an acceptable level of safety in aerodrome operations. | |