



WORKING PAPER

**SECOND HIGH-LEVEL SAFETY CONFERENCE 2015 (HLSC 2015)
PLANNING FOR GLOBAL AVIATION SAFETY IMPROVEMENT**

Montréal, 2 to 5 February 2015

Theme 1: Reviewing the current situation

Topic 1.1: Achievements and remaining work

**ACKNOWLEDGING PROGRESS ACHIEVED ON THE RECOMMENDATIONS
OF THE HLSC 2010 AND STATUS OF GLOBAL AVIATION SAFETY PLAN (GASP)
OBJECTIVES**

(Presented by the ICAO Secretariat)

SUMMARY

This working paper presents a report on the progress made by ICAO on the recommendations of the first HLSC 2010 and the status of the implementation of the current Global Aviation Safety Plan (GASP) objectives.

Action: The conference is invited to note the:

- a) actions taken by ICAO on recommendations of HLSC 2010;
- b) status of implementation of GASP objectives; and
- c) current status as background for further discussions during the conference.

1. INTRODUCTION

1.1 The High-level Safety Conference 2010 (HLSC 2010) (29 March – 1 April 2010) in Montréal was attended by 551 participants from 117 Member States and observers representing thirty-two international organizations.

1.2 The conference was called by the ICAO Council with the purpose of building consensus and obtaining commitments from stakeholders on foundations of global aviation safety, including a proactive approach to safety management.

1.3 The HLSC 2010 resulted in forty-eight recommendations (numbered and outlined in Appendix A, first and second columns) deemed necessary for the effective and efficient implementation of a proactive approach to management of aviation safety risks and the achievement of key safety objectives.

1.4 The HLSC 2010 recommendations contributed to the evolution of the GASP and have built the foundation of a significant revision. The latest revision of the GASP (*2014-2016 Global Aviation*

Safety Plan, Doc 10004) was endorsed by the 38th Session of the Assembly and published in 2013. The major changes in the GASP were driven by its strengthened role as a high-level policy, planning and implementation document. The GASP, in conjunction with the ICAO *Global Air Navigation Plan* (GANP, Doc 9750), forms the global strategic directions for safety and air navigation, allowing States and aviation stakeholders to anticipate and efficiently manage air traffic growth while proactively maintaining or increasing safety.

1.5 The GASP sets out target dates for the implementation of its safety objectives over the next fifteen years. The near-term GASP objectives to be achieved by 2017 reflect current differences in the level of maturity of States' safety oversight systems. Member States are to ensure that they have the resources as well as the legal, regulatory and organizational structures necessary to fulfil their fundamental safety oversight obligations. Meanwhile, States that have mature safety oversight systems are required to focus on continued implementation of safety management. The mid-term GASP objective to be achieved by 2022 is for all States to fully implement the components of the State Safety Programme (SSP). The long-term GASP objective, with a target date of 2027, calls for all States to implement predictive risk control capabilities required to support future aviation and air navigation systems.

2. PROGRESS ON THE HLSC 2010 RECOMMENDATIONS

2.1 Following the HLSC 2010, the ICAO Council requested the Air Navigation Commission (ANC) to develop proposals for action on recommendations of the conference for its consideration.

2.2 The ICAO Council reviewed the proposal for action (outlined in C-WP/13554) in its 190th Session and, on 28 May 2010, agreed on the course of action to be taken to implement the recommendations of the conference, as outlined in Appendix A (third column).

2.3 Over the course of the last five years, ICAO has addressed each proposed action item as recommended by the HLSC 2010 and approved by the ICAO Council. The progress achieved on each HLSC 2010 recommendation and the current status are outlined in Appendix A (fourth and fifth columns). Of the forty-eight recommendations of the HLSC 2010, thirty-three have been completed, and fifteen are on-going.

2.4 For the recommendations directed at Member States, it is difficult to have a precise report of States' progress. The status of such recommendations is reported based on information available to ICAO.

2.5 ICAO continues to make progress on the remaining action items, resource constraints permitting. ICAO continuously reassesses implementation priorities to ensure the most effective use of available resources, including partnerships with ICAO Member States, international organizations and industry.

3. PROGRESS ON GASP OBJECTIVES

3.1 The first near-term GASP objective is for States lacking fundamental safety oversight capabilities to achieve a Universal Safety Oversight Audit Programme (USOAP) effective implementation (EI) rate above 60 per cent. The second near-term GASP objective is for States that are currently above the 60 per cent EI rate to focus their resources on fully implementing the SSP. Appendix B highlights States that fall into this category. The target date for this objective is 2017.

3.2 The ICAO USOAP provides a continuous report of States' effective implementation. New USOAP protocol questions (PQs) specific to SSP requirements, applicable as of November 2014, will also provide the specific metrics needed to measure States' status and progress on implementing the SSP.

3.3 With the aim of supporting a regional framework for the improvement of safety, the ICAO Council in its 190th Session held on 25 May 2010, approved the establishment of RASGs. Participation in RASG meetings is open to States as members and to industry as observers, including aircraft operators, international organizations, maintenance and repair organizations, regional organizations, training organizations, aircraft manufactures, airport and air navigation service providers and any other allied organizations and representatives.

3.4 To support and facilitate the implementation of the GASP, the Regional Aviation Safety Groups (RASGs) have been assigned to regularly review and monitor the progress made in the GASP objectives at the regional level. RASGs also ensure coordination and collaboration among States and stakeholders.

3.5 The RASGs are expected to build on the work already done by existing sub-regional organizations and will facilitate the exchange of best practices, cooperation and collaboration to enhance aviation safety worldwide. The RASGs also provide a formal reporting channel, allowing ICAO to monitor the worldwide implementation of the GASP.

4. CONCLUSIONS

4.1 ICAO has addressed the majority of the HLSC 2010 recommendations and, based on these recommendations, has also established the new GASP with clear objectives, target dates for the next fifteen years and metrics for monitoring them. The RASGs have a critical role in facilitating the achievement of these objectives and related target dates.

APPENDIX A

**PROGRESS REPORT AND STATUS OF IMPLEMENTATION
ON THE RECOMMENDATIONS OF THE HLSC 2010**

The table below shows the recommendations of HLSC 2010, action items that the ICAO Council agreed to and the progress achieved in implementing each proposed action.

REC No.	RECOMMENDATIONS ADOPTED BY HLSC 2010 (29 March to 1 April 2010)	ICAO COUNCIL'S AGREEMENT ON ACTIONS TO BE TAKEN (C 190/6, 28 May 2010)	PROGRESS MADE BY ICAO (2010 – August 2014)	STATUS
Topic 1.1: The ICAO safety framework				
1	<p>a) <i>Aviation safety:</i></p> <p>1) Further improvement of aviation safety and the reduction of the number of accidents, fatal accidents and fatalities should continue to be an objective of the highest priority for ICAO, and that States support the ICAO safety framework based on sound safety management principles and processes;</p>	<p>Agreed with the recommendation and requested that the recommendation:</p> <ul style="list-style-type: none"> • be incorporated in the Assembly resolution on GASP; • be taken into account when establishing priorities for the budget and work programme of the next triennium. <p><i>Actions were taken.</i></p>	<p>ICAO published the new edition of GASP (2014-2016 <i>Global Aviation Safety Plan</i>, Doc 10004) in 2013. It sets out a continuous improvement strategy and objectives for States to implement by 2017 (near-term), 2022 (mid-term) and 2027 (long-term).</p> <p>The budget for the 2014 – 2016 triennium was approved by the 38th Session of the Assembly. The strategic objective of safety and the associated work programme were given priority and a proportion of the triennium budget was allocated to them accordingly.</p>	Complete
2	<p>2) States should support the ICAO framework based on sound safety management principles and processes by providing safety information and support as required; and</p>	<p>Agreed with the recommendation and requested the Secretary General to forward the recommendation to States.</p> <p><i>Action was taken.</i></p>	<p>ICAO issued a State letter in August 2010 (State letter AN 12/53.1-10/56) to notify States of this and other HLSC 2010 recommendations requiring their attention and/or action.</p>	Complete

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3	3) responding to a moral need, ICAO should ensure enhanced transparency of civil aviation safety information to the travelling public.	<p>Agreed with the recommendation and requested that the recommendation be incorporated in the Assembly resolution on GASP.</p> <p><i>Action was taken.</i></p>	<p>ICAO has recognized the need to maintain the public's confidence in air transport by providing access to relevant safety information. Hence, the ICAO public website has been enhanced to provide regional performance dashboards (http://www.icao.int/safety/Pages/Regional-Targets.aspx) and an application allowing users to build a country color-coded map (http://www.icao.int/safety/Pages/Map-Builder.aspx) using metrics available in the ICAO metrics catalogue (http://www.icao.int/safety/Pages/METRICS-CATALOGUE.aspx). The public website also provides results of Universal Safety Oversight Audit Programme (USOAP) activities (http://www.icao.int/safety/Pages/USOAP-Results.aspx), including information on significant safety concerns (SSCs).</p>	Complete
4	<p>b) <i>Business aviation:</i></p> <p>1) ICAO should incorporate business aviation safety information into its safety framework and work with IBAC and other interested parties to that effect.</p>	<p>Agreed with the recommendation and requested that the Secretary General work with IBAC and other accredited observers to assess how business aviation safety information can best be integrated into the ICAO safety framework.</p>	<p>ICAO and the International Business Aviation Council (IBAC) have identified safety information related to business aviation that needs to be incorporated in the ICAO safety framework.</p> <p>This is an on-going joint effort as ICAO and IBAC continue to identify other safety data that can be provided by business aviation operators.</p>	On-going

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Topic 1.2: The evolution of the safety oversight audit process by ICAO				
5	a) States should commit to supporting the CMA, particularly during the transition period, by providing ICAO with relevant safety information;	Agreed with the recommendation and requested the Secretary General to prepare an electronic bulletin providing the information requested under HLSC Conclusion 1.2 (g). <i>Action was taken.</i>	ICAO issued two electronic bulletins and a State letter (EB 2010/37 and EB 2010/42 in 2010 and State letter AN 19/42-11/47 in 2011) to provide States with information on the transition to the USOAP CMA. A total of 185 States have committed to supporting the CMA by signing the USOAP CMA Memorandum of Understanding (MOU). Remaining States that have yet to sign the MOU have indicated their full commitment to the USOAP CMA and are working with their governments to sign the MOU.	Complete
6	b) the Council of ICAO should monitor the progress made during the transition period and adjust its duration as required. The Council should report to the 37th and 38th Sessions of the ICAO Assembly on progress made in transitioning to the CMA; and	Agreed with the recommendation and requested the Secretary General to prepare for Council approval a report to the 37th (2010) and 38th (2013) Assembly on the CMA and transition plan. <i>Action was taken.</i>	The two-year transition to USOAP CMA (2011-2012) was completed on schedule by the end of 2012. The programme was fully launched on 1 January 2013, as scheduled and approved by the Council during its 197th Session in November 2012 and endorsed by the 38th Session of the Assembly in 2013. All envisaged USOAP CMA activities, including audits, ICAO Coordinated Validation Missions (ICVMs) and Mandatory Information Requests (MIRs) are now being fully conducted based on defined criteria for selection and prioritization of States. A new type of activity, off-site validation, has also been implemented, allowing continuous monitoring by ICAO without an on-site visit to the State.	Complete

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7	<p>c) ICAO should enter into new agreements and amend existing agreements for the sharing of confidential safety information with international entities and organizations in order to reduce the burden on States caused by repetitive audits or inspections and to decrease the systematic duplication of monitoring activities.</p>	<p>Agreed with the recommendation and requested the Secretary General to assess how the Declaration of Intent on the sharing of information signed by several parties during the conference could be extended to other parties willing and able to provide and share safety information.</p> <p><i>Action was taken.</i></p>	<p>New agreements and amendments to existing agreements have been concluded between ICAO and a number of international entities to further share safety information with the aim of enhancing the coordination and cooperation of safety monitoring activities. These organizations include:</p> <ul style="list-style-type: none"> • European Commission (EC) • European Aviation Safety Agency (EASA) • Interstate Aviation Committee (IAC or MAK) • International Air Transport Association (IATA) • Airport Council International (ACI) • Civil Air Navigation Services Organisation (CANSO) • Flight Safety Foundation (FSF) <p>Additional draft agreements are currently being considered with regional safety oversight organizations (RSOOs) for the purpose of mutually agreeing on mechanisms and procedures required for cooperation and joint activities between parties as related to USOAP CMA.</p>	Complete

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Topic 2.1: Managing the transition to the implementation of a State Safety Programme (SSP) environment				
8	<p>a) <i>Managing the transition to an SSP environment:</i></p> <p>1) States should undertake the necessary legal and structural adjustments required to manage a phased transition to the implementation of SSP with the integration of safety data management activities and risk reduction strategies;</p>	<p>Agreed with the recommendation and requested the Secretary General to forward the recommendation to States.</p> <p><i>Action was taken.</i></p>	<p>The adoption of Annex 19 — <i>Safety Management</i> on 25 February 2013 provided an opportunity to reiterate to States the importance of implementing a safety management approach.</p> <p>ICAO has also reinforced this requirement through the endorsement of GASP 2014-2016 and through the 38th Session of the Assembly (2013). In addition, ICAO has encouraged States to complete the SSP gap analysis tool on iSTARS, as well as conduct a self-assessment on the latest USOAP CMA protocol questions (PQs) related to safety management provisions.</p>	Complete
9	<p>2) ICAO should work with States and regions in developing a common methodology for the development of Safety Performance Indicators (SPIs); and</p>	<p>Agreed with the recommendation and noted the ANC decision to establish a study group for that purpose.</p>	<p>The Safety Information EXchange study group (SIXSG), a joint ICAO-State-industry study group, was established in May 2012. Initial work has shown that safety performance measurement is a complex issue, on which various practices exist and that will take time to mature. Coordination with other expert groups dealing with this subject, including the Safety Management International Collaboration Group (SMICG), is on-going.</p> <p>Refer to HLSC/15-IP/1, “Safety data, performance metrics and indicators”, for further information on this issue.</p>	On-going
10	<p>3) ICAO should assist States in the implementation of State Safety Programmes through the development of additional guidance</p>	<p>Agreed with the recommendation and requested the Secretary General to incorporate relevant activities in the Business Plan.</p>	<p>The third edition of ICAO Doc 9859, <i>Safety Management Manual (SMM)</i> was published on 8 May 2013. It is available in all ICAO languages. This new edition includes detailed guidance and tools to</p>	

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	material, facilitating the sharing of experiences and other appropriate means.		<p>facilitate implementation of SSP and SMS by States and service providers. Its contents have been restructured according to the SSP and SMS framework and in line with Annex 19. ICAO has developed a roll-out plan to promote the implementation of safety management Standards and Recommended Practices (SARPs) in conjunction with the adoption of Annex 19 and in support of the objectives outlined in the GASP. The ICAO Safety Management website, http://www.icao.int/safety/SafetyManagement/Pages/default.aspx, has been updated to provide information on the implementation of Annex 19 and will be updated regularly with new developments. The ICAO safety management training has been updated to reflect the latest safety management developments and consists of a blended learning approach, combining computer-based training and hands-on classroom activities. It is available as of January 2015.</p> <p>The regional aviation safety groups (RASGs) have been invited to identify activities and required resources to support ICAO's roll-out plan and the effective and continuing implementation of SMS and SSP provisions. The RASGs will also be responsible for gathering feedback regarding the implementation of SSPs by the States in their region which is essential to guide the future development of safety management provisions.</p>	On-going
Topic 2.2: The relationship between SSP and Continuous Monitoring Approach (CMA)				
11	a) ICAO should develop a methodology for safety performance measurement,	Covered by the action on recommendation 2.1 (a) (2).	The same as outcomes of Recommendation 2.1 (a) (2).	On-going

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	including key safety performance indicators that can facilitate the exchange of safety information among States, service providers and ICAO. The safety data gathered through the application of this methodology could also be used to support the CMA; and		Refer to HLSC/15-IP/1, "Safety data, performance metrics and indicators", for further information on this issue.	
12	b) ICAO should continue to participate in the Safety Management International Collaboration Group, and evaluate the safety measurement matrix proposed in WP/37 as an appropriate framework to be used to define safety performance indicators.	Agreed with the recommendation and requested the Secretary General to take appropriate action.		On-going
Topic 2.3: Sharing of safety information				
13	<p>a) <i>Sharing of safety information:</i></p> <p>1) ICAO should develop a code of conduct on the sharing of safety information, which will state that such information is to be used in a fair and consistent manner, solely to improve aviation safety, and not for inappropriate purposes including for the purpose of gaining economic advantage;</p>	<p>Agreed with this recommendation and requested that the ANC prepare a set of high-level principles on the sharing and use of safety information in a form of an Assembly Resolution to be presented at the 37th (2010) Session of the Assembly and which would constitute the Code of Conduct.</p> <p><i>Action was taken.</i></p>	<p>The Code of Conduct on the Sharing and Use of Safety Information was approved by Council on 15 June 2011. It is based on a set of high-level principles provided by the 37th Session of the Assembly (2010). The Code of Conduct promotes a consistent, fact-based and transparent approach in sharing of various types of safety-related information so that such information is used solely to improve safety. It has been incorporated in GASP 2014-2016 as an ICAO policy that States are encouraged to follow.</p> <p>The Code of Conduct was disseminated to all ICAO Member States and other interested parties through an Electronic Bulletin (EB 2011/41) in September 2011.</p>	Complete

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14	2) ICAO should convene a group of experts to determine harmonized safety metrics, associated data requirements and processes to enable integrated safety analyses and to ensure consistent development of related safety measures; and	Covered by the actions on Recommendation 2.1 (2).	The same as outcomes of Recommendation 2.1 (a) (2). Refer to HLSC/15-IP/1, "Safety Data, Performance Metrics and Indicators", and HLSC/15-WP/5, "Evolving safety analysis to support global aviation safety strategies", for further information on this issue.	On-going
15	3) ICAO should facilitate the integration of safety data and information from various sources as well as the dissemination of related analysis output, with the objective to ensure that such information is disseminated for appropriate purposes.	Agreed with the recommendation. <i>Action was taken.</i>	The Integrated Safety Trend Analysis and Reporting System, iSTARS, fully operational since 2009, has undergone continuous improvement and evolution since its initial launch. In 2013, version 2.0 of iSTARS called SPACE was released through the ICAO Secure Portal website (http://portal.icao.int – group name SPACE). It offers users with controlled access to a choice of safety-related applications from its catalogue. The system integrates various data from reliable sources, including accident data, traffic data, USOAP audit results and data related to aviation infrastructure.	Complete
16	b) <i>Transparency</i> : 1) ICAO should develop criteria for the sharing of SSCs with interested stakeholders and assess how the information on SSCs could be shared with the public in a form which would allow them to make an informed decision about the safety of air transportation;	Agreed with the recommendation and requested the Secretary General to present a proposal on the subject to the Council during its 192nd Session (1st qtr. 2011). <i>Action was taken.</i>	All unresolved SSCs are shared with ICAO Member States. Furthermore, a process for sharing unresolved SSCs with the public was approved by the Council (C-DEC 197/4) and endorsed by the 38th Session of the Assembly (A38-WP/410). Unresolved SSCs are now being posted on the ICAO public site as of January 2014.	Complete

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17	2) ICAO should collaborate in the identification of financial and technical support for Member States with unresolved SSCs, or whose safety performance is shown to be at an unacceptable level and/or deteriorating rapidly where the political willingness exists to improve State safety oversight functions; and	<p>Agreed with the recommendation and requested the Secretary General to report on the actions taken.</p> <p><i>Action was taken.</i></p>	<ul style="list-style-type: none"> • SAFE Fund (Safety Fund) <ul style="list-style-type: none"> - The SAFE Fund was established in 2010 to mobilize funds for providing technical assistance. - As of August 2014, a total of CAD 3 690 000 in voluntary contributions have been received (both earmarked and unearmarked). - Approximately ten assistance projects have been and/or are to be funded by the SAFE. • ICAO Plans of Action <ul style="list-style-type: none"> - ICAO has developed prioritized action plans for States to resolve major safety deficiencies. - To date, twenty-nine Plans of Action have been accepted by States and are being implemented, resulting in a positive impact on aviation safety particularly in Africa. • Monitoring and Assistance Review Board (MARB) <ul style="list-style-type: none"> - The MARB evolved from the Audit Results Review Board (ARRB) in 2012. It is a mechanism for ICAO to monitor the progress made by States in resolving their safety deficiencies and to identify required assistance. - ICAO officials participate in MARB meetings in order to take necessary actions. • Several State letters have been issued since 2010 encouraging the implementation of corrective action plans generated as a result of ICAO USOAP audits. <p>Refer to Topic 3.1 of HLSC 2015, “Effective and Efficient Regional Collaboration” for further information on this issue.</p>	Complete

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18	3) ICAO should develop a framework for the use of safety information to include clearly identified expected actions for both ICAO and Member States.	Agreed with the recommendation and requested the Secretary General to develop the associated framework. <i>Action was taken.</i>	The framework was approved as the Code of Conduct for the Sharing and Use of Safety Information. The same as outcomes of Recommendation 2.3 (a) (1).	Complete
Topic 2.4: The protection of sources of safety information				
19	a) That ICAO establishes a multidisciplinary group to progress activities regarding the protection of safety data and safety information with the view to ensure the availability of safety information required for the management of safety;	Agreed with the recommendation and noted the decision by the Air Navigation Commission (ANC) to establish the multidisciplinary taskforce during the 185th Session (4th qtr. 2010) of the ANC.	The Safety Information Protection Task Force (SIP TF) was established in 2010 with the purpose of providing recommendations for new and/or enhanced provisions and guidance material related to the protection of safety information.	On-going
20	b) States and international organizations should support the multidisciplinary group; and		The SIP TF developed recommendations for amendments to Annex 6 — <i>Operation of Aircraft</i> , Annex 13 — <i>Aircraft Accident and Incident Investigation</i> and Annex 19 – <i>Safety Management</i> , addressing various issues associated with the legal	On-going

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21	<p>c) when establishing the terms of reference for the group, ICAO should take into account the ideas developed in the working papers on this item and should consider:</p> <ol style="list-style-type: none"> 1) protection of safety data in support of SSP and SMS other than those related to accidents and incidents records; 2) protection of certain accident and incident records; and 3) interactions between safety and judicial authorities and the concept of open reporting culture. 		<p>protection of safety information.</p> <p>The ANC, during its 196th Session in June 2014, reviewed amendment proposals and authorized the transmission of these proposals to Member States and appropriate international organizations for comments. The proposed amendments to Annexes 6, 13 and 19 are anticipated to be put forward for adoption by the Council in June 2015 and are envisaged for applicability on 10 November 2016.</p> <p>The ANC also agreed that the amendments for safety information protection be forwarded to the Safety Management Panel (SMP) with any input received to be considered during the final review.</p> <p>The amendment proposals are also complementary to the work of the Group of Experts on Protection of Accident and Incident Records, which is assisting in the development of proposals for provisions to strengthen the protection of accident and incident records in Annex 13 as well as the use of data, voice and image recordings in Annex 6. The proposed amendments are envisaged to be adopted by the Council in February 2016, with applicability date on 10 November 2016.</p> <p>Refer to HLSC/15-WP/4, “Balancing the use and protection of safety information”, for further information on this issue.</p>	Complete

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22	d) States should follow the safety recommendations issued by their accident and incident investigation authorities, ask for the action to be taken, evaluate their effectiveness and record their results.	Agreed with the recommendation and requested the Secretary General to forward the recommendation to States. <i>Action was taken.</i>	ICAO issued a State letter in August 2010 (State letter AN 12/53.1-10/56) to notify States of this and other HLSC 2010 recommendations requiring their attention and/or action.	Complete
Topic 2.5: Implementing new safety management process				
23	a) <i>Safety management:</i> 1) ICAO should develop, in close collaboration with States, international and national organizations, a new Annex dedicated to safety management responsibilities and processes which would address the safety management responsibilities of States framed under the State Safety Programme (SSP); and	Agreed with the recommendation to develop a new safety management Annex and requested the Secretariat to present a draft to the ANC during its 186th Session (1st qtr. 2011) for initial review. <i>Action was taken.</i>	Annex 19 — <i>Safety Management</i> was adopted by the ICAO Council on 25 February 2013. It became effective on 15 July 2013 and applicable on 14 November 2013. Annex 19 consolidates the existing and overarching SARPs, previously contained in six different Annexes, into a single Annex and highlights State safety management responsibilities. The Annex includes provisions for the establishment of safety information sharing networks to facilitate the free exchange of information on actual and potential safety deficiencies.	Complete
24	2) the new safety management Annex should facilitate the provision of State and air carrier safety information to the travelling public in addition to specifying the high-level safety responsibilities of States.			

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25	<p>b) <i>SARPs and PANS development:</i></p> <p>1) ICAO should develop a methodology for impact assessment to be used when proposing new SARPs or new PANS; and</p>			Complete
26	<p>2) ICAO should ensure wide dissemination of available contextual information associated with the development of SARPs and PANS using already existing tools and platforms.</p>	<p>Agreed in principle with the recommendation and requested that the ANC, with the assistance of the Secretariat, present a feasibility study on how to implement the recommendation during the 192nd Session (1st qtr. 2011) of the Council.</p> <p><i>Action was taken.</i></p>	<p>ICAO has developed an impact assessment form for use by panels and study groups and will complete and submit this form whenever it proposes SARPs to the ANC.</p> <p>ICAO has also developed “Implementation Kits (iKits)” that provide a compendium of information associated with SARPs and PANS that support their effective implementation. iKITS have been released for PBN, safety management, Block 0, and several other priorities. In the future, iKITS will be the primary method for rolling out all major ICAO deliverables associated with SARPs and PANS.</p>	Complete

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Topic 3.1: Harmonization of rules and processes to address other safety issues				
27	<p>a) <i>State and industry access to information and assistance, transparency and sharing of information:</i></p> <p>1) That all Contracting States and concerned stakeholders should cooperate to share sufficient information to properly manage the recognition process of Air Operator Certificates (AOC), Approved Maintenance Organizations (AMO) and Approved Training Organizations (ATO). Contracting States and all civil aviation stakeholders need sufficiently detailed information in order to maintain mutual trust.</p>	<p>Agreed in principle with the recommendation and requested that the Secretariat propose a course of action to the ANC during its 185th Session (4th qtr. 2010).</p> <p><i>Action was taken.</i></p>	<p>The AOC registry is operational and its application is being upgraded constantly based on experience. Roll-out workshops are being conducted around the world with Lima, Paris and Beijing completed and Johannesburg, Singapore, Mexico City and Dubai planned by end of 2014 or early 2015.</p> <p>Guidance on the approval of ATOs, ICAO Doc 9841, <i>Manual on the Approval of Training Organizations</i>, 2nd Edition, was rewritten and published in 2012, providing greater detail to facilitate the recognition of ATOs.</p> <p>ICAO Doc 9625, <i>Manual of Criteria for the Qualification of Flight Simulation Training Devices</i> has been updated. The new edition will be published by March 2015.</p> <p>Detailed study on the regulatory processes required to</p>	Complete

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28	<p>b) <i>Verification:</i></p> <p>1) That States verify that the requirements under which other States approve AMOs and ATOs, and conduct their surveillance responsibilities, are at least equal to applicable ICAO Standards before recognizing and/or validating AMOs and ATOs; and</p>	<p>Agreed in principle with the recommendation and requested that the Secretariat propose a course of action to the ANC during its 185th Session (4th qtr. 2010).</p>	<p>approve AMOs and a State survey (State letter AN 3/29-12/26 dated 25 May 2012) were completed.</p> <p>The Airworthiness Panel has progressed the task of preparing a proposal (delivery date December 2014) for the recognition of AMOs.</p>	On-going
29	<p>2) that guidance material should be developed in such a way as to permit joint regulatory audits by States.</p>			On-going
30	<p>c) <i>Approval, acceptance and recognition:</i></p> <p>1) That ICAO should establish groups of experts to develop the framework and conditions for the recognition of certificates, approvals or acceptance of AOCs, AMOs, ATOs, Safety Management Systems and products; and</p>			Complete
31	<p>2) that, in developing the Terms of Reference for the groups of experts, ICAO should take into account the ideas developed in the working papers presented under this topic and during the ensuing discussion.</p>			Complete

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Topic 3.2: Safety initiatives arising from recent accidents				
32	a) ICAO should pursue as a matter of high priority a review of SARPs and guidance material with the aim of ensuring that necessary data to support investigations of accidents and incidents are available to investigators, including provisions for the recovery of flight recorder data;	Agreed with the recommendation and noted the ANC decision to request the Flight Recorder Panel to provide an initial evaluation of the various options available to meet the intent of the recommendation during its June 2010 meeting.	<p>Requirement to determine the accident site location of large aeroplanes within 6 NM radius</p> <p>The initial proposal for the location of accident site was presented to the ANC in 2012 and its second revision in 2013. The ANC returned the proposal to the FLIREC Panel for further review.</p> <p>The third revision of the proposal by the FLIREC Panel for an Annex 6 amendment will be considered by the ANC during the 2015 winter session.</p>	On-going
33	b) ICAO should review with priority SARPs and guidance material to improve surveillance, flight monitoring and communications of aircraft operating in oceanic/remote areas and the provision of timely and adequate search and rescue services in areas of need;	<p>Agreed with the recommendation and noted the ANC decision to request OPLINKP and the Joint Working Group to provide initial evaluations of the various options available to meet the intent of the recommendation and report back to the ANC during its 186th Session (1st qtr. 2011).</p> <p><i>Action was taken.</i></p>	<p>Revised controller-pilot data link communications (CPDLC) log-on procedures and mandatory automatic dependent surveillance-contract (ADS-C) event contracts</p> <p>Amendments to Annex 10, Volume II and PANS-ATM are applicable as of November 2014. The changes deal with new pilot and ATC procedures to follow in case of CPDLC log-on failure, as well as the introduction of mandatory ADS-C deviation event contract to provide early warning to ATS when an aircraft deviates from its cleared route and level.</p> <p>Refer to HLSC/15-WP/2, “Supporting a concept of operations (CONOPS) to enhance global flight-tracking”, for further information on this issue.</p>	Complete

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34	c) ICAO should review with priority existing requirements on flight deck activities, checklist and standard operating procedure design with emphasis on critical phases of flight operations in order to assess, applying safety management principle, further actions to be taken;	Agreed with the recommendation and noted the ANC request to the Secretariat to conduct the review and report back to the ANC during its 185th Session (4th qtr. 2010).	<p>Flight deck activities including standard operating procedures and checklist usage</p> <p>This item has been included in the work programme of the FLTOPS Panel which is expected to present a recommendation on the subject in 2015.</p>	On-going
35	d) ICAO should urge States to take urgent action to address safety issues arising from accidents in particular those actions which can have an immediate safety benefit at a reasonable implementation cost. One example of such action may be the increase of the ULB battery life from 30 to 90 days;	<p>Agreed with the recommendation and requested the Secretary General to send a State letter on the subject.</p> <p><i>Action was taken.</i></p>	<p>State letter AN 12/53.1-10/56, dated 20 Aug 2010, was sent out to States.</p> <p>ULB (underwater locator beacon): extension of the battery operating life to 90 days</p> <p>Amendment to Annex 6, Part I became applicable on 15 November 2012 and required 90 days ULB to be installed at the “earliest practicable date but not later than 1 January 2018”. Amendments to Annex 6, Parts II and III are applicable as of 13 November 2014 and require 90 days ULBs to be installed at the “earliest practicable date but not later than 1 January 2018”.</p>	Complete

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36	e) ICAO should urge States, as a priority, to take all the necessary measures to utilize aircraft and ground stations available technology to enable permanent communication and surveillance over oceanic and remote areas, including modification of procedures for alerting key personnel; and	Agreed with the recommendation and requested the Secretary General to send a State letter on the subject. <i>Action was taken.</i>	A State letter on the subject will be issued in the 4th quarter of 2014 to encourage States to implement the PANS-ATM procedures, applicable as of November 2014, to improve permanent communication and surveillance. Refer to HLSC/15-WP/2, “Supporting a concept of operations (CONOPS) to enhance global flight-tracking”, for further information on this issue.	On-going
37	f) ICAO should provide updated information on the abovementioned subjects in a report to be presented at the 37th Session of the Assembly.	Agreed with the recommendation and requested the Secretary General to present directly to A37 a report on implementation of follow-up actions related to Recommendations 3.2 (a) to (e). <i>Action was taken.</i>	A37-WP/73, Report on the Implementation of the High-Level Safety Conference (HLSC) 2010 Recommendations on Topic 3.2 (Safety Initiatives Arising from Recent Accidents), was presented to the 37th Session of the Assembly.	Complete
Topic 3.3: Any other safety related topics				
38	a) <i>Regional safety oversight arrangements:</i> 1) States should support ICAO in efforts to foster the development and sustainability of Regional Safety Oversight Organizations (RSOOs);	Agreed with the recommendation and requested the Secretary General to send a State letter on the subject.	Additional guidance material to support the sustainability of RSOOs was developed and published in Amendment 1 (2013) to the 2nd edition of ICAO Doc 9734, <i>Safety Oversight Manual, Part B — The Establishment and Management of a Regional Safety Oversight Organization</i> (published in 2011).	Complete
39	2) States should participate and actively support RSOOs whenever possible;	<i>Action was taken.</i>	Assistance provided by ICAO to States includes: • global RSOO Symposium held in 2011; • support of RSOOs;	Complete

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			<ul style="list-style-type: none"> • support for COSCAPs to evolve into RSOOs; • support for RSOOs to consolidate and avoid duplication in terms of geographic coverage and technical scope; • letter issued encouraging States to have a single RSOO membership (State letter AN 20/8-IND/12/11 dated 15 August 2012); and • Tripartite agreement (MOU) in 2014 between COSCAP-UEMOA, the Agence de Supervision de la Sécurité Aérienne en Afrique Centrale (ASSA-AC) and the Autorités Africaines et Malgache de l'Aviation Civile (AAMAC) (State Letter AN 12/53.1-10/56, dated 20 August 2010). <p>Refer to Topic 3.1 of HLSC 2015, “Effective and Efficient Regional Collaboration”, for further information on this issue.</p>	
40	3) ICAO should explore the development of alternative solutions for situations where the development of RSOO is not possible; and	<p>Agreed with the recommendation and requested that the Secretary General to develop guidance on alternative solutions to RSOOs.</p> <p><i>Action was taken.</i></p>	<p>Additional guidance material was added to the second edition of ICAO Doc 9734, <i>Safety Oversight Manual</i>, Part B — <i>The Establishment and Management of a Regional Safety Oversight Organization</i>, published in 2011.</p> <p>The AFI-Cooperative Inspectorate Scheme (AFI-CIS) for sharing of inspectorate resources was launched in 2011.</p> <p>Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) are also in place.</p> <p>Refer to Topic 3.1 of HLSC 2015, “Effective and Efficient Regional Collaboration”, for further</p>	Complete

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			information on this issue.	
41	4) ICAO should update existing guidance material on Regional Safety Oversight Organizations in ICAO Doc 9734, <i>Safety Oversight Manual, Part B — The Establishment and Management of a Regional Safety Oversight Organization</i> , including guidance on the sustainable funding of RSOOs and their underlying business models.	Agreed with the recommendation and noted the planned availability of the new edition of Doc 9734, <i>Safety Oversight Manual, Part B — The Establishment and Management of a Regional Safety Oversight Organization</i> before the 37th Session of the Assembly (in English only initially). <i>Action was taken.</i>	The second edition of ICAO Doc 9734, <i>Safety Oversight Manual, Part B — The Establishment and Management of a Regional Safety Oversight Organization</i> was published in 2011. This new edition includes updated and expanded guidance on several aspects, including detailed guidance material on sustainable funding of RSOOs compatible with existing ICAO policy.	Complete
42	b) <i>The Next Generation of Aviation Professionals and harmonized training proposals:</i> 1) States should support the work of the Next Generation of Aviation Professionals (NGAP) Task Force including work on the enhancement of pilot training to meet the demand of new procedures and increasingly complex technologies.	Agreed with the recommendation and requested the Secretariat to send a State letter providing States with information on the NGAP programme and seeking their support.	In 2011 and 2013, there were a series of regional NGAP/TRAINAIR Plus Symposia held to raise awareness of the aviation community (training centres, CAAs, airlines, industry, etc.) about the impending shortage of aviation professionals. The ATM group of the NGAP Task Force completed the development of provisions related to competency-based training for air traffic controllers and air traffic safety electronics personnel. It is envisaged that these provisions will become applicable in November 2016. This group is also completing work on the development of two training manuals supporting these provisions (State letter AN 12/48-14/53 dated 25 August 2014). In 2013, the International Pilot Training Consortium was created as a partnership between ICAO, the Royal Aeronautical Society, IATA and IFALPA, in order to develop international agreement on a common set of pilot training, instruction and evaluation standards and	On-going

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			<p>processes for the benefit of the industry worldwide and that will lead to the development of ICAO provisions.</p> <p>Prior to the 2nd NGAP Symposium held in December 2014, a State letter was sent out in June 2014 in order to garner support from States, industry, educational institutions, etc. for NGAP initiatives (State letters AN 21/3-14/43 dated 6 June 2014 and AN 21/3-14/44 dated 5 June 2014).</p>	
43	<p>c) <i>Surrender, suspension and revocation of type certificates:</i></p> <p>1) ICAO should consider establishing a group of experts to facilitate the development of a process for assessing State of Design responsibilities when Types Certificates are suspended, surrendered or revoked.</p>	<p>Agreed with the recommendation and noted the ANC request to the Airworthiness Panel to assess whether SARPs are necessary additions to the newly published guidance material.</p>	<p>The Airworthiness Panel has progressed the task of assessing whether SARPs or additional guidance is required to clarify the State of Design and State of Registry responsibilities when a type certificate is suspended or revoked. The Airworthiness Panel is anticipated to deliver this in April 2015.</p>	On-going
44	<p>d) <i>Improving the safety of approach and landing operations:</i></p> <p>1) ICAO should continue its efforts to support the implementation of initiatives that can improve safety in all phases of flight, such as performance-based navigation or enhanced flight vision systems; and</p>	<p>Agreed with the recommendation and noted the ANC decision that the action would continue under the auspices of the PBN Task Force (PBN/RNP issues) and OPS Panel (other issues).</p> <p><i>Action was taken.</i></p>	<p>Since 2010, ICAO has produced new provisions to assist States with the implementation of PBN, ICAO Doc 9613, <i>Performance-based Navigation (PBN) Manual</i> (4th Edition), ICAO Doc 9992, <i>Manual on the Use of Performance-Based Navigation (PBN) in Airspace Design</i> (1st edition), ICAO Doc 9997, <i>Performance-Based Navigation (PBN) Operational Approval Manual</i> (1st edition), as well as manuals on CCO and CDO, ICAO Doc 9931, <i>Continuous Descent Operations (CDO) Manual</i> and ICAO Doc 9993, <i>Continuous Climb Operations (CCO) Manual</i>.</p>	Complete

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			<p>Since 2010, the Instrument Flight Procedure Panel (IFPP) has completed significant work on new/amended PBN instrument procedure design criteria, approaches with vertical guidance, helicopter point in space approaches and satellite-based augmentation system (SBAS). These new and amended criteria were published in PANS-OPS in November 2014.</p> <p>Since mid-2009, the ICAO APAC Flight Procedures Programme (FPP) Office has been assisting States in the Asia-Pacific region with the training and implementation of PBN instrument procedures.</p> <p>Based on the success of the APAC FPP, ICAO established a FPP Office in Dakar Senegal in June 2014 to support African operations. This office is focused on assisting African States with training and implementation of PBN procedures, airspace design and operations approvals.</p> <p>From 2010 to 2014, ICAO and IATA conducted PBN GO Team visits to various States to assist them with PBN implementation.</p> <p>SARPs for vision systems (e.g. HUD, EVS, SVS) that allow equipped aircraft to safely operate with fewer facilities on the ground have been adopted for all parts of Annex 6 and are applicable as of November 2014.</p>	
45	2) States should support the proposal to hold regional international runway safety summits with the support and	Agreed with the recommendation and requested the Secretary General to send a State letter providing information on	A Global Runway Safety Symposium was held in 2011, plus thirteen regional runway safety seminars that have been organized or sponsored by ICAO in all	Complete

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	assistance of ICAO.	<p>ICAO's runway safety efforts and seeking support from States and industry for regional runway safety summits.</p> <p><i>Action was taken.</i></p>	<p>regions since then (State letter AN 12/53.1-10/56 dated 20 August 2010).</p> <p>Other ICAO Runway Safety (RS) Programme activities include:</p> <ul style="list-style-type: none"> • regular coordination with partners (on-going; every six months); • Runway Safety Team (RST) promotion (on-going through RS seminars, Go-Team missions and RASGs); • RST handbook (January 2014); • ICAO global RS website with material from all RS partners (online; updated continuously based on new products and contents); • new RS implementation kit (RS i-Kit; March 2014); and • RS Go-Teams methodology (July 2014). <p>Regional aviation safety summits have been organized under the auspices of RASGs.</p> <p>Refer to Topic 3.1 of HLSC 2015, "Effective and Efficient Regional Collaboration" for further information on this issue.</p>	
46	<p>e) <i>Availability of ICAO guidance material in the official languages of ICAO:</i></p> <p>1) ICAO should prioritize the allocation of its limited translation resources based on risk for the aviation community. Safety related documents should have priority over</p>	<p>Agreed with the recommendation and on the importance of placing the highest priority on safety-related documents, especially those having the potential to create the highest risk, if not provided in all official languages.</p> <p><i>Action was taken.</i></p>	<p>Assembly working paper A37-WP/134 invited the 37th Session of the Assembly (2010) to approve the funds needed so that the Secretariat has sufficient resources for the translation of the reference documents and texts connected with operational safety, in order of their priority depending on the importance of these texts. Reference was made to this HLSC 2010 recommendation in the Technical Commission Report</p>	Complete

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	internal documents.		<p>(para 35.17) of the Assembly and it was noted that all documents shall be made available in all languages. Assembly Resolution A37-25 on ICAO Policy on the language services reiterated the importance of disseminating ICAO documentation, in particular the SARPs in all languages.</p> <p>Annex 19 — <i>Safety Management</i>, ICAO Doc 9859, <i>Safety Management Manual (SMM)</i>, the GASP and Safety Reports have been issued in all ICAO languages.</p>	
47	<p>f) <i>Development of guidance material on the conduct of safety management systems audits based on safety performance management:</i></p> <p>1) ICAO should develop guidance material for inclusion in the ICAO <i>Safety Management Manual</i>, on the conduct of safety management systems audits based on safety performance management.</p>	<p>Agreed with the recommendation and requested the Secretary General to take action.</p> <p><i>Action was taken.</i></p>	<p>The third edition of the ICAO Doc 9859, <i>Safety Management Manual (SMM)</i> was published on 8 May 2013. It is available in all ICAO languages. This new edition includes detailed guidance and tools to facilitate implementation of SSP and SMS by States and service providers.</p> <p>Appendix 12 to Chapter 4 of the SMM contains an example of an SMS regulatory acceptance/ assessment checklist which can be used for the initial assessment and acceptance of a service provider's SMS. In addition, the ICAO Safety Management website includes a Safety Management Toolkit (http://www.icao.int/safety/SafetyManagement/Pages/Guidance-Material.aspx) which contains the latest appendices of the SMM.</p>	Complete
48	<p>g) <i>Funding of ICAO safety framework initiative:</i></p> <p>1) ICAO should work with States and</p>	<p>Agreed with the recommendation and requested the Secretary General to take action.</p>	<p>The second edition of ICAO Doc 9734, <i>Safety Oversight Manual, Part B — The Establishment and Management of a Regional Safety Oversight Organization</i>, published in 2011, includes additional</p>	Complete

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	regional organizations requiring assistance to develop appropriate funding models to ensure the sustainable provision of infrastructure and services based on the level of activity for adequate air transport activity.	<i>Action was taken.</i>	guidance material on sustainable funding. For RSOOs, the following funding resources are available at ICAO: <ul style="list-style-type: none"> • Safety Collaborative Assistance Network (SCAN); • SAFE fund; and • Safety Partnership Meetings (SPMs). Refer to Topic 3.1 of HLSC 2015, “Effective and Efficient Regional Collaboration” for further information on this issue.	

APPENDIX B

STATES WITH EFFECTIVE IMPLEMENTATION ABOVE 60 PER CENT

According to the near-term objectives of the GASP, States that have an effective implementation (EI) of over 60 per cent are required to fully implement SSP by 2017, thereby addressing risks specific to their aviation systems.

The following is an alphabetical list of States with an EI above 60 per cent **as of August 2014**.

Argentina	Cyprus	India	Morocco	Singapore
Armenia	Czech Republic	Indonesia	Myanmar	Slovakia
Australia	Democratic Peoples Republic of Korea	Iran (Islamic Republic of)	Netherlands	Slovenia
Austria	Denmark	Ireland	New Zealand	South Africa
Bahrain	Dominican Republic	Israel	Nicaragua	Spain
Belgium	Ecuador	Italy	Nigeria	Sri Lanka
Belize	Egypt	Jamaica	Norway	Sudan
Bolivia	El Salvador	Japan	Oman	Sweden
Bosnia and Herzegovina	Estonia	Kenya	Pakistan	Switzerland
Brazil	Ethiopia	Kuwait	Panama	Thailand
Brunei Darussalam	Fiji	Kyrgyzstan	Peru	Togo
Bulgaria	Finland	Lao Peoples Democratic Republic	Poland	Trinidad and Tobago
Burkina Faso	France	Latvia	Portugal	Tunisia
Canada	Gambia	Lithuania	Qatar	Turkey
Cabo Verde	Germany	Luxembourg	Republic of Korea	Turkmenistan
Chile	Ghana	Malaysia	Republic of Moldova	Ukraine
China *	Greece	Malta	Romania	United Arab Emirates
Colombia	Guatemala	Mauritania	Russian Federation	United Kingdom
Costa Rica	Honduras	Mexico	Saudi Arabia	United States
Croatia	Hungary	Mongolia	Senegal	Uzbekistan
Cuba	Iceland	Montenegro	Serbia	Venezuela (Bolivarian Republic of)
				Zimbabwe

* Including Hong Kong and Macao Special Administration Regions