



ASSEMBLY — 38TH SESSION

TECHNICAL COMMISSION

Agenda Item 30: Aviation Safety — Implementation Support

ASSISTANCE TO RESOLVE SAFETY DEFICIENCIES BY  
ESTABLISHING PRIORITIES AND SETTING MEASURABLE TARGETS

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

Pursuant to Assembly Resolution A37-8: *Regional cooperation and assistance to resolve safety-related deficiencies*, ICAO promoted cooperation, assisted States and supported the establishment of regional safety oversight organizations (RSOOs) for the purpose of addressing safety-related deficiencies, resolving significant safety concerns (SSCs) and for strengthening States' safety oversight capabilities.

Consistent with the objectives of the Global Aviation Safety Plan (GASP), this working paper presents the efforts envisaged to further assist States and regions to effectively address safety deficiencies by establishing priorities and setting measurable targets. Priority is given to those States with SSCs or with low levels of effective implementation (EI) of the ICAO safety oversight critical elements. ICAO will also continue to promote regional cooperation for the enhancement of safety by supporting regional aviation safety groups (RASGs) and RSOOs and in the implementation of their mandates. A new resolution that partially amends and supersedes Resolution A37-8 is proposed.

**Action:** The Assembly is invited to:

- a) note the assistance activities undertaken by ICAO since the last Assembly, particularly in relation to assistance to States and the promotion, establishment and management of RSOOs; and
- b) review the amendments proposed and adopt the Resolution in the appendix to supersede Resolution A37-8.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	The activities referred to in this paper will be undertaken subject to the resources available in the 2014-2016 Regular Programme Budget and/or from extra budgetary contributions.
<i>References:</i>	Doc 9958, <i>Assembly Resolutions in Force</i> (as of 8 October 2010) Doc 9734, <i>Safety Oversight Manual, Part B, The Establishment and Management of a Regional Safety Oversight Organization</i> Doc 10004, <i>Global Aviation Safety Plan</i> (2013)

## 1. INTRODUCTION

1.1 This paper outlines assistance activities conducted to support States in resolving safety deficiencies, including the prompt resolution of significant safety concerns (SSCs), as well as the coordination of activities directed to support regional and sub-regional organizations in enhancing safety. Consistent with the objectives of the revised Global Aviation Safety Plan (GASP) (A38-WP/92 refers), this paper proposes that ICAO continue providing assistance and coordinating regional efforts to resolve safety deficiencies by establishing priorities and setting measurable targets.

## 2. ACTIVITIES UNDER THE CURRENT TRIENNIUM

2.1 As of 1 April 2013, ICAO had developed twenty-five Plans of Action to support States in need of assistance with identified SSCs or low EI. The Plans had been prepared in coordination with the concerned State and relevant stakeholders to resolve those serious safety deficiencies. Each Plan was accepted by the States concerned at the Ministerial level and calls for their commitment to implement the proposed activities over three phases – the immediate-, near- and long-term. To optimize the use of available resources, the Plans also call for the participation of various entities at different levels, including the ICAO Regional Offices, RSOOs and other assistance providers.

2.2 In conjunction with the ICAO Plans of Action, ICAO has developed specific assistance project proposals aimed at resolving safety deficiencies at both the national and regional levels. In view of the resources required for their implementation, ICAO has posted the project proposals on the Safety Collaborative Assistance Network (SCAN) website (<http://www.icao.int/safety/scan>).

2.3 As a means to assist States with insufficient human, technical or financial resources to perform safety oversight, ICAO promoted the establishment and strengthening of RSOOs. ICAO held a global symposium in Montréal, from 26 to 28 October 2011 and a regional symposium jointly organized by the Arab Civil Aviation Commission (ACAC) and ICAO Regional Office in Cairo held in Rabat, Morocco in December 2012. Additional guidance on the sustainable funding of RSOOs was also developed and is included in ICAO's Doc 9734, Part B. ICAO also supported individual RSOOs, such as the Pacific Aviation Safety Office (PASO), the Civil Aviation Safety and Security Oversight Agency (CASSOA) for the East African Community States, the Banjul Accord Group Aviation Safety Oversight Organization (BAGASOO), and the Regional Safety Oversight System for Latin America (SRVSOP), through a range of activities, including recruitment of technical personnel, training, reviews, consultations, technical advice and contributions towards the development or revision of business plans.

2.4 ICAO developed the Cooperative Inspectorate Scheme for the African and Indian Ocean Region (AFI-CIS) for implementation by the African Civil Aviation Commission (AFCAC). The AFI-CIS is an initiative that primarily aims to provide direct technical assistance to African States to resolve safety oversight deficiencies through the establishment and use of a common pool of inspectors drawn from within the Region. The AFI-CIS activities are currently being implemented by AFCAC in conjunction with the ICAO Regional Office Safety Teams (ROSTs) under the ICAO Plans of Action.

2.5 To avoid duplication of efforts in assistance activities, ICAO coordinates its efforts with various aviation safety partners. This coordination is typically done through the SCAN website and periodic meetings with aviation safety partners. To this effect, ICAO convened a Safety Partnership meeting on 20 November 2012 at ICAO Headquarters in Montréal. The meeting reiterated that assistance efforts should be expanded and strengthened through partnerships with major stakeholders.

2.6 In order to harmonize activities undertaken to address aviation safety issues on a regional basis, the ICAO Council established the RASGs in May 2010. The RASGs build upon the achievements of existing regional and sub-regional safety organizations, such as the Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) and RSOOs. These safety groups are an integral part of the safety framework contained in the revised GASP. The GASP provides the structure to *inter alia* develop strategies, establish priorities, set targets and implement actions to attain those targets in order to improve aviation safety in each region, taking into account the specific needs, priorities, challenges and aspirations.

2.7 As a result of the efforts made to address safety-related deficiencies at a regional and State level, ICAO has been able to achieve safety improvements such as the resolution of SSCs on some States. In addition, ICAO has established effective mechanisms to ensure the timely resolution of safety deficiencies, including the ICAO Plans of Action and AFI-CIS. As part of further enhancing regional cooperation initiatives, ICAO has paved the way for RSOOs to ensure more sustainable operation by providing additional guidance on financial and technical aspects. ICAO has also established RASGs aimed at the timely identification and addressing of emerging regional safety issues.

### 3. ASSISTANCE ACTIVITIES FOR THE NEXT TRIENNium

3.1 ICAO will intensify its efforts to assist States to resolve their safety oversight deficiencies, with priority given to those States with SSCs. In this context, the ICAO Plans of Action will continue to be developed for States in need of assistance and will serve as a platform for providing practical support to States in resolving deficiencies in an effective and timely manner. Complementing this support provided to States, the Organization will continue to develop and disseminate specific assistance project proposals to support the implementation of ICAO Plans of Action.

3.2 ICAO recognizes that RSOOs serve as an effective means of pooling resources to resolve safety oversight deficiencies. However, the symposium on RSOOs held in October 2011 identified challenges that these organizations face in the course of their establishment and operation. ICAO will continue to support established RSOOs and groups of States planning to establish an RSOO. In particular, it will explore options for evaluating their effectiveness as a means of raising accountability levels and enhancing their ability to accomplish their respective mandates and work programmes.

3.3 ICAO will continue to play a leadership role as coordinator of aviation safety partners' efforts and by working with donors to mobilize resources required to assist States in resolving safety deficiencies. Promoting the maximization of outcomes and the avoidance of duplicated efforts, ICAO will continue to support and coordinate regional initiatives, such as the AFI-CIS. Periodic Safety Partnership meetings will be convened and the SCAN website will be updated and promoted as a means to enhance this coordination.

3.4 ICAO also notes the need for assistance to implement a key safety and air navigation enhancement enabler called Performance-Based Navigation (PBN), particularly in the development of global expertise in the areas of procedure design, operations approval and regulator responsibility as well as the implementation of operational and air traffic management (ATM) changes. To support these assistance needs, ICAO has established a Flight Procedures Programme in the Asia-Pacific region, and is also launching a Flight Procedures Programme for the AFI Region this year.

3.5 All the RASGs are now operational and have started activities. As can be expected, not all of them are yet fully mature, thus ICAO continues to support their strengthening. To exchange views on the readiness and ability of the Planning and Implementation Groups (PIRGs) and RASGs to set targets

and priorities in line with the GASP and GANP, ICAO convened a global coordination meeting in Montréal on 19 March 2013 under the Chairmanship of the President of ICAO Council. The meeting recommended that each RASG: provide the plan by October 2013 to indicate by which date the priorities and targets could be determined; measure performance improvements; share successful initiatives; collaborate with industry with the common objective of improving safety; and harmonize regional and global safety reports. During this meeting it was confirmed the need for a coordination mechanism between RASG and PIRG in each region to ensure consistency of action and avoid overlap and that a global coordination meeting should be held once every two years with the next one planned for spring 2015.

#### 4. **CONCLUSION**

4.1 Assisting States to establish priorities, as well as to set and achieve targets aimed at addressing safety deficiencies, in particular the resolution of the SSCs, is a paramount role for ICAO. Success in this endeavour will, however, depend very much on the Organization's ability to coordinate the support and harness resources from aviation safety partners through existing mechanisms such as the RSOOs, RASGs, AFI-CIS, SCAN and the SAFE Fund. ICAO will, therefore, continue to actively promote and support these initiatives to complement efforts made by all stakeholders to improve safety.

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## APPENDIX

### DRAFT RESOLUTION FOR ADOPTION BY THE 38TH SESSION OF THE ASSEMBLY

#### **Resolution 37/8A38/xx: ~~Regional cooperation and assistance to resolve safety-related deficiencies~~ Assistance to resolve safety deficiencies by establishing priorities and setting measurable targets**

*Whereas* a primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

*Whereas* ensuring the safety of international civil aviation is also the responsibility of Contracting States both collectively and individually;

*Whereas* in accordance with Article 37 of the *Convention on International Civil Aviation* each Contracting State undertakes to collaborate in securing the highest practicable degree of uniformity in regulation, standards, procedures and organization in relation to aircraft, personnel, airports, airways and auxiliary services in all matters in which uniformity will facilitate and improve air navigation;

*Whereas* the improvement of the safety of international civil aviation on a worldwide basis requires the active collaboration of all stakeholders;

*Whereas* the Convention and its Annexes provide the legal and operational framework for Contracting States to build a civil aviation safety system based on mutual trust and recognition, requiring that all Contracting States implement the SARPs as far as practicable and adequately perform safety oversight;

*Whereas* the results of the audits and ICAO Coordinated Validation Missions (ICVMs) conducted under the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP-CMA) indicate that several Contracting States have not yet been able to establish a satisfactory national safety oversight system and some Contracting States have been identified as having significant safety concerns (SSCs);

*Whereas* ICAO plays a leadership role in facilitating the implementation of SARPs and the rectification of safety-related deficiencies by coordinating support and harnessing resources among aviation safety partners;

*Recognizing* that the ICAO Plans of Action developed for individual Contracting States serve as platforms to provide, in coordination with other stakeholders, direct assistance and guidance to those States in resolving their SSCs as well as addressing low effective implementation (EI) of critical elements;

*Whereas* the High-level Safety Conference (2010) recommended that States should support ICAO in efforts to foster the development and sustainability of regional safety oversight organizations and should participate and actively support regional safety oversight organizations whenever possible;

*Whereas* ICAO has a Policy on Regional Cooperation which is committed to render assistance, advice and any other form of support, to the extent possible, in the technical and policy aspects of international civil aviation to Contracting States in carrying out their responsibilities pertaining to the *Convention on*

~~International Civil Aviation and ICAO Strategic Objectives, inter alia by promoting regional cooperation through close partnerships with regional organizations and regional civil aviation bodies;~~

*Recognizing* that not all Contracting States have the requisite human, technical and financial resources to adequately perform safety oversight;

*Recognizing* that the establishment of subregional and regional aviation safety and safety oversight bodies, including regional safety oversight organizations (RSOOs), has great potential to assist States in complying with their obligations under the Chicago Convention through economies of scale and harmonization on a larger scale; ~~and~~

*Recognizing* that the assistance available to Contracting States experiencing difficulties in correcting deficiencies identified through the safety oversight audits, particularly with priority given to those States with SSCs, would be greatly enhanced by coordination amongst all Contracting States, ICAO and other concerned parties in civil aviation operations; ~~and~~

*Recognizing* that established regional aviation safety groups (RASGs) have the objective of establishing priorities and setting measurable targets to address safety-related deficiencies in each region while ensuring consistency of action and coordination of efforts.

*The Assembly:*

1. *Directs* the Council, in partnership with all aviation safety partners, to implement a comprehensive assistance programme that will help Contracting States to correct deficiencies identified through USOAP-CMA, with priority given to the resolution of SSCs;

~~2. *Directs* the Council to promote the concepts of regional cooperation for the purpose of enhancing safety and safety oversight, including the establishment of regional safety oversight organizations~~ strengthening of RSOOs and RASGs, as well as the establishment of priorities and setting of measurable targets to address SSCs and safety-related deficiencies;

~~23. *Directs* the Council to continue to partner with Contracting States, industry and other stakeholders~~ aviation safety partners for coordinating and facilitating the provision of financial and technical assistance to States and subregional and regional safety and safety oversight bodies, including ~~regional safety oversight organizations~~ RSOOs and RASGs, in order to enhance safety and strengthen safety oversight capabilities;

~~34. *Directs* the Council to continue the analysis of relevant safety-critical information for determining effective means of providing assistance to States and subregional and regional safety and safety oversight bodies, including regional safety oversight organizations~~ RSOOs and RASGs;

~~4. *Directs* the Council to continue implementing an Implementation Support and Development – Safety (ISD-Safety) Programme to provide assistance to States and subregional and regional safety and safety oversight bodies, including regional safety oversight organizations;~~

5. *Urges* Contracting States to give the highest priority to the resolution of SSCs in order to ensure that there are no immediate safety risks to international civil aviation and that the minimum requirements established by the Standards set forth in the ICAO Annexes are met;

6. *Urges* Contracting States to utilize the Flight Procedures Programme, where available, for PBN implementation;
7. *Urges* Contracting States to develop and further strengthen regional and sub-regional cooperation in order to promote the highest degree of aviation safety;
8. *Calls upon* all Contracting States and relevant aviation safety partners, wherever possible, to assist requesting States with financial and technical resources to ensure the immediate resolution of identified SSCs and the longer-term sustainability of the State safety oversight system;
9. *Encourages* Contracting States to establish partnerships with other States, industry, ~~air navigation service providers,~~ financial institutions and other ~~stakeholders~~ aviation safety partners to strengthen safety oversight capabilities, in order to better discharge State responsibilities and foster a safer international civil aviation system;
10. *Encourages* Contracting States to foster the creation of regional or sub-regional partnerships to collaborate in the development of solutions to common problems to build State safety oversight capability, and to participate in, or provide tangible support for, the strengthening and furtherance of subregional and regional aviation safety and safety oversight bodies, including ~~regional safety oversight organizations~~ RSOOs;
11. *Requests* the Secretary General to play a leading role in coordinating efforts to assist States to resolve SSCs through the development of ICAO Plans of Action and/or specific project proposals and to assist States to obtain the necessary financial resources to fund such assistance projects;
12. *Requests* the Council to report to the next ordinary session of the Assembly on the overall implementation of the ~~comprehensive assistance P~~programme; and
13. *Declares* that this resolution supersedes Resolutions ~~A36-2 and A26-3~~ A37-8.

— END —