

**WORKING PAPER****THIRTEENTH AIR NAVIGATION CONFERENCE****Montréal, Canada, 9 to 19 October 2018****COMMITTEE B****Agenda Item 6: Organizational safety issues****6.1 Strategic plan****6.1.3: Global Aviation Safety Oversight System (GASOS)****THE GLOBAL AVIATION SAFETY OVERSIGHT SYSTEM (GASOS)**

(Presented by the Secretariat)

EXECUTIVE SUMMARY

This paper presents the proposed new global aviation safety oversight system (GASOS). In response to growing aviation safety oversight challenges experienced globally, ICAO is proposing the establishment of GASOS within the framework of the Global Aviation Safety Plan (GASP). GASOS would be a voluntary and standardized assessment and recognition mechanism for safety oversight organizations (SOOs) including State civil aviation authorities, regional safety oversight organizations (RSOOs) and other State-based mechanisms. GASOS aims to promote the delegation of safety oversight functions by States to ICAO-recognized SOOs while maintaining the States' obligation and responsibility for safety oversight under the Convention on International Civil Aviation (Doc 7300).

The main objective of GASOS is to enable the strengthening of State safety oversight capabilities by providing States with a system for the delegation of certain safety oversight functions or tasks to ICAO-recognized SOOs. GASOS will also strengthen existing SOOs to make them more effective and efficient in supporting States.

Action: The Conference is invited to agree to Recommendation 6.1/x – The global aviation safety oversight system (GASOS), in paragraph 4.1.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	<p><i>Impact for the aviation community:</i> The aviation community will benefit from the enhanced efficiencies associated with the delegation of safety oversight functions and higher compliance with ICAO provisions.</p> <p><i>Impact for ICAO (relative to the current Regular Programme Budget resource levels):</i> In the GASOS operational phase, additional regular programme personnel will be required for assessments and continuous monitoring of safety oversight organizations; therefore ICAO should plan for the necessary human and financial resources to be made available, using a cost recovery scheme.</p>

<p><i>References:</i></p> <ul style="list-style-type: none"> Annex 19 — <i>Safety Management</i> Doc 9734, <i>Safety Oversight Manual</i>, Part A — <i>The Establishment and Management of a State's Safety Oversight System</i> and Part B — <i>The Establishment and Management of a Regional Safety Oversight System</i> Doc 9859, <i>Safety Management Manual</i> (SMM) Doc 10004, <i>Global Aviation Safety Plan 2017-2019</i> Doc 10046, <i>Report of the Second High-Level Safety Conference (2015)</i> Doc 10075, <i>Assembly Resolutions in Force</i> (as of 6 October 2016) Report on the Forum on RSOOs for Global Aviation Safety GASOS Concept of Operations

1. INTRODUCTION

1.1 Safety is the top priority and through the efforts and collaborative work of States, industry, international organizations and other stakeholders, the global aviation accident rate in recent years has remained low and stable. However, the aviation industry is changing and becoming more complex; new technologies are emerging and air traffic is forecast to double over the next fifteen years. Some States are not able to fulfil all their aviation safety oversight obligations effectively. The gap between the insufficient development of State safety oversight capabilities and the constant evolution of the industry will increase and may negatively impact aviation safety. States need effective, reliable and flexible alternatives to develop capacity for all safety oversight functions to close this gap.

1.2 In line with the strategic safety objectives of the draft third edition of the Global Aviation Safety Plan (GASP, 2020-2022), ICAO, in collaboration with all aviation stakeholders, will strive to further enhance global aviation safety. The implementation of a global aviation safety oversight system (GASOS) aims to further enable the improvement of national and regional safety oversight capabilities. A strong safety oversight foundation is important to enable the implementation of State Safety Programmes which in turn will support the aviation system of the future.

1.3 Over the last decade, regional aviation safety bodies, including RSOOs, have contributed to global aviation safety by assisting their Member States in complying with ICAO provisions. RSOOs are an integral component of global aviation safety and ICAO has undertaken a number of initiatives to support the strengthening of RSOOs, including conducting an RSOO evaluation and establishing an RSOO cooperative platform.

2. BACKGROUND

2.1 Recommendation 3/1 of the Second High-Level Safety Conference, as well as Resolution A39-14, both encourage the strengthening and furtherance of regional aviation safety, and safety oversight mechanisms, including RSOOs.

2.2 In March 2017, the Forum on Regional Safety Oversight Organisations (RSOOs) for Global Aviation Safety supported the proposed development of GASOS as part of the ICAO global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight (https://www.icao.int/safety/Implementation/Library/RSOO_GlobalStrategy_Final.pdf).

2.3 GASOS would be a voluntary system to assess the competencies of SOOs against ICAO criteria for inclusion into an SOO directory. The assessment mechanisms will be based on the methodology of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA), including the initial assessment and continuous monitoring of safety oversight organizations.

2.4 The main objective of GASOS is to enable the strengthening of State safety oversight capabilities by providing States with a system for the delegation of certain safety oversight functions or tasks to ICAO-recognized SOOs. GASOS will also strengthen safety oversight capabilities of existing SOOs to make them more effective and efficient in supporting States. The GASOS concept is defined in a Concept of Operations (<https://www.icao.int/Meetings/anconf13/Documents/GASOS-CONOPS.pdf>) that details the mechanisms and processes used, a preliminary impact analysis and a risk matrix with associated mitigation measures.

2.5 The expected benefits of GASOS include:

- a) increased safety oversight capabilities for States through the delegation of functions to SOOs recognized by ICAO through GASOS, enabling further implementation of effective State safety programmes;
- b) the empowerment and strengthening of RSOOs and other existing regional mechanisms in effectively carrying out safety oversight functions on behalf of States; and
- c) increased overall safety performance resulting from improved safety oversight and safety management capabilities on a global scale.

2.6 GASOS was presented at Director General level meetings and regional aviation safety group (RASG) meetings and received support in all ICAO regions. The GASOS concept was also presented at the first Safety and Air Navigation Implementation Symposium (SANIS/1) in December 2017 where further development of the concept was encouraged.

3. PLANNING AND DEVELOPMENT OF THE GLOBAL AVIATION SAFETY OVERSIGHT SYSTEM (GASOS)

3.1 ICAO has been developing GASOS with the aim of launching the programme in a phased approach beginning in 2020. To date, ICAO has completed a feasibility study confirming GASOS to be achievable; established a study group of experts to assist in its development; developed a concept of operations and implementation plan; identified risks and established a risk register; undertaken a review to define and establish the appropriate legal framework for GASOS implementation; and developed a business case. In the third quarter of 2018, pilot tests of the assessment mechanisms are expected to be performed.

3.2 A fundamental principle of GASOS is that States will retain the ultimate responsibility for safety oversight under the Convention.

3.3 GASOS aims to enhance the effectiveness and efficiency of safety oversight monitoring activities and avoid a duplication of activities between GASOS and USOAP CMA.

3.4 GASOS would be subject to quality management to ensure that its activities comply with defined standards and expectations. The programme will remain independent from other ICAO programmes, including the technical cooperation programme and assistance services currently being provided to States, however, appropriate interfaces between GASOS, USOAP CMA and other programmes would be designed. Appropriate web-based tools are also under development to support the GASOS assessment processes.

3.5 Since GASOS is intended to contribute to the GASP long-term strategic objective of achieving strong worldwide safety oversight capabilities, it will be based on a principle of high-level

technical competence. A safety oversight organization would therefore need to demonstrate full compliance with the GASOS assessment criteria related to those functions for which recognition is sought.

3.6 ICAO will develop appropriate guidance for States to support the delegation of safety oversight functions and monitoring of SOOs accepting delegations, while ensuring their State specific responsibilities continue to be met.

3.7 GASOS would be presented to the 40th Session of the Assembly for endorsement.

4. CONCLUSION

4.1 Considering the importance of strengthening State safety oversight capabilities as the aviation industry grows exponentially and increases in complexity, the Conference is invited to agree on the following recommendation:

Recommendation 6.1/x – The global aviation safety oversight system (GASOS)

That the Conference:

- a) request ICAO to continue developing an ICAO global aviation safety oversight system (GASOS) comprised of voluntary and standardized competency assessments of safety oversight organizations for recognition of safety oversight functions provided to States, including its legal framework and assessment mechanisms while ensuring those States maintain their obligations and responsibilities under the Convention;
- b) request ICAO to develop appropriate guidance for States to support the delegation of safety oversight functions and monitoring of safety oversight organizations accepting delegations;
- c) request ICAO to design adequate interfaces between GASOS and other ICAO programmes and to avoid duplication of activities between GASOS and the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA);
- d) request ICAO to present GASOS for endorsement at the 40th Session of the Assembly;
- e) request ICAO to encourage safety oversight organizations, including regional safety oversight organizations (RSOOs), State civil aviation authorities (CAAs) and other State-based mechanisms, to participate in GASOS in order to expand and enhance the safety oversight support provided to States; and
- f) encourage States to support the development of GASOS.

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