HIGH-LEVEL CONFERENCE ON COVID-19 (HLCC 2021)

SAFETY STREAM

Montréal, Canada, 12 to 22 October 2021

Agenda Item 2: **Strategy and policy**
      2.1: **Global Aviation Safety Plan (GASP), and implementation of regional and national aviation safety plans**

DEVELOPMENT AND IMPLEMENTATION OF NATIONAL AVIATION SAFETY PLANS

(Presented by the Secretariat)

EXECUTIVE SUMMARY

Assembly Resolution A40-1: *ICAO Global planning for safety and air navigation* urges Member States to implement national aviation safety plans (NASPs) consistent with the *Global Aviation Safety Plan* (GASP, Doc 10004) to continually reduce fatalities and the risk of fatalities. Each State is encouraged to develop a NASP in which the strategic direction for the management of aviation safety for a set time period is presented. Each plan should be developed in line with the GASP goals, targets and high-risk categories of occurrences (HRCs). To support States in developing and implementing their NASPs, ICAO developed guidance material and tools, and launched a series of activities aimed at increasing the number of States that have a NASP in place, in line with the GASP. ICAO has received feedback from some States on the progress made towards implementing their NASP, as well as challenges faced, including the need for further initiatives related to safety intelligence. Further guidance and implementation support may be envisioned to assist States to develop and implement NASPs, in line with Assembly Resolution A40-1.

Action: The Conference is invited to agree to Recommendation 2.1/x — Development and implementation of national aviation safety plans, in paragraph 7.

Strategic Objectives:	This working paper relates to the Safety Strategic Objective.
Financial implications:	*Impact for the aviation community:* Financial implications are expected for the following aviation stakeholders: States. *Impact for ICAO (relative to the current Regular Programme Budget resource levels)*: The resources necessary for implementation can be accommodated within the current regular budget resource levels allotted to the Safety Programme.
References:	Annex 19 — *Safety Management* Doc 9859, *Safety Management Manual* Doc 10004, *Global Aviation Safety Plan* Doc 10131, *Manual on the Development of Regional and National Aviation Safety Plans* Doc 10137, *Technical Commission Report* Doc 10140, *Assembly Resolutions in Force (as of 4 October 2019)* Cir 358, *Regional and National Aviation Safety Plan Checklists*

1.   **INTRODUCTION**

1.1   Assembly Resolution A40-1: *ICAO Global planning for safety and air navigation* recognizes the importance of a global framework to support the Strategic Objectives of ICAO. The *Global Aviation Safety Plan* (GASP, Doc 10004) sets forth ICAO's safety strategy in support of the prioritization and continuous improvement of aviation safety. This Resolution urges Member States to implement national aviation safety plans consistent with the GASP to continually reduce fatalities and the risk of fatalities. Each State is encouraged to develop a national aviation safety plan (NASP), in which the strategic direction for the management of aviation safety for a set time period is presented. Each plan should be developed in line with the GASP goals, targets and high-risk categories of occurrences (HRCs). The State's NASP should also be consistent with the regional aviation safety plan (RASP).

2.   **DISCUSSION**

2.1   A questionnaire was distributed in preparation for the Thirteenth Air Navigation Conference (AN-Conf/13), held in October 2018, providing States and other key aviation stakeholders the opportunity to give feedback on the draft 2020-2022 edition of the GASP in relation to organizational challenges, operational safety risks, implementation of the GASP at the national and regional levels, and safety performance measurement. Seventy-one States and five international organizations replied to the questionnaire. To assist with its implementation, respondents suggested that the following be made available: a template for the NASP; sample tools; and workshops or training.

2.2   The safety performance related to the GASP is measured by a series of metrics as defined by the GASP indicators. Similarly, individual States should define a series of metrics to measure the safety performance and effectiveness of the NASP, in alignment with the GASP and the RASP. In addition to the feedback received by the questionnaire, ICAO was requested to assist States and other stakeholders by developing tools to gather and report on pertinent information, as well as a means to measure the progress made towards achieving the GASP goals and targets.

3.   **GUIDANCE MATERIAL**

3.1   Based on the feedback received to the questionnaire, ICAO expanded the guidelines contained in the GASP on regional and national aviation safety plans by developing detailed guidance on the content of these plans, as well as sample text for their content.

Manual on the Development of Regional and National Aviation Safety Plans *(Doc 10131)*

3.1.1   In May 2020, ICAO published Doc 10131, which was developed in collaboration with the GASP Study Group (GASP-SG) and complements the 2020-2022 edition of the GASP. This manual addresses the different aspects States should take into account when developing or modifying its NASP, to implement a plan consistent with the GASP. A NASP template is included to provide an example that promotes a uniform development of a NASP and addresses the minimum content proposed in the GASP yet remains flexible enough to accommodate any requirements specific to a State or regional safety oversight organization. Use of the template is not mandatory. States that adopt the NASP template may consider working in collaboration with other States in their region, as well as their regional aviation safety group (RASG) and ICAO Regional Office, to ensure consistency of the NASP with the RASP and the current edition of the GASP.

Regional and National Aviation Safety Plan Checklists *(Cir 358)*

3.1.2   In collaboration with the GASP-SG, ICAO also published Circular 358 as a means for a State to verify that its NASP, when being developed or modified, is complete and consistent with the GASP. The checklist included in this circular can be used to identify missing content regardless of whether the NASP is based on the Doc 10131 template or not.

4.   **TOOLS**

4.1   To support the development and implementation of NASPs, ICAO developed a series of tools that may be used by States and other aviation stakeholders.

Secure Portal on Emerging Issues and Additional Categories of Operational Safety Risks

4.1.1   On 3 July 2020, ICAO issued State letter AN 12/11.4-20/37 informing States of the creation of a dedicated site on its secure portal to collect information from States, and regional and international organizations on emerging issues and operational safety risks, thereby contributing to the improvement of safety by facilitating the sharing and exchange of safety information. Stakeholders are requested to provide information on a regular basis and the information collected will also serve to guide future editions of the GASP[1]. Details on how regional entities and other stakeholders will use this information for regional and national aviation safety planning is found on the GASP public website (https://www.icao.int/safety/GASP/Pages/Secure-Portal.aspx).

NASP Online Community

4.1.2   The NASP Online Community is a forum for States, regional entities and other stakeholders involved in the development of a NASP to access resources, exchange information and obtain feedback from experts in the aviation community on the development and implementation of a NASP. Access is granted via the ICAO Secure Portal (http://portal.icao.int).

GASP public website

4.1.3   The GASP public website (www.icao.int/gasp) contains the latest version of the GASP and provides information on the organizational challenges, operational safety risks (including the HRCs), and key concepts and metrics, listed in the 2020-2022 edition. It also contains guidance to assist the different stakeholders achieve the GASP goals, through the development and implementation of NASPs and RASPs, as well as the safety enhancement initiatives (SEIs) contained in the global aviation safety roadmap. The RASP and NASP templates, checklists, roadmap SEIs, as well as the complete versions of Doc 10131 and Cir 358 are available for download from this website. It also features frequently asked questions and provides answers to clarify them, such as the relationship between the NASP and the State safety programme (SSP).

GASP Dashboard

4.1.4   ICAO developed a series of dashboards which States should use to report their progress towards the achievement of the GASP goals and targets. The GASP Dashboard is currently populated by ICAO, however, each State will eventually be responsible to regularly provide the necessary information to populate its own dashboard and keep it current. Information from individual States is collated by ICAO

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[1] As of 14 May 2021, the portal counts 125 members.

to produce regional dashboards, per ICAO region, as well as per each RASG. Dashboards are available to the public for reference; they are also used to provide updates to different stakeholders on the progress of the GASP implementation, including the Council of ICAO and the ICAO Assembly. The dashboards can be found on the GASP public website at: www.icao.int/safety/GASP/Pages/GASP-Dashboards.aspx.

5.   **NASP WORKSHOPS**

5.1   Workshops were delivered by ICAO to assist States with the implementation of a NASP by developing the competencies of those involved with its development and implementation, in line with the GASP and respective RASP. The workshops covered topics such as, identifying national operational safety risks and other safety issues (e.g. challenges related to the SSP implementation), and planning initiatives to address them. The State's strategic approach to managing safety in civil aviation, including national safety goals, targets and indicators was also addressed. In 2020, four workshops were held (see https://www.icao.int/safety/GASP/Pages/Events-and-Workshops.aspx) and four others had to be cancelled because of the coronavirus disease (COVID-19) pandemic.

5.2   During the course of the four workshops, the participants provided feedback on the 2020-2022 edition of the GASP, which was considered for the next edition of the GASP (see HLCC 2021-WP/6). In addition, feedback was received on Doc 10131, as well as suggestions related to all aviation safety plans (GASP, RASP and NASP).

5.3   Feedback on Doc 10131 included:

a) incorporate guidance on civil-military cooperation in the NASP, including collaboration with air navigation service providers when operated by the military, as well as the integration of State aircraft operations in the plan;

b) develop guidance to prioritize SEIs, as per the "SEI Template" presented in the appendices of the manual;

c) consider the use of standardized reporting forms for States and regional entities to report the progress achieved in meeting the GASP goals and targets;

d) develop checklists to verify the completeness of NASPs and RASPs in relation to the recommended content described in the GASP (addressed with the publication of Cir 358); and

e) review Steps 1 and 4 of the "national aviation safety plan development process" figure, as presented in Doc 10004 and Doc 10131, to clarify the difference between both steps.

5.4   Suggestions related to the GASP, RASP and NASP included:

a) explore the possibility of a Recommended Practice(s) on the NASP (potentially in Annex 19 — *Safety Management*), to promote its development and implementation;

b) review and, if necessary, amend Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) protocol questions to include links to the NASP and GASP;

c) standardize all RASPs, in line with the content proposed in the GASP;

d)   explore the need to develop further guidance for each of the five HRCs; and

e)   develop guidance on emerging issues.

5.5   The GASP-SG was tasked to review all the feedback received and consider possible additions in the GASP, amendments to Doc 10131 or other documentation, and the development of further implementation tools. The final results of this review will be incorporated into the 2023-2025 edition of the GASP and Doc 10131, as applicable. Aspects related to Annex 19 will be coordinated with the Safety Management Panel.

6.   **PROGRESS MADE BY STATES AND FEEDBACK RECEIVED**

6.1   Several States have shared their NASP with ICAO; some seeking advice from the Secretariat in order to finalize their draft plans. Feedback received via the NASP Workshops indicated that States appreciate the NASP template contained in Doc 10131, as it provides a clear example and sample text to develop their own plan. Feedback was very positive for Doc 10131, as a whole, since it complements the content of the GASP with more detailed guidance.

6.2   The NASP and RASP checklists housed in Cir 358 were developed as a result of feedback received from the NASP Workshops and States have commented on their valuable use.

6.1   The NASP Online Community has also received a positive response[2]. In order to best track the progress made by States in developing and implementing their NASP and address challenges, a library was created as part of the GASP public website where published NASPs may be placed and referenced.

6.2   The NASP Workshops also revealed that States have difficulty identifying organizational challenges, operational safety risks and emerging issues due to the lack of safety data and analysis capabilities. This is particularly the case for States not having fully implemented an SSP as they may lack the safety risk management and safety assurance processes to provide the information needed for their NASP and monitor effectiveness of related activities in support of national safety goals and targets.

6.3   Implementation of NASPs and safety management provisions should be supported through safety intelligence initiatives; the maturity of safety intelligence within an organization will affect the effectiveness of its safety risk management capabilities. Guidance related to the development of safety intelligence may be found in the *Safety Management Manual* (Doc 9859). In addition, several initiatives and activities are available to States including, integrated Safety Trend Analysis and Reporting System (iSTARS), ICAO Indicator Catalogue, ICAO Annual Safety Report and ICAO Safety Information Monitoring System (SIMS). However, these initiatives should be further improved (in coordination with the appropriate expert groups) to better support the data-driven approach to the development of NASPs and to enable States who lack data, identify issues and implement safety enhancement initiatives. Furthermore, improving these initiatives will also help States with safety performance measurement and enable them to monitor progress being made towards achieving their national safety goals and targets, in line with the GASP and RASP.

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[2] As of 14 May 2021, the NASP Community counts 130 members.

7.   **CONCLUSION**

7.1   ICAO developed publications and tools, and launched a series of activities to support States in developing and implementing their NASPs. This implementation supports efforts aimed at increasing the number of States that have a NASP in place, as the document that presents the strategy and corresponding actions for enhancing aviation safety at the national level, for a certain period of years.

7.2   In light of the above, the Conference is invited to agree to the following recommendation:

Recommendation 2.1/x — Development and implementation of national aviation safety plans

That States:

a)   develop and implement their national aviation safety plan (NASP), in line with Assembly Resolution A40-1: *ICAO Global planning for safety and air navigation*;

b)   use existing ICAO guidance material and tools to develop and implement their NASPs;

c)   provide the most recent version of their NASP for posting on the ICAO Global Aviation Safety Plan (GASP) public website;

d)   submit proposals to ICAO for the update of guidance material related to national aviation safety plans;

That ICAO:

e)   submit a report regarding the development of NASPs at the 41st Session of the Assembly; and

f)   further enhance its safety intelligence initiatives to support States' implementation of NASPs and enable them to monitor progress made towards achieving their national safety goals and targets, in line with the GASP and the regional aviation safety plan (RASP), as well as safety management provisions.

— END —