

Appendix A to Chapter 2

STANDARDIZED FRAMEWORK FOR THE IDENTIFICATION OF ORGANIZATIONAL CHALLENGES

Note.— The framework presents a set of specific criteria for the development of RASPs and another for the development of NASPs.

<i>For use at the regional level</i>		
<i>Criteria</i>	<i>Specifics</i>	<i>Methodology</i>
Aggregated status of States' safety oversight systems and capabilities at the regional level.	The effective implementation (EI) of the eight critical elements (CEs) of a safety oversight system by States in the region.	1) Analyse information generated by USOAP Continuous Monitoring Approach (CMA) activities (via the online framework (OLF)) at the regional level: a) Significant Safety Concerns (SSCs); b) the five lowest scoring Priority Protocol Question (PPQ) EI scores by audit area (AA) and CE combination – based on the region's consolidated "Heat Map"; c) lowest-scoring PPQ; and d) other relevant information on the States' dashboards. 2) Assess the civil aviation organization and State system and functions (ORG/CE-3) using information generated by USOAP CMA activities (via OLF) at the regional level: a) PQ 2.051 Establishment and implementation of a mechanism to ensure that each safety oversight authority has sufficient financial resources to meet its national and international obligations. b) PQ 2.053 Establishment of a mechanism by the State to ensure that each safety oversight authority has sufficient personnel to meet its national and international obligations. c) PQ 2.103 Ability of each safety oversight entity/investigation authority to attract, recruit and retain sufficiently qualified/experienced technical personnel. 3) Use reports and records from industry and other organizations at the regional level. 4) Review ICAO safety recommendations of global concerns (SRGC). 5) Consider impact of cooperation with other entities that support States' safety oversight systems and capabilities at the regional level.

<i>For use at the regional level</i>		
<i>Criteria</i>	<i>Specifics</i>	<i>Methodology</i>
Aggregated status of States' SSP establishment and management at the regional level.	Status of SSP establishment and management by States in the region, through various sources.	Analyse information generated by USOAP CMA activities (via OLF): consolidated results of SSP PQ self-assessment (SSP-related PQs).
Consideration of global and national organizational (ORG) challenges in setting regional ones.	Commonality of ORG challenges as per the GASP and in NASPs of multiple States in the region.	1) Analyse the GASP to identify common global ORG challenges: a) if the GASP calls for regions to address a specific global ORG challenge in RASPs, consider it a potential regional ORG challenge; and b) reference the GASP public website: www.icao.int/gasp. 2) Analyse NASPs of States in the region to identify common national ORG challenges: a) if the same national ORG challenge is included in several plans, consider it a potential regional ORG challenge; and b) reference the NASP library: www.icao.int/nasplibrary.
Rationale for decision-making.	Additional points for consideration when selecting regional ORG challenges.	Consider constraints from limited resources, and the need to focus on a shorter list of items: limit the number of regional ORG challenges listed in the plan.

<i>For use at the national level</i>		
<i>Criteria</i>	<i>Specifics</i>	<i>Methodology</i>
Operational context description.	1) Traffic volume, as well as anticipated growth or decline. 2) Complexity of operations (for example, topography, meteorology, climate, etc.), as well as anticipated changes to operations (for example, drones, artificial intelligence, advance air mobility, commercial space).	1) Analyse available data sources: a) traffic volume data (in other words, movements, seasonality); b) number and types of aerodromes and heliports; c) airspace classifications; and d) types of operations (by sectors such as, commercial, general aviation). 2) Analyse information using ICAO tools and applications: a) State Safety Briefing on the integrated Safety Trend Analysis and Reporting System (iSTARS); i) safety indexes; ii) performance-based navigation implementation; iii) State aviation activity overview; b) airport briefing on iSTARS; and c) State dashboard on the OLF. 3) Consider the impact of current and anticipated socio-political issues affecting traffic volume and the complexity of operations.
State's safety oversight system and capabilities.	1) The effective implementation (EI) of the eight critical elements (CEs) of a safety oversight system. 2) The stakeholders external to the State that impact or support system and capabilities. 3) Current and anticipated organizational structure as applicable to and/or that affect State safety oversight (in other words, separation of State functions from the role as service provider, independence of the accident investigation authority, health, customs/immigration, security, cybersecurity, civil-military interface and delegation or designation).	1) Analyse information generated by USOAP CMA activities (via OLF): a) State aviation activity questionnaire; b) USOAP CMA self-assessment; c) SSCs; d) the five lowest scoring PPQ EI scores by audit area (AA) and CE combination – based on the State's "Heat Map"; and e) other relevant information on the State dashboard. 2) Assess the civil aviation organization and State system and functions (ORG/CE-3) using information generated by USOAP CMA activities (via OLF) at the national level: a) PQ 2.051 Establishment and implementation of a mechanism to ensure that each safety oversight authority has sufficient financial resources to meet its national and international obligations. b) PQ 2.053 Establishment of a mechanism by the State to ensure that each safety oversight authority has sufficient personnel to meet its national and international obligations. c) PQ 2.103 Ability of each safety oversight entity/investigation authority to attract, recruit and retain sufficiently qualified/experienced technical personnel. 3) Use internal and external reports and audits (for example, internal/external

For use at the national level		
Criteria	Specifics	Methodology
		audits, accident reports, regional reports). 4) Consider impact of cooperation with other entities that support States' safety oversight system and capabilities. 5) Consider system description (ICAO Doc 9859, <i>Safety Management Manual</i>, and State aviation activity questionnaire, and compare with ICAO Doc 9734, <i>Safety Oversight Manual</i>, Part A — <i>The Establishment and Management of a State Safety Oversight System</i>, in relation to safety oversight obligations.
State safety programme (SSP) establishment and management.	Status of SSP establishment and management, through various sources.	1) Analyse information generated by USOAP CMA activities (via OLF): refer to SSP-related Protocol Questions (PQs). 2) Use guidance from the Safety Management International Collaboration Group, mainly the SM ICG, SSP Assessment Tool. 3) Use internal and external reports and audits (for example, internal audits, accident reports, external audits).
Consideration of global and regional organizational (ORG) challenges in setting national ones.	Commonality of ORG challenges for the region as per the GASP and the corresponding RASP.	1) Analyse the GASP to identify common global ORG challenges: a) if the GASP calls for States to address a specific global ORG challenge in NASPs, consider it a potential national ORG challenge; and b) reference the GASP public website: www.icao.int/gasp. 2) Analyse the RASP to identify common regional ORG challenges: a) if the RASP calls for States in the region to address a specific regional ORG challenge in NASPs in the region, consider it a potential national ORG challenge; and b) reference the RASP library: www.icao.int/rasp
Rationale for decision-making.	Additional points for consideration when selecting ORG challenges.	Consider constraints from limited resources, and the need to focus on a shorter list of items: limit the number of national ORG challenges listed in the plan.