



SPECIAL AFRICA-INDIAN OCEAN (AFI) REGIONAL AIR NAVIGATION (RAN) MEETING

Durban, South Africa, 24 to 29 November 2008

Agenda Item 5: Development of a set of comprehensive work programmes in the safety field (Safety Committee)

REGIONAL APPROACH TOWARDS IMPLEMENTATION OF THE GLOBAL AVIATION SAFETY PLAN (GASP)

(Presented by the Secretariat)

SUMMARY

The planning process and methodology of the Global Aviation Safety Plan (GASP) were adopted as essential components of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan). This paper contains a proposal for the effective coordination and monitoring of the implementation of the GASP. It is proposed that use of the performance framework forms presented in this paper would be used to ensure access to information on the subregional and national action plans developed under the AFI Comprehensive Implementation Programme (ACIP) utilizing the GASP and Global Aviation Safety Roadmap (GASR). The performance framework forms would also enable the establishment of agreed-upon timeframes for the completion of the subregional and national action plans.

Action by the meeting is in paragraph 4.

1. INTRODUCTION

1.1 Regional planning process

1.1.1 The Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) provide the framework in which regional, subregional and national implementation plans will be developed and implemented, thus ensuring harmonization and coordination of efforts aimed at improving international civil aviation safety and efficiency (Assembly Resolution A36-7: *ICAO Global Planning for Safety and Efficiency* refers). The regional planning process for safety should be conducted in accordance with the GASP and its Global Safety Initiatives (GSIs). GSIs are designed to support the implementation of the ICAO Safety Strategic Objectives and other safety objectives to be established by the AFI Region as well as all other regions. Regional planning and implementation for safety has already begun in the AFI Region under the umbrella of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan).

1.1.2 The AFI Plan was launched at the High-level Meeting on a Comprehensive Regional Implementation Plan for Aviation Safety in Africa, held in Montreal on 17 September 2007, and adopted in Assembly Resolution A36-1, at the 36th Session of the ICAO Assembly. The Chief of the

AFI Comprehensive Implementation Programme (ACIP) was appointed for the purpose of managing the implementation of the plan. A Steering Committee was also established to supervise the implementation of the plan. The Steering Committee held its first meeting from 14 to 15 February 2008. The development and execution of the AFI Plan are based on the methodology and planning process of the GASP. Action plans and projects that are derived from the current exercise, including the gap analysis, will be based on the principles and procedures set forth by the GASP through the application of the Global Aviation Safety Roadmap (GASR).

1.1.3 A copy of the GASP, as well as the GANP, its partner document, are available on the Special AFI RAN website. The implementation of the AFI Plan requires that both the GASP and the GASR be used in tandem. The GASR was developed through a joint effort between industry and ICAO and details a common strategy for aviation safety that involves a coordinated approach between States and industry to achieve improvements in civil aviation safety.

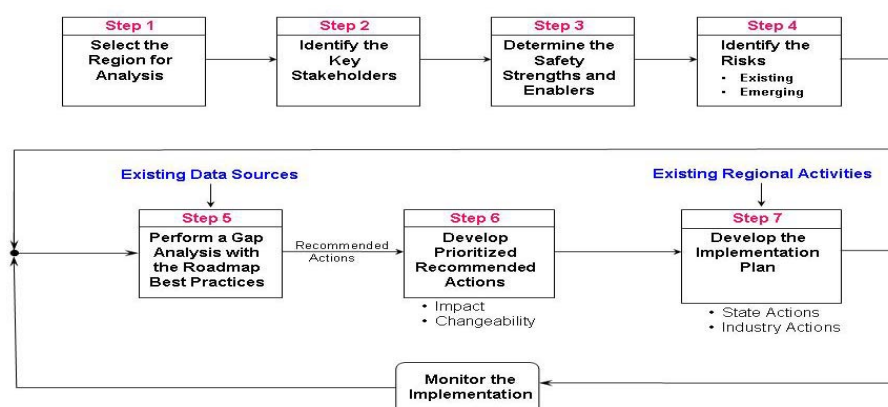
1.2 GSIs, focus areas and objectives

1.2.1 Each GSI within the GASP has a corresponding *focus area* within the GASR. Focus areas should be addressed by all aviation stakeholders to ensure successful implementation of the plan. The focus areas are further broken down into supporting objectives. The objectives are performance-based and describe what should be done by States, regions, subregions and industry to meet the overall aim of a focus area. Following the objectives, best practices are described which, when implemented, would ensure that each objective is met. Metrics are also provided so that an analysis may be made in order to evaluate the implementation of each best practice. The GASR also includes *maturity models* that can be used to determine the overall level of implementation for a specific focus area.

1.2.2 The best practices outlined in the GASR are an important tool to ensure that the objectives are met. However, it is important to note that there may be other practices that could be implemented that would equally meet the intent of the identified objectives. Each stakeholder is in the best position to evaluate which practices would be most appropriate to meet the objective for a particular region.

2. DISCUSSION

2.1 Implementation of the GASP and associated roadmap concepts should proceed in a systematic manner. The step-by-step planning process contained in the GASR is being used by ACIP and the concerned States to develop appropriate action plans which, in turn, define the specific activities and projects that should take place in order to improve safety on a State, subregional and regional basis. The figure below gives an overview of this process.



2.2 To further enhance the implementation of the GASP as the overall framework for governing planning in the AFI Region in the area of safety, it is proposed that the elements, which are provided in the appendix to this paper, and which are based on the already established and mature approach used for planning air navigation facilities and services, be incorporated into the methodology established by ACIP. The air navigation systems planning methodology uses templates or forms, developed by ICAO, to assist in development of air navigation plans so as to be consistent with the GANP. These templates are in use in several ICAO regions and will be used by the Efficiency Committee of this meeting. The templates are a management tool. They are first completed at the regional level to establish an overarching regional plan that is in line with the GANP. Following this, national action plans are developed which require States to align their activities so as to be consistent with the global and regional plans. Once completed they also serve as a means to monitor the status of implementation of the various components of regional and State plans.

2.3 Gap analysis exercises are being carried out by ACIP in collaboration with the States concerned, and relevant Regional Groups and, in respect to the Banjul Accord Group of States and subsequent to the first GASR workshop held in the AFI Region (Abuja, Nigeria, 14 to 16 April 2008), have already been completed. A similar process is under way in the other subregions with the conduct of additional GASR workshops, one of which will be delivered in the French language.

2.4 So as to facilitate the establishment of target dates for the completion of gap analysis exercises and the development of action plans, a tool similar to that used for air navigation services was developed. The tool provides a means of communicating target dates and monitoring the results of the analysis. As such, performance framework forms have been developed for each of the focus areas and are included in the appendix to this paper. Each performance framework form includes the supporting objectives, benefits of meeting each objective, and references. A status column is also included in the form and can be used as a means for the ACIP to report to the ACIP Steering Committee on the status of the gap analysis exercises and of the action plan. Overall, it also provides the ACIP with a tool for monitoring the implementation of GASP principles within the AFI Region, and for coordinating support for the activities and projects carried out under the AFI Implementation Plan.

2.5 The GASR/GASP focus areas are oriented towards States, regions and industry in line with a guiding principle that safety improvements in civil aviation can be best advanced through a coordinated effort involving both the State regulatory authorities and industry. Similarly, in an effort to involve all stakeholders, the gap analysis involves the coordinated participation of both the regulatory authorities and industry. The proposed performance framework forms presented in this paper for consideration by the meeting cover each GSI and focus area one by one.

2.6 Under the ACIP, a process for providing information on the progress being made in relation to implementation is already in place. The Chief of the ACIP, as the accountable manager, makes periodic progress reports to the Steering Committee and, based on these reports, information is then provided to the AFI Regional Air Navigation Meeting and to periodic sessions of Council. These steps will facilitate efforts to prioritize the actions and resources required. Moreover, this level of transparency will also facilitate a higher level of collaboration in achieving the objectives throughout the AFI Region. If, as is being proposed in this paper, the ACIP can provide the information in an aggregated fashion, through the use of the performance framework forms, the feedback will further enable ICAO and other stakeholders to provide targeted and specific assistance for resolving the deficiencies identified in particular subregions and States.

3. CONCLUSION

3.1 For the process outlined in paragraph 2 to bear fruit, it is absolutely essential for States in the AFI Region to fully engage in the GASP/GASR process, and cooperate with the ACIP to achieve the objectives of Assembly Resolution A36-1. To this end the ACIP, in following the GASP

and in collaboration with all subregional organizations and States within the AFI Region, will continue to assist States in developing action plans based on the findings of the gap analysis and in accordance with the regionally agreed-upon performance objectives and targets. The performance framework forms, applicable to each of the focus areas would provide a more effective management tool for developing the action plans and the activities and projects designed for providing assistance in resolving safety deficiencies. On this basis, the meeting is invited to adopt the following recommendation:

Recommendation 5/x — Regional safety planning methodology

That the Special AFI RAN Meeting adopts the attached performance framework forms as a management tool for use by States and the AFI Region as a whole to track the progress made in the implementation of the AFI Plan and the GASPs.

4. ACTION BY THE MEETING

- 4.1 The meeting is invited to approve the draft Recommendation in paragraph 3.1 above.

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APPENDIX

GLOBAL SAFETY INITIATIVES AND OBJECTIVES

GSI-1: Consistent Implementation of International Standards and Industry Best Practices				
Objectives				
1a	States implement ICAO SARPs and best practices consistently.			
1b	Perform gap assessment for those States that cannot comply. Establish plans to reach desired compliance, including international support where necessary.			
1c	Compliance with international SARPs is assessed on a continuing basis through ICAO USOAP and other equivalent means of assessment. Coordinated international support is being provided where necessary.			
Benefits				
- Regulatory framework that is robust and able to meet safety challenges. - Uniformity with other States improves safety and efficiency. - International recognition.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 1a:			
	Objective 1b:			
	Objective 1c:			
	TASKS			
Short term	- Select the subregion (e.g. Banjul Accord) or State for analysis. - Identify key stakeholders. - Outline the safety strengths and enablers. - Identify the existing and emerging risks. - Perform a gap analysis. - Develop prioritized recommended actions. - Develop an action plan.			
Medium term	Implement the action plan.			
References	GSI-1; and Focus Area 1 of the Roadmap			

GSI-2: Consistent Regulatory Oversight				
Objectives				
2a	States ensure that their Regulatory Authority is independent in the conduct of its safety functions, competent and adequately funded.			
2b	States establish appropriate systems to ensure continued effectiveness of their regulatory function.			
Benefits				
• States can license and certify in accordance with ICAO Standards and best practices. • States can conduct safety oversight of all air operators and approved maintenance organizations. • States can oversight foreign air operations in their territories. • States can resolve safety issues in a timely manner.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 2a:			
	Objective 2b:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	• Implement the action plan.			
References	GSI-2; and Focus Area 2 of the Roadmap			

GSI-3: Effective Errors and Incidents Reporting				
Objectives				
3a	States introduce legislative changes to support the “just culture”, encourage open reporting systems and protect data collected solely for the purpose of improving aviation safety.			
3b	ICAO implements review of States’ activities to identify gaps in their legislative action to encourage open reporting systems. Develop a plan to address gaps.			
3c	Collate regional safety data.			
3d	Implement international sharing of data/global data reporting system.			
Benefits				
• Encourages personnel to report errors. • Required to implement a proactive and predictive approach towards safety management.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 3a:			
	Objective 3b:			
	Objective 3c:			
	Objective 3d:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	Implement the action plan.			
References	GSI-3; and Focus Area 3 of the Roadmap			

GSI-4: Effective Incident and Accident Investigation				
Objectives				
4a	States implement ICAO Annex 13 principles and the introduction of, or access to, an adequately funded, professionally trained, independent and impartial investigative body. Action is taken on recommendations.			
4b	States institute a legal framework for the protection of safety data, with the purpose of accident prevention, not assignment of blame.			
4c	Implement international cooperation and information sharing of accidents and incidents.			
Benefits				
• Encourages personnel to report errors. • Required to implement a reactive, proactive and predictive approach towards safety management.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 4a:			
	Objective 4b:			
	Objective 4c:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	• Implement the action plan.			
References	GSI-4; and Focus Area 4 of the Roadmap			

GSI-5: Consistent Coordination of Regional Programmes				
Objectives				
5a	Design regional mechanisms and build on existing ones in order to foster consistency.			
5b	Assign priority to action to regions on the basis.			
Benefits				
• Rationalization of resources. • More effective implementation of action plans. • Sustainable.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 5a:			
	Objective 5b:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	• Implement the action plan.			
References	GSI-5; and Focus Area 5 of the Roadmap			

GSI-6: Effective Errors and Incidents Reporting and Analysis in the Industry				
Objectives				
6a	Industry commits to a “Just Culture” of reporting all safety-related and potential safety issues without fear of reprimand to involved parties.			
6b	Identify and implement common metrics and descriptors of precursor events needed to enable adoption of a proactive approach to managing risk.			
6c	Establish and integrate across the industry shared incident/error databases. Demonstrate and disseminate the benefits of open reporting.			
Benefits				
- Enables a proactive and predictive approach towards managing safety. - Prerequisite to implement a Safety Management System.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 6a:			
	Objective 6b:			
	Objective 6c:			
	TASKS			
Short term	- Select the subregion (e.g. Banjul Accord) or State for analysis. - Identify key stakeholders. - Outline the safety strengths and enablers. - Identify the existing and emerging risks. - Perform a gap analysis. - Develop prioritized recommended actions. - Develop an action plan.			
Medium term	Implement the action plan.			
References	GSI-6; and Focus Area 6 of the Roadmap			

GSI-7: Consistent Use of Safety Management Systems (SMS)				
Objectives				
7a	SMS is mandated across all sectors and disciplines of the industry.			
7b	Develop a plan for incorporation of SMS into audit processes.			
7c	Develop audit processes to assess operation of SMS function.			
7d	Implement review of SMS during audits.			
7e	Define interface points between industry focus areas and develop a plan for SMS programme integration across all interfaces.			
Benefits				
- Enables a proactive and predictive approach towards managing safety. - Prerequisite to implement an effective Safety Management System.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 7a:			
	Objective 7b:			
	Objective 7c:			
	Objective 7d:			
	Objective 7e:			
	TASKS			
Short term	- Select the subregion (e.g. Banjul Accord) or State for analysis. - Identify key stakeholders. - Outline the safety strengths and enablers. - Identify the existing and emerging risks. - Perform a gap analysis. - Develop prioritized recommended actions. - Develop an action plan.			
Medium term	Implement the action plan.			
References	GSI-7; and Focus Area 7 of the Roadmap			

GSI-8: Consistent Compliance with Regulatory Requirements				
Objectives				
8a	With full management support, execute independent assessment and gap analysis within the industry of regulatory compliance to address areas of non-compliance.			
8b	Perform regular independent audits of operational safety to assess ongoing compliance across the industry.			
Benefits				
• A safe system can only be attained when the industry complies with the State regulations, which are fundamentally based upon the ICAO Standards and Recommended Practices (SARPs). • Continued and audited compliance with State regulations ensures continued improvement in safety, as these regulations are amended to bring and keep them in full compliance with ICAO SARPs, which are updated to reflect the evolving aviation safety requirements.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 8a:			
	Objective 8b:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	Implement the action plan.			
References	GSI-8; and Focus Area 8 of the Roadmap			

GSI-9: Consistent Adoption of Industry Best Practices				
Objectives				
9a	Improve the structures (through management commitment) for maintaining knowledge of best practices and identify future developments in best practices.			
9b	With industry openly sharing information regarding the benefits of best practices, implement performance benchmarking of dissemination consistency.			
Benefits				
- Enables the incorporation of up-to-date industry best practices, which represent the application of lessons learned by the international aviation industry, through the ongoing acquisition and maintenance of best practices knowledge. - Benchmarking of the dissemination of best practices allows the identification of those operators, States or regions where additional efforts are needed to increase best practice adoption. - Adoption of these best practices will improve overall safety and/or efficiency.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 9a:			
	Objective 9b:			
	TASKS			
Short term	- Select the subregion (e.g. Banjul Accord) or State for analysis. - Identify key stakeholders. - Outline the safety strengths and enablers. - Identify the existing and emerging risks. - Perform a gap analysis. - Develop prioritized recommended actions. - Develop an action plan.			
Medium term	Implement the action plan.			
References	GSI-9; and Focus Area 9 of the Roadmap			

GSI-10: Alignment of Industry Safety Strategies				
Objectives				
10a	Design a mechanism for coordination and sharing of safety strategies.			
10b	Coordinate and share safety strategies, seeking to achieve alignment and minimize duplication.			
Benefits				
• The effectiveness of efforts dedicated to improve aviation safety is increased by aligning strategies, goals and methods, especially when integrated solutions are available at global or regional levels. • Duplication of efforts is minimized.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 10a:			
	Objective 10b:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	• Implement the action plan.			
References	GSI-10; and Focus Area 10 of the Roadmap			

GSI-11: Sufficient Number of Qualified Personnel				
Objectives				
11a	Identify requirements for sustaining aviation safety against projected growth of commercial aviation.			
11b	Implement resource plans to deliver appropriate numbers of qualified people.			
11c	Establish audit processes to confirm that people resource plans will deliver the appropriate numbers.			
Benefits				
• The recruitment, training and retention of technically qualified staff, including those engaged in regulatory oversight functions, ensures the potential for growth in commercial aviation while maintaining safety levels. • A core workforce of well trained competent staff is a prerequisite for safety.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 11a:			
	Objective 11b:			
	Objective 11c:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	• Implement the action plan.			
References	GSI-11; and Focus Area 11 of the Roadmap			

GSI-12: Use of Technology to Enhance Safety				
Objectives				
12a	Define proven technology gaps. Industry works together to identify areas where technology might provide significant safety benefits.			
12b	Deploy proven technologies that have been developed to enhance safety.			
12c	Integrate measures to close technology gap.			
Benefits				
• Technological advances contribute significantly to major improvement in safety. • The purchase, installation and maintenance of advanced technologies increases strongly the potential for safety improvement, but only when carefully planned, making use of appropriate technology and taking in consideration all regional factors.				
Strategy				
	TIME FRAME FOR OBJECTIVES	START-END	RESPONSIBILITY	STATUS
	Objective 12a:			
	Objective 12b:			
	Objective 12c:			
	TASKS			
Short term	• Select the subregion (e.g. Banjul Accord) or State for analysis. • Identify key stakeholders. • Outline the safety strengths and enablers. • Identify the existing and emerging risks. • Perform a gap analysis. • Develop prioritized recommended actions. • Develop an action plan.			
Medium term	• Implement the action plan.			
References	GSI-12; and Focus Area 12 of the Roadmap			