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Agenda Item 32: Aviation Safety and Air Navigation Regional Implementation Coordination Mechanisms

EXPANDING THE USE OF REGIONAL RSOO AND RAO ORGANIZATIONS WITHIN THE GLOBAL AVIATION SAFETY OVERSIGHT SYSTEM

(Presented by the Interstate Aviation Committee)

EXECUTIVE SUMMARY

The paper presents proposals for enhancing the use of the capabilities of Regional Accident Investigation Organizations (RAIOs) and Regional Safety Oversight Organizations (RSOOs) within the Global Aviation Safety Oversight System (GASOS), including the investigation of air accidents and incidents.

<i>Strategic Objectives:</i>	This working paper is related to the strategic goal «Aviation safety»
<i>Financial implications:</i>	It may be necessary to consider additional resources to support the recognition of RAIOs and RSOOs as part of the GASOS implementation.
<i>References:</i>	Annex 13 — <i>Aircraft Accident and Incident Investigation</i> Doc 9734, <i>Safety Oversight Manual. Part B — The Establishment and Management of a Regional Safety Oversight System</i> Doc 9756, <i>Manual of Aircraft Accident and Incident Investigation</i> Doc 9946, <i>Manual on Regional Accident and Incident Investigation Organization</i> ICAO Resolution A40-6. Regional cooperation and assistance to resolve safety deficiencies, establishing priorities and setting measurable targets.

¹ English and Russian versions provided by IAC.

1. INTRODUCTION

1.1 Today the activities of Regional Accident Investigation Organizations (RAIOs) and Regional Safety Oversight Organizations (RSOOs) have proven the effectiveness of a regional approach to safety management within the framework of the GASOS concept.

1.2 The development of such regional mechanisms has significant potential to assist States in meeting their obligations under the Chicago Convention through scaling and higher levels of coherence resulting from the cooperation of member states in establishing and maintaining a common safety management system.

1.3 Regional cooperation in investigations can provide economy saving by scaling through sharing of necessary resources, both human and technical. Through joint efforts, the States of a region or subregion can build an effective accident and incident investigation system and, as a result, play a more active role at the global level, especially in promoting safety activities and making safety recommendations for more effective improving of the level of flight safety and air accidents prevention.

1.4 Differences in national legislation and regulatory systems, overlapping audit and recertification programs require improvements and development of existing safety systems in order to simplify the system to better manage resources, meet current problems and future challenges in the ever-growing civil aviation industry.

1.5 The problem of qualified personnel is acute for all regions of ICAO. The problem of attracting the necessary resources to the tasks of accident and incident investigation and safety oversight, as well as the effective use of these resources, is one of the main and most difficult problems facing many ICAO States at present time.

1.6 Harmonization of safety management systems at the regional level and better management of safety oversight and accident and incident investigation resources is a smart move that will keep up with the growing level of complexity. In this context, the development of regional cooperation has been a priority for many states over the past 20 years, while at the same time it has been actively promoted by ICAO and the aviation industry.

1.7 RSOOs and RAIOs are well positioned to meet these challenges, with the mandate they receive through regionalization and delegation of certain oversight functions, and with the technical support they can provide to their Member States. ICAO has strongly contributed to the enhancement of the role of RAIOs and RSOOs, which was noted, in particular, in Resolutions of the 39th and 40th Sessions of the Assembly.

1.8 ICAO, noting the significant contribution of regional aviation safety organizations, encourages States to cooperate more closely at the regional level, and Resolution A40-6 of the 40th Session of the ICAO Assembly, inter alia, instructed the ICAO Council to “support the implementation and further development of the Global Aviation Safety Oversight System (GASOS) regarding the necessary measures to strengthen, assess and support RSOOs or RAIOs to assist their Member States in accomplishing certain safety oversight, accident and incident investigation and safety management functions and activities, while ensuring those States maintain their obligations and responsibilities under the Chicago Convention.”

2. DISCUSSION

2.1 The Universal Safety Oversight Audit Programme (USOAP) audits have shown that many States do not have the necessary resources to effectively carry out safety oversight powers and conduct independent air accident and incident investigation.

2.2 In order to address these challenges today about 17 initiatives of regional cooperation are launched or in preparation, including institutionalized RSOOs and RAIOS, covering more than 130 States around the world. They are acting in different legal, economical and procedural frameworks but are sharing the common objective to strengthen the safety oversight performance and independent air accident and incident investigation in their Member States.

2.3 One example of the successful implementation of regional flight safety mechanisms is the example of the Interstate Aviation Committee (IAC), founded in 1991 by 12 States of the former USSR. The IAC, acting on the basis of international agreements with 78 States and 19 organizations, over the years has managed to establish an effective mechanism in the development and harmonization of aviation regulations and air legislation, certification, harmonization of ATM systems, and training of aviation specialists. The IAC's independent air accident investigation system is recognized worldwide.

2.4 The activities of regional organizations allow States to promote the independent, professional and objective work of aviation experts, eliminate duplication of efforts by pooling human, technical and financial resources, achieve economies of scale, which ensures performance and effectiveness, ensure that specialists in the regions can more quickly receive appropriate experience, as well as to facilitate the recruitment and permanent stable work of specialists for states.

2.5 In order to strengthen the role of regional organizations under the auspices of ICAO, the RSOO-CP and RAIOS CP Cooperation Platforms have been established, within which regional organizations carry out effective interaction, exchange of experience, development of joint decisions and proposals to improve the GASOS mechanism.

2.6 Despite the obvious advantages of sharing resources, today there is an understanding that many organizations are facing challenges that prevent them from fully contributing to the enhancement of flight safety capacities of their Member States. The main problems are related to differences in their legal and organizational structure, differences in the available resources and technical capabilities, processes and management systems, and, as a result, the lack of a common approach on the part of ICAO to the principles of interaction with regional organizations.

2.7 At the same time, despite the success of the concept of regional cooperation, member States of such organizations face challenges in passing ICAO audits under the USOAP Continuous Monitoring Approach (CMA). Thus, for example, the protocol question "Does the legislation provide for the independence of the investigation process and of the authority in charge of conducting aircraft accident and serious incident investigations?", and others, does not fully correspond with the paradigm of GASOS and the participation of regional investigation organizations, which are certainly independent bodies, but the responsibility of state is considered by auditors based on the traditional approach, where the role of regional organizations was not defined.

2.8 Currently, the integration and recognition of regional organizations such as RAIOS and RSOOs in the USOAP CMA system is not fully reflected, and the assignment of functions to States to comply with ICAO Standards and Recommended Practices, even with the delegation of certain functions, makes the implementation of regional cooperation and the concept GASOS predicament.

2.9 Thus, the stated goals of the GASOS concept of eliminating duplication, pooling efforts and more efficient use of resources collide with outdated approaches in ICAO audits under the USOAP CMA, which does not add confidence to States to such a regional mechanisms.

2.10 Changing ICAO policy for ICAO USOAP CMA audits to fully integrate and recognize regional organizations such as RAIOS and RSOOs in the audit system to better align with the ICAO vision of enhancing regional cooperation, while developing additional guidance material, could contribute to a more fruitful development of regional organizations institutions and for the confidence of states to such organizations.

2.11 In this context it would seem appropriate to have greater involvement of experts from regional organizations RSOOs and RAIOS in the conduct of ICAO USOAP CMA audits.

2.12 The current ICAO actions aimed at supporting and strengthening the role of regional organizations within the ICAO system should be commended. In order for all RSOOs and RAIOS to be able to contribute effectively to reinforced global safety oversight capabilities and to achieving Global Aviation Safety Plan (GASP) objectives, it is necessary that both States and ICAO continue the efforts on their support and recognition from GASOS including through independent assessment activities and associated improvement incentives, making them more effective and efficient in supporting their Member States.

3. CONCLUSION

3.1 The Interstate Aviation Committee supports the ICAO efforts aimed at GASOS establishment and development of regional organizations in the field of the flight safety and invites States to provide full support to such organizations and ICAO initiatives with regard to the recommendations of the 40th Session of the Assembly.

3.2 The Interstate Aviation Committee invites States to:

- a) recognize that RAIO and RSOO are playing an important role in the implementation of the flight safety assurance functions in the interest of Member States and within GASP at the regional level;
- b) recommend that States continue to support strengthening of RAIOS and RSOOs, providing mechanisms for sufficient and continuous financing of organizations, and further delegating safety investigation and flight safety oversight functions;
- c) recommend ICAO to continue supporting the strengthening of regional organizations and their role within the ICAO safety system by facilitating access to technical support, training, facilitating the sharing of experience and knowledge between organizations and strengthening direct cooperation between them and ICAO within GASP;

- d) recommend ICAO to adjust the ICAO policy on USOAP CMA audits to fully integrate and recognize regional organizations such as RAIOS and RSOOs in order to better align with the ICAO vision of enhancing regional cooperation; and
- e) recommend ICAO to ensure appropriate recognition of RAIOS and RSOOs role within the ICAO flight safety system and develop initiatives, taking into account the specificity of each region, in support of the goals and objectives of the Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) with an emphasis on effective implementation of state safety programs based on the delegation of relevant functions to RSOOs and RAIOS.

— END —