International Civil Aviation Organization

First Meeting of the RASG-MID Steering Committee (RSC/1)

(Cairo, Egypt, 18 – 20 June 2012)

Agenda Item 4: Regional Performance Framework for Safety

ICAO TOOL FOR THE MONITORING OF THE REGIONAL SAFETY PERFORMANCE FRAMEWORK

(Presented by the Secretariat)

SUMMARY

This paper describes the principles of a performance-based approach to reduce risk and achieve continuous improvement in safety performance through the establishment and monitoring of specific performance criteria based on a data driven process.

In addition, it provides information on a software tool developed by ICAO to monitor the development and implementation of safety enhancements.

Action by the meeting is at paragraph 4.

1. INTRODUCTION

1.1 The ICAO planning objective is to implement a performance based safety framework through safety systems and procedures in a progressive, cost-effective and cooperative manner. It will provide guidance for the prioritization and allocation of aviation safety resources with measurable achievement of global safety goals and associated global safety targets.

2. TRANSITION TO A PERFORMANCE BASED APPROACH

2.1 The aim of a performance-based approach is to reduce risk and achieve continuous improvement in safety performance through the establishment and monitoring of specific performance criteria based on a data driven process.

2.2 The performance-based approach adheres to the following principles: strong focus on results through adoption of performance objectives and targets; collaborative decision making among stakeholders; and reliance on facts and data for decision making. Assessment of achievements is periodically checked through a performance review, which in turn requires adequate performance measurement and data collection capabilities.

2.3 The advantage of a performance-based approach is that it is result oriented, transparent and promotes accountability. It shifts from prescribing solutions to specifying desired performance outcomes; employs quantitative and qualitative methods; avoids a technology driven approach; helps decision makers to set priorities, makes the most appropriate trade-offs, and allows optimum resource allocation.

3. IMPLEMENTATION OF A PERFORMANCE FRAMEWORK FOR SAFETY

3.1 *Regional implementation*

3.1.1 Recognizing that the current regional mechanisms are not sufficient to follow-up on the implementation of the GASP in a globally harmonized manner, the Council in May of 2010, established the Regional Aviation Safety Groups (RASGs), that will monitor progress, coordinate actions among States and industry partners and make recommendations to ICAO to facilitate the implementation of performance framework for safety through the GASP, and the Regional/Sub-Regional action plans resulting from the implementation of the associated GASR.

3.1.2 To adequately follow the guidelines of the GASP, the working methods of the RASG-MID need to be dynamic and follow a performance-based cycle such as the following:

a) identify key stakeholders;
b) gather and analyze data from all available sources;
c) identify risk areas;
d) prioritize;
e) elaborate Safety Enhancement Initiatives (SEIs);
f) create Detailed Implementation Plans (DIPs) with measurable objectives; and
g) monitor/adjust the implementation plans by gathering and analyzing data.

3.1.3 To support the RASGs in tracking the progress, ICAO has developed a software tool to monitor the development and implementation of SEIs. Tracking the progress of all ICAO Regions in implementing safety enhancements will also be important to determine the effectiveness of the GASP on both a regional and global basis. The tool follows the performance measurement concepts as outlined in this paper. Information concerning implementation plans is centrally stored on an ICAO network server. Thus, regions that choose to use the programme would not only be able to track the development and implementation of their safety initiatives, but also safety initiatives in other regions. Consideration should be given to implementing this programme in the MID Region.

3.1.4 Details of the tool are outlined in **Appendix A** to this working paper.

4. ACTION BY THE MEETING

4.1 The meeting is invited to consider the use of the ICAO tool for the monitoring of the Regional Safety Performance Framework in the MID Region.

APPENDIX A

ICAO Tool for Implementation of the Regional Safety Performance Framework

1. The Tool provides a process to ensure adherence to Regional Performance Framework and enable ICAO to readily share the outputs between the various RASGs. The APRAST would first identify Safety Enhancement Initiatives (SEIs). These initiatives could be established based on the analysis of data, ICAO initiatives and/or as developed by other organizations/safety teams. While for the most part SEI would be globally applicable, this may not always be the case and the priorities for implementation of SEIs may vary between regions. Recognizing that it will take time to implement SEIs, APRAST could prioritize, using some of criteria below identified SEIs to ensure that those which have the greatest potential for reducing safety risk are examined first. The following information is contained in the SEI template.

    a) GSI (Global Safety Initiative) Number from the GASP;
    b) RAST Number in the form of APRAST /(risk areas)/ (i.e. APRAST/CFIT/1);
    c) Safety Impact (High, Medium or Low) ;
    d) Changeability (Difficult, Moderate and Easy) taking into consideration the political will, commitment / consensus, resource requirements, availability for implementation, potential blockers – what conditions exist that could prevent implementation;
    e) Impact-Changeability (IC) Indicator (P1, P2, P3, etc.);
    f) Priority;
    g) Possible Champion; and
    h) Notes.

2. Subsequently, for each SEI a Detailed Implementation Plan (DIP) would be completed which should contain the following additional information:
    a. Safety Enhancement Action (expanded)
    b. Statement of Work
    c. Human Resources
    d. Financial Resources
    e. Relation with Current Aviation Community Initiative
    f. Performance Goal
    g. Indicators
    h. Key Milestones

3. Once the Detailed Implementation Plans are completed the outputs for each DIP would be defined utilizing the appropriate template. The Outputs Template contains the following information:
    a. Description
    b. Target Initiation Date
    c. Resources
    d. Resource Notes
    e. Timelines
    f. Action
    g. Target Completion Date

    Note: Sample SEI, DIP and Outputs Templates from the ICAO Tool are outlined hereafter:

Rast No	Safety Enhancement Action	GSI	Reference	CAST SE	Safety Impact	Changeability	Indicator	Priority	Champion	Time Frame	Notes
Initiative LOC 1	LOC SOPS (Standard Operating Procedures)			SE 26	Low	Hard					
Initiative LOC 2	Risk Assessment and Management			SE 27	High	Easy					
Initiative LOC 3	Safety Information			SE 28	Medium						
Initiative LOC 4	Flight Crew Proficiency			SE 29	Low	Easy					
Initiative LOC 5	Human Factors and Automation			SE 30	Low						
Initiative LOC 6	Loss of Control Training			SE 31	High	Hard					

Detailed Implementation Plan Template									
Rast No	**Safety Enhancement Action**	**Reference**	**GSI**	**CAST SE**	**Safety Impact**	**Changeability**	**Indicator**	**Priority**	**Time Frame**

Safety Enhancement Action (expanded)	
Statement of Work	
Champion Organization	
Human Resources	
Financial Resources	
Relation with Current Aviation Community Initiative	
Performance Goal	
Indicators	
Key Milestones	
Potential Blockers	
DIP Notes	

Output Template			
Rast No		**Output No.**	

Description	
Target Initiation Date	
Resources	
Resource Notes	
Time Line:	
Actions	
Target Completion Date	

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