



WORKING PAPER

ASSEMBLY — 37TH SESSION

TECHNICAL COMMISSION

Agenda Item 25: Follow-up of the High-level Safety Conference (2010)

Agenda Item 28: ICAO Global Aviation Safety Plan (GASP) and Regional Aviation Safety Groups (RASGs)

Agenda Item 29: Report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach and Evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010

ICAO SAFETY PRIORITIES AND FOLLOW-UP TO THE 2010 HLSC

(Presented by Belgium on behalf of the European Union and its Member States¹ and by the other States Members of the European Civil Aviation Conference², and by EUROCONTROL)

EXECUTIVE SUMMARY

This paper provides the views of Europe on ICAO safety priorities, in particular in view of the conclusions of the High Level Safety Conference (HLSC). The paper also sets out a proposal for an Assembly resolution on transparency, and addresses in more detail HLSC recommendations in respect of a new Annex on State Safety Management, aviation personnel competency and runway safety.

Action: The Assembly is invited to:

- a) give a high priority to the transition to the Continuous Monitoring Approach (CMA);
- b) endorse the need for enhanced transparency of safety information towards the public, as set out in this paper and the attached proposal for an Assembly Resolution on transparency, including through the public disclosure of unresolved Significant Safety Concerns;
- c) recognise the important role of Regional Safety Oversight Organisations (RSOOs) in helping States meet their safety oversight responsibilities, including in the ways described in this paper;
- d) ensure the close involvement of States and interested international organisations in the activities related to the development of Safety Performance Indicators (SPI) methodology, and that a clear timetable is established for those activities; and
- e) endorse the development of the new State Safety Management Annex in close collaboration from the very beginning with States, international and national organisations, and that the new Annex should envisage the possibility of establishing RSOOs and regional safety programmes.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A (Enhance global civil aviation safety).
<i>Financial implications:</i>	Not applicable.
<i>References:</i>	HLSC 2010 conclusions and recommendations <i>Report of the High-level Safety Conference 2010, Doc 9935</i>

¹ Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom.

² Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Croatia, Georgia, Iceland, Monaco, Montenegro, Norway, Republic of Moldova, San Marino, Serbia, Switzerland, The former Yugoslav Republic of Macedonia, Turkey, and Ukraine.

1. FOLLOW-UP TO THE HIGH LEVEL SAFETY CONFERENCE

1.1 Europe broadly welcomes the conclusions of the HLSC. It is now important that they are adequately followed up and reflected in the strategic planning of ICAO. As for the HLSC, Europe's safety priorities for this Assembly focus on three main themes: (a) *Effective implementation of the Continuous Monitoring Approach*; (b) *Transparency of safety information*; and (c) *Responding effectively to identified safety issues*.

1.2 In addition this paper addresses the HLSC recommendations in relation to the development of a new Annex on State Safety Management, competency of aviation personnel and runway safety.

2. CONTINUOUS MONITORING APPROACH (CMA)

2.1 Europe welcomes the HLSC recommendations in respect of the CMA and invites the Assembly to endorse the gradual transition to the CMA in line with these recommendations. CMA should be given a high priority in ICAO's strategic planning and be implemented in an efficient manner.

2.2 In relation to the HLSC recommendations on SPIs, which are closely linked with the CMA and help to measure the effectiveness of State Safety Programmes (SSP), this paper calls upon ICAO to ensure the close involvement of States and interested international organisations in the activities related to the development of SPI methodology and to establish a clear timetable for those activities.

3. TRANSPARENCY OF SAFETY INFORMATION

3.1 Europe welcomes the emphasis of the HLSC recommendations in respect of transparency of safety information to the travelling public. This is very innovative and the follow-up to these recommendations should be given particular priority.

3.2 The Assembly is invited to endorse the need for better informing the public about aviation safety in a way which would allow passengers to make well informed travel decisions. This should include information about the importance of effective State or regional safety oversight and the correlation between the level of implementation of safety requirements and accident rates.

3.3 In line with the HLSC recommendations, ICAO should also provide for the public disclosure of unresolved Significant Safety Concerns (SSC), along with the level of effective implementation of eight critical elements by all the Contracting States. This should be done in a way which clearly underlines that Contracting States with unresolved SSC allow the operation of air carriers or other aviation activities which do not meet the applicable international safety standards.

3.4 Similarly, when communicating unresolved SSCs to the Contracting States, ICAO should indicate explicitly that in such cases the conditions provided for in Article 33 of the Convention are not met. In a situation where available information clearly indicates the existence of very serious non-compliance with international safety standards, it is evident that Contracting States should not be under an obligation to accept in their own airspace aircraft or operators from States with unresolved SSC.

3.5 Finally, Europe considers that the current SSC procedure should be reviewed to render it more transparent and objective. The present SSC criteria seem not to address all of the safety concerns which may require urgent action by a Contracting State. Such a review should aim at developing more consistent criteria, taking into account the USOAP/CMA findings, their severity, and the level of effective

implementation of SARPs. It is in particular important that the procedure takes into account the *cumulative* effect of the USOAP/CMA findings, which taken individually may not warrant the issuance of a SSC.

4. RESPONDING EFFECTIVELY TO IDENTIFIED SAFETY ISSUES

4.1 Although important progress was made in reducing fatal accidents and fatalities over the past 10 years, better coordinated approaches are needed to further drive safety improvements and sustainable safety solutions. The implementation of the SSP and CMA, as well as further enhancement of transparency should contribute to that.

4.2 It is equally important that ICAO respond effectively and in a timely manner to recent accidents which have brought to light shortcomings in safeguarding flight data and locating/recovering on-board recorders, communications with aircraft over oceanic areas, as well as the effectiveness of requirements in relation to the design of standard operating procedures.

4.3 In addition, Regional Safety Oversight Organisations (RSOOs) have an increasingly important role in supporting Contracting States in meeting their safety oversight responsibilities by allowing them to pool resources and affording greater efficiency of safety processes. In this respect:

- a) Contracting States, ICAO and donor organisations are invited to cooperate closely and exchange information to better prioritise and coordinate technical cooperation projects;
- b) Efforts should be focused on States with systemic safety difficulties, where the political will exists to take action to address them;
- c) Priority should be given to supporting RSOOs, and cooperation among them. When ICAO involves itself in the establishment of RSOOs, it should do so in a transparent manner, and when possible invite existing RSOOs to contribute; and
- d) The benefits afforded by RSOOs should be more systematically reflected by ICAO in its rulemaking and audit activities. In particular the CMA, as recommended by the HLSC, should take into account inputs from regional safety audit systems, to avoid systematic duplication of monitoring activities.

5. NEW ANNEX ON STATE SAFETY MANAGEMENT

5.1 Europe welcomes the HLSC recommendations in respect of a new Annex on State Safety Management. It recalls that the HLSC called for this Annex to be developed "*in close collaboration with States, international and national organisations*". It is important that the experiences of States and interested international organisations in the implementation of SSP/SMS requirements, as well as implementation of the eight ICAO critical elements of safety oversight are taken into account from the very beginning in the development of the new Annex. It is equally important that the new Annex envisages the possibility of establishing RSOOs and regional safety programmes. Finally, this Annex should also address, as recommended by the HLSC, requirements for transparency of safety information towards the travelling public, facilitated as appropriate by ICAO.

**6. AVIATION PERSONNEL COMPETENCY,
INCLUDING PILOT TRAINING**

6.1 This paper welcomes the discussions which took place at the HLSC in relation to training issues. Europe believes, however, that the HLSC recommendations and their emphasis on the future generation of aviation professionals should not mean that lower priority is given to the important current training challenges. Proposals from Europe in this respect are presented in its working paper presented under Agenda Item 45.

7. RUNWAY SAFETY

7.1 HLSC concluded that "Runway's safety continues to be one of aviation's greatest challenges". However, HLSC recommendations on runway safety focus mainly on Contracting States raising awareness with the support of ICAO (regional International Runway Safety Summits). Europe advocates a more comprehensive approach to tackle effectively this issue, under the leadership of ICAO. Such an approach should adopt an inter-organisational perspective, underpinned by adequate data collection and the monitoring of safety risks, in particular through the SSP and CMA, and complemented by wide dissemination of lessons learned and prevention strategies. A proposal along these lines is presented in detail in a separate working paper tabled by Europe under Agenda Item 30.

DRAFT RESOLUTION

Resolution 25/xx: Transparency of safety information

Recalling that transparency and sharing of safety information are fundamental tenets of a safe air transportation system and that one of the objectives of sharing safety information is to ensure a consistent, evidence-based and transparent response to safety concerns at the State and at the global levels;

Recalling that mutual trust between States, as well as public confidence in the safety of air transportation is contingent upon access to adequate and reliable safety information;

Recognising the difficulties that many Contracting States have in establishing and operating an efficient safety oversight system and the need for these States to pool resources and work together within Regional Safety Oversight Organisations;

Reminding Contracting States of the need for adequate surveillance of all aircraft operations, including foreign aircraft within their territory and of the need to take appropriate action when necessary to preserve safety; and

Recalling that States should base the recognition as valid of certificates and licences of other States exclusively on safety considerations and not for the purpose of gaining economic advantage.

The Assembly:

Requests the Council to ensure public dissemination of easily understandable safety information in order to respond to a moral need and to allow air passengers to make informed decisions about the safety of air travel; such information should explain the importance of safety oversight in ensuring civil aviation safety, and recognize the uncertainties that may surround the safety of air carriers from States whose safety oversight capabilities show significant deficiencies;

Requests the Council to ensure the publication of unresolved Significant Safety Concerns in a form which is understandable to the public and which clearly underlines that those States allow to operate air carries which are not in compliance with international safety standards;

Calls upon the Contracting States, the Council and donor organisations to give particular priority in technical cooperation to the development and support of Regional Safety Oversight Organisations;

Calls upon the Council to ensure that the benefits afforded by regional cooperation and Regional Safety Oversight Organisations are adequately reflected in ICAO rulemaking and safety monitoring activities, in particular in the Continuous Monitoring Approach and the new Annex on State Safety Management;

Calls upon the Contracting States to establish operating rules, in accordance with the Convention and on a non-discriminatory basis, governing the surveillance of foreign aircraft and air operators within their territories;

Calls upon the Council to ensure that ICAO systematically brings to the attention of the Contracting States complete information about the States allowing aviation activities which do not meet the applicable international safety standards.