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ASSEMBLY — 37TH SESSION

REPORT OF THE TECHNICAL COMMISSION ON AGENDA ITEMS 26 AND 28

(Presented by the Chairman of the Technical Commission)

The attached report on Agenda Items 26 and 28 has been approved by the Technical Commission. Resolution 28/1 is recommended for adoption by the Plenary.

Note.— After removal of this covering sheet, this paper should be inserted in the appropriate place in the report folder.

(7 pages)

Agenda Item 26: Safety management and safety data

26.1 The Commission reviewed A37-WP/69, presented by the Council, containing a report on the evolution of ICAO's proactive safety management approach. The working paper provided an overview of ICAO's safety analysis strategy, including the eventual integration of operational data generated through future implementation of the State safety programme (SSP) and safety management systems (SMS).

26.2 The Commission, having reviewed the information provided in A37-WP/69, endorsed ICAO's safety management approach and the intended future use of safety intelligence to support achievement of safety targets contained within the Global Aviation Safety Plan (GASP).

26.3 The Commission reviewed A37-WP/173, presented by Indonesia, which supported the development of common safety metrics, analysis methods and interoperable database systems to support safety performance measurement and ensure effective sharing of safety information among States. The paper also recommended the use of the Universal Safety Oversight Audit Programme (USOAP) protocols for States to use in the conduct of internal audits to assure compliance with ICAO Standards and Recommended Practices (SARPs).

26.4 The Commission reviewed A37-WP/223, presented by the Republic of Korea, which called for ICAO's leadership in support of SSP and SMS implementation, including a request for ICAO to survey States to determine the workload associated with implementation. The paper also recognized the need for harmonization of safety metrics and analysis methods to promote a free flow of safety information, as well as the need to determine how such information can be disseminated while preventing inappropriate use. The paper also asked for ICAO to support an SSP/SMS Seminar to be hosted by the Republic of Korea in 2011.

26.5 The Commission reviewed A37-WP/155, presented by Canada and the United States, which called for common methods and processes related to SMS implementation, acceptance, performance measurement and oversight. The paper recommended that the Safety Management International Collaboration Group (SMICG) be asked to study SMS equivalency and to provide recommendations on how to achieve consistent implementation.

26.6 The Commission reviewed A37-WP/141, A37-WP/142, A37-WP/144, and A37-WP/145, all presented by Venezuela. These papers called upon ICAO to provide support for SMS implementation and to develop further human factors principles in the context of safety management. They also recognized the need to educate senior management regarding their respective roles in support of SMS implementation and to develop skills within States and aviation organizations to support safety risk management activities, in particular, the ability to investigate safety related events of low consequence.

26.7 The Commission reviewed A37-WP/149, presented by ACAC, which supported the development of a new Annex to the Chicago Convention dedicated to safety management and establishment of an appropriate working group for this purpose.

26.8 The Commission reviewed A37-WP/295 and A37-WP/296, both presented by the Civil Air Navigation Services Organisation (CANSO). Working Paper A37-WP/295 called for the definition of global safety metrics necessary to support a harmonized approach to safety analysis and cited CANSO's work in development of leading and lagging safety indicators. Working paper A37-WP/296 cited CANSO's SMS Standard of Excellence and its complementary role in support of SSP and SMS implementation by States and service providers, respectively.

26.9 The Commission reviewed A37-WP/113, presented by the Interstate Aviation Committee, which called for the development of an international standard for SMS terms and definitions, risk forecasting techniques and computer systems to support proactive safety analysis.

26.10 The discussion highlighted the fact that implementation of safety management is a challenging task and that training and more general support is critical to its effective implementation. The development of a new Safety Management Annex (discussed under Agenda Item 25: Follow-up of the High-level Safety Conference (2010)) was also deemed to be essential, and a number of States commented on the need to ensure that the new Annex be developed in a timely manner, yet capturing the recommendations of the High-level Safety Conference, the latest safety management developments, and the implementation needs of States. The Commission agreed that the new Annex should be developed in close collaboration from the very beginning with States and international organizations, and that the new Annex should envisage the possibility of establishing regional safety oversight organizations (RSOOs) and regional safety programmes. The Commission therefore agreed to request that the ICAO Council make the necessary arrangements.

26.11 Information papers were provided by Australia (A37-WP/289); India (A37-WP/105 and A37-WP/106), United States (A37-WP/225 and A37-WP/227); Venezuela (A37-WP/146); ASECNA (A37-WP/309); and the Interstate Aviation Committee (A37-WP/112).

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

28.1 The Commission reviewed A37-WP/70, presented by the Council, containing a report on the implementation and planned evolution of ICAO's Global Aviation Safety Plan (GASP), including a draft Resolution instructing the Secretary General to effectively communicate the GASP, related Global Aviation Safety Roadmap (GASR) and the Global Air Navigation Plan (GANP). The draft Resolution further urges States to support implementation of the State Safety Programme (SSP) and to otherwise support related activities. The working paper also provided an overview of the establishment of Regional Aviation Safety Groups (RASGs), including their role to support achievement of GASP objectives at a regional level.

28.2 The Commission reviewed A37-WP/81, presented by Belgium on behalf of the European Union and its Member States and by the other Members of the European Civil Aviation Conference and by EUROCONTROL. The paper provided views on ICAO safety priorities, in particular the role of Regional Safety Oversight Organizations (RSOOs) in supporting States in meeting their safety oversight responsibilities.

28.3 An information paper was provided by Belgium on behalf of the European Union and its Member States, ECAC, and EUROCONTROL (A37-WP/198).

28.4 In the ensuing discussion, the Commission agreed to the GASP evolution strategy and to modifications in the draft Resolution and requested that the ICAO Council develop a plan for prioritization of strategic safety programmes and to support their implementation as funding permits.

28.5 A delegation underlined that while a code of conduct should be developed regarding the transmission of technical data between States, there is an urgent need for ICAO to provide the public easy, understandable information about the safety of air transportation. The delegation expressed its support for the draft resolution on transparency in WP/81.

28.6 In view of the discussion, the Commission submits, for adoption by the Plenary, the following resolution:

Resolution 28/1: ICAO global planning for safety and sustainability

Whereas ICAO strives to achieve the goal of a safe and orderly development of civil aviation through cooperation among Contracting States and other stakeholders;

Whereas to realize this goal, the Organization has established Strategic Objectives in the fields of, inter alia, safety and efficiency;

Recognizing the importance of a global framework to support the Strategic Objectives of ICAO;

Recognizing the importance of regional and national plans and initiatives based on the global framework for effective implementation; and

Recognizing that further progress in improving global safety and efficiency of civil aviation is best achieved through a cooperative, collaborative and coordinated approach in partnership with all stakeholders under the leadership of ICAO;

The Assembly:

1. *Resolves* that ICAO shall implement and keep current the Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) to support the relevant Strategic Objectives of the Organization;

2. *Resolves* that these global plans shall be implemented and kept current in close cooperation and coordination with all concerned stakeholders;

3. *Resolves* that these global plans shall 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;

4. *Calls upon* States and *invites* other stakeholders to cooperate in the development and implementation of regional, subregional and national plans based on the framework of the global plans;

5. *Instructs* the Council to provide a report on the implementation and evolution of the global plans to future regular sessions of the Assembly;

6. *Instructs* the Secretary General to promote, make available and effectively communicate the GANP, GASP and its associated Global Aviation Safety Roadmap (GASR) global plans; and

7. *Declares* that this Assembly resolution supersedes Assembly Resolution A36-7 on the ICAO Global Aviation Safety Plan (GASP).

APPENDIX A

Global Aviation Safety Plan

Reaffirming that the primary objective of the Organization continues to be the improvement of safety and an associated reduction in the number of accidents and related fatalities within the international civil aviation system;

Recognizing that safety is a shared responsibility involving ICAO, Contracting States and all other stakeholders;

Recognizing the safety benefits that can be drawn from partnerships between States and industry such as the Commercial Aviation Safety Team (CAST), the European Strategic Safety Initiative (ESSI), the Regional Aviation Safety Group-Pan-American (RASG-PA) and the African and Indian Ocean Islands Safety Enhancement Team (ASET);

Recognizing that the High-level Safety Conference (2010) reaffirmed the need for the ICAO safety framework to continuously evolve to ensure its sustained effectiveness and efficiency in the changing regulatory, economic and technical environment;

Noting that the expected increase in international civil aviation traffic will result in an increasing number of aircraft accidents unless the accident rate is reduced;

Realizing the need to maintain the public's confidence in air transport through the dissemination of safety information;

Recognizing that a proactive approach in which safety risks are identified and managed is of paramount importance to the achievement of further improvements in aviation safety;

Recognizing that regional aviation safety groups should be implemented by ICAO, taking into account the needs of the various regions and building on the already existing structures and forms of cooperation;

Noting with satisfaction the Global Aviation Safety Roadmap as developed by key industry partners acting as the Industry Safety Strategy Group (ISSG) with ICAO and which forms the basis for the Global Aviation Safety Plan (GASP);

Noting the intent to continuously apply the GASP as a tool to enhance safety by focusing action where it is most needed; and

Noting the unified strategy established by ICAO to resolve safety-related deficiencies.

The Assembly:

1. *Stresses* the need for continuous improvement of aviation safety through a reduction in the number of accidents and related fatalities in air transport operations in all parts of the world, particularly in States where safety records are significantly worse than the worldwide average;

2. *Stresses* that limited resources of the international aviation community should be used in the first place to support States or regions whose safety performance is not at an acceptable level and where political willingness exists to improve safety oversight functions;

3. *Urges* Contracting States to support the GASP objectives by:

a) implementing the State Safety Programme (SSP);

b) expeditiously implementing safety management systems across the aviation industry to complement the existing regulatory framework;

- c) sharing operational safety intelligence among States and relevant aviation stakeholders;
- d) ensuring that the travelling public has access to easily understandable safety-related information to enable informed decisions;
- e) creating an environment in which the reporting and sharing of information is encouraged and facilitated and in which remedial action is undertaken in a timely fashion when deficiencies are reported; and
- f) reporting accident and incident data as required to ICAO;

4. *Urges* Contracting States, regional safety oversight organizations and international organizations concerned to work with all stakeholders to implement the GASP objectives and GASR methodology objectives and to implement these methodologies to reduce the number and rate of aircraft accidents;

5. *Urges* Contracting States to demonstrate the political will necessary for taking remedial actions to address deficiencies including those identified by Universal Safety Oversight Audit Programme (USOAP) audits and through the application of GASP objectives and the ICAO regional planning process;

6. *Urges* States to fully exercise safety oversight of their operators in full compliance with applicable Standards and Recommended Practices (SARPs), and assure themselves that foreign operators flying in their territory receive adequate oversight from their own State and take appropriate action when necessary to preserve safety;

7. *Urges* States to develop sustainable safety solutions to fully exercise their safety oversight responsibilities. This can be achieved by sharing resources, utilizing internal and/or external resources, such as regional and subregional safety oversight organizations and the expertise of other States;

8. *Urges* Contracting States, the industry and financing institutions to provide the needed support for the coordinated implementation of the ICAO Global Aviation Safety Plan, avoiding duplication of efforts.

— END —