



ICAO

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INFORMATION PAPER

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Mexico City, Mexico, 13 to 15 November 2018

Agenda Item 4: Analysis of the Effective Implementation (EI) of States Safety Oversight Systems

CANADA'S PARTICIPATION IN A GLOBAL AVIATION SAFETY OVERSIGHT SYSTEM (GASOS) TRIAL ASSESSMENT

(Presented by Canada)

EXECUTIVE SUMMARY

The International Civil Aviation Organisation is developing a Global Aviation Safety Oversight System (GASOS). The objectives are to strengthen State safety oversight and safety management capabilities by enabling the delegation of safety oversight functions, as needed, by States to competent Regional Safety Oversight Organizations that have been assessed and recognized by ICAO; and by strengthening existing RSOOs to make them more effective and efficient in supporting States. GASOS is a voluntary standardized assessment and recognition mechanism for State civil aviation authorities (CAAs), regional safety oversight organizations (RSOOs) and other regional State-based mechanisms. Transport Canada was the first State involved in the GASOS trial assessment. The assessment will enable Transport Canada to strengthen safety oversight capabilities and improve performance. Canada encourages similar organizations to apply for an assessment as part of the GASOS trial period.

Action:	To take note of the GASOS initiative and consider applying for an assessment as part of the GASOS trial period.
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<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety
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1. Introduction

1.1 ICAO is proposing the establishment of a Global Aviation Safety Oversight System which would be a voluntary, standardized assessment and recognition mechanism for safety oversight organizations (e.g. civil aviation authorities and regional safety oversight organizations).

1.2 It would also provide incentives to States to delegate safety functions to safety oversight organizations (SOOs) that have been recognized by ICAO (these SOOs would be published in a Directory)

2. Why is this necessary?

2.1 Some States are unable to fulfil their aviation safety oversight obligations. Gap between State safety oversight capabilities and obligations is going to expand as air traffic is expected to double in the next 15 years.

3. What are the objectives of GASOS?

3.1 The objectives are:

- Strengthen State safety oversight capabilities by providing them recognized, competent SOOs.
- Strengthen existing SOOs by incentivizing improvement through the recognition process.
- In the long-run, to make the safety oversight process more efficient and standardized.

4. How will this work in practice?

4.1 SOOs can apply for one of three levels of recognition:

- Delegation at Level 1: Advisory and coordinating functions
- Delegation at Level 2: Operational assistance functions
- Delegation at Level 3: Certifying functions, issuance of regulations, and full safety investigations

4.2 Once approved, SOOs will be listed in an online, public directory which contains all recognized SOOs and the scope of their recognized functions. Recognized SOOs will have to annually demonstrate their competence to ICAO. States will maintain responsibility for safety oversight but will be able to decide whether they would like to fully or partially delegate safety functions to one or more SOOs.

- States are responsible for ensuring that the SOO is competent in their State-specific context and ensuring that their SOO is performing their functions properly
- ICAO is aware that they will need to provide better guidance for States on delegation mechanisms and monitoring of SOOs

4.3 SOOs will receive cost recovery for their work in other States. USOAP CMA activities will be reduced for States which delegate their responsibilities as some of these functions will be performed through the recognition and monitoring of the SOOs.

4.4 GASOS will likely be implemented in phases, starting with the recognition of RSOOs and State CAAs before considering non-governmental organizations. GASOS will be managed on a cost recovery basis, may seek voluntary resource contributions from States, International Organizations and Industry.

5. How is this different from USOAP CMA?

5.1 USOAP CMA measures the safety oversight performance of States, is mandatory for States. GASOS recognizes the competence of organizations that States can use to reinforce their safety oversight capability, is voluntary for States and SOOs.

6. Initial Recognition of an SOO

6.1 Assessment and recognition of SOOs will be based on the USOAP CMA methodology. Assessment criteria will be posted online.

- Includes a set of generic criteria applicable to each applicant
- Includes specific criteria dependent on the functions, level of recognition being applied for:
 - Phase 1: Application and pre-assessment
 - SOO voluntarily applies for recognition online
 - ICAO pre-assesses the application package to ensure the SOO is eligible for a full GASOS assessment
 - Phase 2: Self-assessment and preparation of the on-site assessment
 - SOO will provide a self-assessment against the applicable assessment criteria which will be reviewed by ICAO
 - ICAO will establish an assessment team and plan an on-site assessment
 - Phase 3: On-site assessment
 - Methodology will follow principles of USOAP CMA
 - Conduct the on-site assessment, identify Level 1 (need to be corrected before recognition can be granted) and Level 2 (recommendations) findings
 - Phase 4: Final phase/Recognition
 - Corrective Action Plan will be initiated in the case of Level 1 findings
 - Assessment team will provide a report which will include any remaining open findings and a recommendation to issue a recognition, if appropriate
 - If appropriate, a GASOS recognition certificate will be issued and the GASOS Directory will be updated

7. Continuous monitoring of a recognized SOO

- The SOO will have to provide updated information on its activities yearly
- ICAO may send a Mandatory Information Request to respond to feedback from States or after a change in assessment criteria
- SOOs can apply for updates to the scope of their recognition which will be handled using a streamlined version of the above process
- ICAO can revoke, suspend or limit an SOO recognition if necessary