



WORKING PAPER

**DANGEROUS GOODS PANEL (DGP)
WORKING GROUP MEETING (DGP-WG/18)**

Montréal, 1 to 5 October 2018

Agenda Item 2: Managing air-specific safety risks and identifying anomalies

2.3: Develop proposals, if necessary, for amendments to the *Supplement to the Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284SU)* for incorporation in the 2021-2022 Edition

**COMPETENCY FRAMEWORK FOR STATE EMPLOYEES – GRANT OF SHIPMENT
APPROVALS AND EXEMPTIONS**

(Presented by E. Gillett)

SUMMARY

This paper proposes that the granting of shipment approvals and exemptions be added to the competency framework for State employees involved in the regulation and oversight of the transport of dangerous goods by air.

Action by the DGP-WG: The DGP-WG is invited to consider adopting the proposal to amend Attachment I to Chapter 5 of the Supplement as shown in the appendix to this working paper.

1. INTRODUCTION

1.1 The Technical Instructions makes provision for dangerous goods to be transported under an approval or exemption and establishes the conditions to be met. Further guidance is provided to States in the Supplement. States may apply additional policies and conditions as considered appropriate.

1.2 Shipment approvals and exemptions can be required urgently, for example to facilitate trade or provide humanitarian relief, so it is important that States establish related policies and processes to ensure they are prepared should an application be made.

1.3 States should develop and publish guidance material for entities needing to apply for a shipment approval or exemption so that they can identify a State's application process and policies.

1.4 The competencies associated with the development and implementation of processes and policies for the granting of shipment approvals and exemptions are not included within the competency

framework for State employees established within Attachment I to Chapter 5 of the Supplement. Accordingly, States might not include shipment approvals and exemptions within the scope of the competency-based training provided to State employees who are tasked with this activity.

2. ACTION BY THE DGP-WG

2.1 The DGP-WG is invited to consider adopting the proposal to amend Attachment I to Chapter 5 of the Supplement as shown in the appendix to this working paper.

APPENDIX

PROPOSED AMENDMENT TO ATTACHMENT I OF THE SUPPLEMENT

ATTACHMENT I TO CHAPTER 5

COMPETENCY FRAMEWORK FOR STATE EMPLOYEES

1. SCOPE OF THE COMPETENCY FRAMEWORK

1.1 The scope of the competency framework concerns State employees involved in the regulation and oversight of the transport of dangerous goods by air based on obligations of States according to the Convention on International Civil Aviation.

1.1.1 The State is responsible for implementing a system for determining compliance with Annex 18.

1.1.2 The application of the basic principles of a competency-based approach determines the performance level for State employees in carrying out their function to meet the State's obligations as defined by the Annex 18.

1.2 The dangerous goods-related activities referred to in the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) are reflected in the competency framework. The details of the competency framework are based on common practices as applied by a number of States on training, operational procedures for inspection, surveillance and enforcement; and granting shipment approvals and exemptions.

2. STRUCTURE OF THE DOCUMENT

2.1 A distinction is made between competencies of a "general nature" which are applicable to all State employees and competencies related to the actual "technical performance" of a State employee in relation to his or her specific tasks.

2.2 For task-related competencies, the basic competency framework is structured according to three levels defined in the *Procedures for Air Navigation Services — Training* (PANS-TRG, Doc 9868): competency units, competency elements, and performance criteria. Further specification at these three levels is derived from job and task analyses of common practices in some States.

2.3 Regarding the responsibilities of State employees and the principles applicable to the definition of the competency framework, a distinction has been made between the different functional levels: strategic, managerial and operational.

2.4 Taking into account the above, the competency framework for State employees is based on:

a) Core competencies applicable to all State employees:

- core competencies and personal attributes; and
- general awareness, knowledge and skills;

b) Competency units related to specific activities of State employees:

- support the development and implementation of a State dangerous goods programme;
- approve an operator's dangerous goods system;
- conduct oversight of dangerous goods operations; and
- evaluate dangerous goods accidents, incidents and other occurrences; and
- grant shipment approvals and exemptions.

3. COMPETENCIES OF CIVIL AVIATION SAFETY INSPECTORS

The *Manual on Competencies of Civil Aviation Safety Inspectors (CASIs)* (Doc 10070) contains a competency framework applicable to all civil aviation safety inspectors, including dangerous goods.

4. COMPETENCIES RELATED TO SPECIFIC ACTIVITIES OF STATE EMPLOYEES

Dangerous goods are articles or substances which are capable of posing a risk to health, safety, property or the environment and which are shown in the list of dangerous goods in the Technical Instructions or which are classified according to those Instructions. The transport of dangerous goods is recognized as an integral part of a State's overall safety oversight programme. Each State must provide training to each of its dangerous goods employees which emphasizes a State's specific dangerous goods standards and regulations. Training should be designed so that it enables all State employees involved in dangerous goods oversight to perform their tasks. In the same manner in which States require industries performing dangerous-goods-related functions to be trained in the transport of dangerous goods, States should provide their employees with training commensurate with their responsibilities. Table S-1-1 identifies competencies related to the specific activities conducted by dangerous goods State employees.

Table S-1-1. Competency framework for State employees

COMPETENCY FRAMEWORK FOR DANGEROUS GOODS STATE EMPLOYEES

CU 1 Support the development and implementation of a State dangerous goods programme

CE 1.1 Develop regulations

- PC 1.1.1 Apply procedures to develop national regulations on the transport of dangerous goods by air
- PC 1.1.2 Monitor relevant changes to ICAO provisions and other relevant international provisions that may impact national dangerous goods air transport regulations
- PC 1.1.3 Develop guidance on how to comply with national regulations

CE 1.2 Develop policies and procedures

- PC 1.2.1 Develop policies and procedures to approve an operator's manuals specific to dangerous goods
- PC 1.2.2 Develop policies and procedures to approve an operator's training programme specific to dangerous goods
- PC 1.2.3 Develop policies and procedures to conduct oversight of entities performing any functions prescribed in national regulations for the transport of dangerous goods by air
- PC 1.2.4 Develop surveillance work plan
- PC 1.2.5 Develop policies and procedures to grant shipment approvals and exemptions

CE 1.3 Develop tools to support the implementation of national regulations

- PC 1.3.1 Develop guidance material for entities performing any functions prescribed in national regulations for the transport of dangerous goods by air
- PC 1.3.2 Develop training for personnel overseeing any function prescribed in national regulations for the transport of dangerous goods by air
- PC 1.3.3 Develop public awareness materials related to dangerous goods
- PC 1.3.4 Develop guidance material for entities applying for shipment approvals and exemptions

CU 2 Approve an operator's dangerous goods system

CE 2.1 Approve the dangerous goods component of the operations manual

- PC 2.1.1 Verify the operations manual against the national regulations, policies and procedures for the transport of dangerous goods by air
- PC 2.1.2 Recommend amendments to the operations manual, as necessary
- PC 2.1.3 Verify that the amendments to the operations manual are completed
- PC 2.1.4 Issue the approval

CE 2.2 Approve dangerous goods training programme

- PC 2.2.1 Verify the training programme against the national regulations, policies and procedures for the transport of dangerous goods by air
- PC 2.2.2 Verify that the training programme addresses all dangerous goods functions identified in the operations manual
- PC 2.2.3 Recommend amendments to the training programme, as necessary
- PC 2.2.4 Verify that the amendments to the training programme are completed
- PC 2.2.5 Issue the approval

CU 3 Conduct oversight of dangerous goods operations

CE 3.1 Prepare for inspection

- PC 3.1.1 Analyse information on dangerous goods-related functions
- PC 3.1.2 Plan inspection activities

CE 3.2 Conduct inspection

PC 3.2.1 Communicate scope and intent of the inspection

PC 3.2.2 Determine compliance with national regulations, policies and procedures for the transport of dangerous goods by air

CE 3.3 Finalize inspection

PC 3.3.1 Communicate inspection results

PC 3.3.2 Document inspection results

CU 4 Evaluate dangerous goods accidents, incidents and other occurrences

CE 4.1 Conduct investigation

PC 4.1.1 Gather evidence

PC 4.1.2 Verify non-compliance against national regulations for the transport of dangerous goods by air

CE 4.2 Take corrective/appropriate action

PC 4.2.1 Document specific areas of non-compliance

PC 4.2.2 Apply national enforcement policy

PC 4.2.3 Confirm effectiveness of corrective action

CU 5 Grant Shipment Approvals and ExemptionsCE 5.1 Evaluate applicationPC 5.1.1 Confirm all required information has been submittedPC 5.1.2 Verify that the application complies with the applicable conditions of the Technical Instructions, Supplement and/or national policiesPC 5.1.3 Identify and agree appropriate conditions with the applicantCE 5.2 Grant shipment approval or exemptionPC 5.2.1 Prepare and issue the shipment approval or exemption document

— END —