*International Civil Aviation Organization*

**First Meeting of the Middle East Regional Aviation Safety Group (RASG-MID/1)**

*(Cairo, Egypt, 18 – 19 September 2011)*

---

**Agenda Item 4:**     **Global/Regional Performance Framework for Safety**

REGIONAL PERFORMANCE FRAMEWORK FOR SAFETY

*(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.

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.

2.4        It is essential to use harmonized terminology in applying performance-based approach to safety. For performance measurement three basic terms are explained:

a) *Performance Indicator:* Current/past performance, expected future performance as well as actual progress in achieving performance objectives is quantitatively expressed by means of performance indicators. To be relevant, indicators need to correctly express the intention of the associated performance objective. Since indicators support objectives, they should not be defined without having a specific performance objective in mind. These performance indicators are not often directly measured. They are calculated from supporting metrics;

b) *Performance Metrics:* Performance measurement is done through the collection of data for the supporting metrics. In other words, metrics are quantitative measure of system performance – how well the system is functioning; and

c) *Performance Target*: Performance targets are closely associated with performance indicators: they represent the values of performance indicators that need to be reached or exceeded to consider a performance objective as being fully achieved.

**3.        IMPLEMENTATION OF A PERFORMANCE FRAMEWORK FOR SAFETY**

*3.1        Update to GASP*

3.1.1        The first version of the ICAO Global Aviation Safety Plan (GASP) was developed in 1997 by formalizing a series of conclusions and recommendations developed during an informal meeting between the Air Navigation Commission and industry. The plan was used to guide and prioritize the technical work programme of the Organization and was updated regularly until 2005 to ensure its continuing relevance. In May 2005, another meeting between the Air Navigation Commission and industry identified a need for a broader plan that would provide a common frame of reference for not only ICAO but all stakeholders.  Consequently, an amended GASP was developed and was subsequently recognized in Resolution A36-7 (*ICAO Global Planning for Safety and Efficiency)* at the 36th Session of the ICAO Assembly in October 2007.

3.1.2        The GASP, published in October 2007, is undergoing a revision to reflect new developments such as the concept of performance-based approach to safety and the State Safety Programme (SSP) and also the notion of Safety Management Systems (SMS) was undergoing an in-depth review, standardization and further development. Accordingly, the GASP and its Global Aviation Safety Roadmap (GASR) are being revised in order to align its contents with SSP/SMS roles and will be available by December 2011.

*3.2        Regional implementation*

3.2.1        Recognizing that the current regional mechanisms are not sufficient to follow-up on the implementation of the GASP in a globally harmonized fashion, 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 subregional action plans resulting from the implementation of the associated GASR.

3.2.2        The Regional Aviation Safety Group – Middle East (RASG-MID) has been established following the ICAO Council directive and the Middle East Directors General of Civil Aviation meeting agreement (DGCA-MID/1, United Arab Emirates, 22 - 24 March 2011).

3.2.3        Using the GASP and GASR, the RASG-MID should build on the work already done by other groups in the region such as the Middle East Air Navigation Planning and Implementation Regional Group (MIDANPIRG), COSCAP-GS and the TLST to be effective and avoid duplication.

3.2.4        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.

3.2.5        Consistent to the MIDANPIRG, it is envisaged that progress reports prepared by the RASG-MID will be review by the Air Navigation Commission (ANC) on a regular basis and the ICAO Council as deemed necessary. The ANC will be very keen to understand the identified issues, the resulting safety enhancement initiatives and follow closely the implementation plans while monitoring the results on the annual safety report to provide any support deemed appropriate.

3.2.6        To properly coordinate the RASG-MID activities in-between RASG-MID meetings a RASG-MID Steering Committee should be established (RSC). Furthermore the RASG-MID should consider establishing an Annual Safety Report Team (ASRT) in order to form a baseline from which progress can be measured. As an initial task the RSC could take on the following action items:

a)   coordinate the establishment of the ASRT;

b)   identify short and medium term safety enhancement initiatives for RASG-MID;

c)   assess work that has already been done under existing regional initiatives;

d)   identify regional safety priorities and initiatives, and the regional teams that need to be established to address these initiatives; and

e)   coordinate establishment of other Regional Aviation Safety Teams (RASTs), provided that:

  i.   the RSC completes an analysis of the identified key risk areas against work that has already been done in the region to ensure harmonization and avoid duplication;

  ii.  the RSC assumes the role of maintaining accountability for the established teams and ensuring that the regional teams are meeting their deliverables; and

  iii. all aviation stakeholders, including Industry and International Organizations, have an active participation in the established teams.

3.2.7        The composition of the RSC should include partners from ICAO, States, Industry, TLST, COSCAP-GS, Regional Organizations (stakeholders) and have monthly telecons and at least one meeting between RASG-MID meetings to monitor the progress of the work and provide guidance to the established RASTs.

3.2.8        Suggested Terms of Reference for the RSC and the ASRT are included in **Appendices A and B** to this working paper, respectively.

**4.    ACTION BY THE MEETING**

4.1        The meeting is invited to:

    a)   note the information presented in this working paper;

    b)   organise the RASG-MID work programme in accordance with the performance-based approach described in this working paper;

    c)   agree on the establishment of a RASG-MID Steering Committee (RSC);

    d)   review and amend, as appropriate, the RSC TOR at **Appendix A** to this working paper;

    e)   agree on the establishment of the Annual Safety Report Team (ASRT) with TOR as at **Appendix B** to this working paper; and

    f)   agree to task the RSC with the action items described in §3.2.6.


-------------------

**APPENDIX A**


RASG-MID STEERING COMMITTEE (RSC)


TERMS OF REFERENCE


A) **Purpose of the RSC:**

- propose the RASG-MID work programme;
- coordinate the activities of the RASG-MID and all GASP/GASR safety related initiatives and adjust strategy as necessary;
- act as an advisory body to the RASG-MID;
- provide regular safety environment assessments to the RASG-MID;
- undertake any action required to ensure that the RASG-MID achieves its objective to reduce aviation risks and minimize or avoid duplication of efforts in the MID SAM Region; and
- monitor the progress of work and provide guidance to the established regional aviation safety teams (RASTs).

B) **Frequency of meetings:**

- at least one meeting between RASG-MID meetings; and
- monthly teleconferences.

C) **Membership**:

- RASG-MID Partners.

D) **Roles and Responsibilities:**

- ICAO MID Regional Office – Secretariat;
- ICAO HQ – Support; and
- Partners – Commit resources, provide technical expertise and collaborate in RASG-MID initiatives.


-------------

**APPENDIX B**


**ANNUAL SAFETY REPORT TEAM (ASRT)**

**TERMS OF REFERENCE**


**A) Purpose of the ASRT:**

- gather safety information from different available sources to determine the main aviation safety risks in the Middle East Region;

- organize the Annual Safety Report in three main Sections, one for each safety information category:
  a) Reactive Information;
  b) Proactive Information; and
  c) Predictive Information.

- Based on the risk areas identified in the annual report, make recommendations to the RASG-MID for safety enhancement initiatives; and

- Prepare a draft progress report to the ANC based on the Annual Safety Report, the safety enhancement initiatives and detailed implementation plans.

**B) Membership**:

- RASG-MID Partners.

**C) Roles and Responsibilities:**

- ICAO HQ – Support;
- ICAO MID Regional Officers – Support; and
- Workgroup Partners – Provide technical expertise and collaborate in the development of material as requested by ASRT.

-END-