



International Civil Aviation Organization

Regional Aviation Safety Group - Middle East

Fourth Meeting (RASG-MID/4)

(Jeddah, Saudi Arabia, 30 March - 1 April 2015)

Agenda Item 3: Regional Performance Framework for Safety

**MID-SST ACTIVITIES AND UPDATE ON DEVELOPMENT
AND IMPLEMENTATION OF RELATED SEIs & DIPs**

(Presented by MID-SST Rapporteur)

SUMMARY

This paper provides a progress report on the MID-SST activities and associated Safety Enhancement Initiatives (SEIs) and Detailed Implementation Plans (DIPs).

Action by the meeting is at paragraph 3.

REFERENCES

- MID-SST/1 Report
- RSC/3 Report

1. INTRODUCTION

1.1 The MID-SST was established to support the RASG-MID Steering Committee (RSC) in the development, implementation and monitoring of Safety Enhancement Initiatives (SEIs) related to identified safety issues not directly linked to the agreed Focus Areas.

1.2 The RASG-MID/3 meeting (Kuwait, 27-29 January 2014) endorsed the top priority SEIs related to MID-SST as follows:

- 1) improve status of implementation of State Safety Programs (SSPs) in the MID Region;
- 2) strengthening of States' Safety Oversight capabilities through the establishment of Regional/Sub-regional Safety Oversight Organization(s); and
- 3) improve regional cooperation for the provision of Accident & Incident Investigation.

1.3 The First meeting of the MID Safety Support Team (MID-SST/1) was held in the ICAO MID Regional Office (Cairo, Egypt, 18-20 March 2014). The meeting developed draft DIPs to support the SSP implementation in the MID Region, including the establishment of an RSOO to support States with the implementation of the State Safety Programme (SSP) in the Region.

2. DISCUSSION

2.1 The RSC/3 meeting (Cairo, Egypt, 9 -11 December 2014) reviewed the first DIP (MID-SST/01) related to the establishment of an RSOO to support the implementation of SSP , at **Appendix A**, which includes the following actions:

- 1) Promote the establishment of an RSOO to support the implementation of SSP during the Second MID Safety Summit (Oman, 27-29 April 2014, particularly through the high-level briefing/meeting (DGs and CEOs)).
- 2) Send out a Questionnaire to the MID States in order to get the States' interest and commitment to the establishment of an RSOO-SSP to support States in the implementation of SSP.
- 3) Analyze the States' replies and develop a Summary Report.
- 4) Coordinate with ICAO MID Regional Office and ACAC in order to consider the proposal of establishment of an RSOO for the SSP implementation in the Study on the establishment of RSOO(s) for ACAC and MID Region States.

2.2 The meeting may wish to note that the ICAO MID Regional Office issued a State Letter, requesting States to complete the SSP Questionnaire, which was developed to collect information related to the status of the SSP implementation in the MID Region, as well as, States' views regarding the establishment of an RSOO to support States with the SSP implementation. It is to be highlighted that 11 States replied to the SSP Questionnaire and 8 out of 11 States showed interest in joining an RSOO for the SSP implementation.

2.3 It is to be underlined that the first 3 actions of MID-SST/01 had been completed; however the action number 4 would be pending until the completion of the Study on the establishment of RSOO(s) for ACAC and MID Region States.

2.4 The RSC/3 meeting also reviewed and supported two additional DIPs proposed by the SST/1 meeting with COSCAP-GS as a Champion related to SMS guidance material (MID-SST/02) and SSP/SMS Workshops (MID-SST/03), as at **Appendices B** and **C**, respectively.

2.5 With respect to the Second DIP MID-SST/02, COSCAP-GS has devolved "SMS CAA Surveillance Procedures", which is available on the COSCAP-GS's website at (<http://www.coscap-gs.org/SMS-Related-CAA-Procedures.php>).

2.6 The Third DIP MID-SST/03 for the SSP/SMS Workshops includes:

- 1) a joint ICAO/COSCAP-GS Safety Management Workshop which is scheduled to be held in Kuwait, 25-27 May 2015; and
- 2) 2 day Workshop on Annex 19 and SMM to be conducted on request by the MID States.

2.7 The meeting may wish to note that the RSC/3 meeting agreed that the MID-SST should develop additional DIPs related to the Second and Third SEI, as follows:

- 1) a DIP related to strengthening of States' Safety Oversight capabilities taking into consideration the outcome of the Study on the establishment of RSOO(s) for ACAC and MID Region States; and

- 2) a DIP related to the improvement of regional cooperation for the provision of Accident & Incident Investigation (to be developed by the MD-SST/2 meeting).

2.8 In accordance with the RSC/3 outcome, the meeting may wish to task the MID-SST to develop a DIP related to strengthening of States' Safety Oversight capabilities.

2.9 The meeting may wish to recall that the DGCA-MID/2 meeting (Jeddah, Saudi Arabia, 20 - 22 May 2013), through Conclusion 2/11, endorsed the Strategy for the establishment of Regional Accident and Incident Investigation Organization(s) (RAIO(s)) at **Appendix D**.

2.10 It was underlined that, in accordance with the Strategy for the establishment of RAIO(s), a phased approach should be followed for the implementation of Regional/Sub-regional cooperation for AIG activities and a progress report on the subject should be presented to the DGCA-MID/3 meeting (Doha, Qatar, 27-29 April 2015) to decide if it would be necessary to go ahead with a feasibility study on the establishment of RAIO(s).

3. ACTION BY THE MEETING

3.1 The meeting is invited to:

- a) review, update, as appropriate and endorse the MID-SST DIPs at **Appendices A, B and C**; and
- b) agree on the next course of action with regard to the Strategy for the establishment of RAIO(s).

APPENDIX A

Detailed Implementation Plan

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority	Time Frame
MID-SST/01	Improve status of implementation of State Safety Programs (SSPs) in the MID Region	Refer to the SEI	Refer to the SEI	High	Difficult	P3	1	Mid Term
Safety Enhancement Action (expanded)		ICAO safety management provisions require States to establish a State Safety Programme (SSP) in order to achieve an Acceptable Level of Safety (ALoS) in Civil Aviation.						
Statement of Work		Establishment of an RSOO to support States in the implementation of SSP in an expeditious manner.						
Champion Organization		ICAO						
Human Resources		<ol style="list-style-type: none"> 1. SST 2. ICAO 3. States 4. Industry 5. ACAC 						
Financial Resources		Options will be explored by SST as required (funds from States or other safety partners).						
Relation with Current Aviation Community Initiative								

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority	Time Frame
Performance Goal	<ol style="list-style-type: none"> 1. Achieve acceptable level of safety in Civil Aviation. 2. Achieve MID- Region safety strategy targets. 							
Indicators	In accordance with the MID Region Safety Strategy.							
Key Milestones (Deliverables)	<ol style="list-style-type: none"> 1- Promote the establishment of an RSOO-SSP during the Second MID Safety Summit (Oman, 27-29 April 2014, particularly through the high-level briefing/meeting (DGs and CEOs)). 2- Send out a questionnaire to the MID States in order to get the States' interest and commitment to the establishment of an RSOO-SSP to support States in the implementation of SSP. 3- Analyze the States' replies and develop a summary report. 4- Coordinate with ICAO MID Regional Office and ACAC in order to consider the proposal of establishment of an RSOO-SSP in the Study on the establishment of RSOO(s) for ACAC and MID Region States, which will start early 2015. 							
Potential Blockers	<ol style="list-style-type: none"> 1. Lack of necessary expertise Subject to the course of action that will be take: <ol style="list-style-type: none"> 1. Regional Cooperation 2. Institutional issues 3. Financial constraints 							
Responsible	Core Team: ICAO, IATA, Region states, operators, Boeing, Airbus & COSCAP-GS.							
DIP Notes								

APPENDIX B

Detailed Implementation Plan Template

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority	Time Frame
MID-SST/02	Guidance for SMS	Refer to the SEI	Refer to the SEI	High	Moderate	P2	1	Mid Term
Safety Enhancement Action (expanded)		States to provide guidance materials for its personnel (Procedures and check-lists) related to SMS.						
Statement of Work		Procedures/Check-list for the use of the CAAs inspectors have been developed by COSCAP-GS Project and are already uploaded on the website (http://www.coscap-gs.org/SMS-Related-CAA-Procedures.php)						
Champion Organization		COSCAP-GS						
Human Resources		COSCAP-GS						
Financial Resources		No special finance needed, since the material is already developed.						
Relation with Current Aviation Community Initiative								

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority	Time Frame
Performance Goal		Support the achievement of MID- Region safety strategy targets related to SSP.						
Indicators		In accordance with the MID region safety strategy.						
Key Milestones (Deliverables)		<p>Thirteen (13) Procedures and Check-lists for the use of the CAAs inspectors. The documents are also available on WORD version for an easy use by the States:</p> <ul style="list-style-type: none"> 0- Assessment document-Review Guide. 1- Assessment 1.1 _ Management commitment. 2- Assessment 1.2_ Safety accountabilities. 3- Assessment 1.3_ Key safety personnel. 4- Assessment 1.4_ Coordination of emergency_Rescue. 5- Assessment 1.5_ SMS Documentation. 6- Assessment 2.1_ Hazard Identification. 7- Assessment 2.2_ Risk Assessment. 8- Assessment 3.1_ Safety Performance Management. 9- Assessment 3.2_ Management of change. 10- Assessment 3.3_ Continuous Improvement. 11- Assessment 4.1_ Training and Education. 12- Assessment 4.2_ Safety Communication. 						
Potential Blockers		No special finance needed.						

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority	Time Frame
Responsible	Core Team: COSCAP-GS							
DIP Notes								

APPENDIX C

Detailed Implementation Plan

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority
MID-SST/03	Establish and Implement an SSP action plan in the MID - Region States	Refer to the SEI	Refer to the SEI	High	Moderate	P2	1
Safety Enhancement Action (expanded)		SSP and SMS Workshops for managers/decision makers and technical staff.					
Statement of Work		Provide SSP/SMS Workshops					
Champion Organization		COSCAP-GS with the support of ICAO.					
Human Resources		1. ICAO/ COSCAP-GS 2. Short term experts/trainers to be hired by the COSCAP-GS for the purpose of the training missions.					
Financial Resources		Under the approval of member States, COSCAP-GS budget will be used. Sponsoring will also be needed.					
Relation with Current Aviation Community Initiative							

No	Safety Enhancement Action	GASP Safety Initiative (ICAO Doc 10004)	Best Practices Supporting GASP Safety Initiative (ICAO Doc 10004, Appendix 2)	Safety Impact	Changeability	Indicator	Priority
	Performance Goal	1. Awareness raising of CAAs' managers, decision makers and technical personnel. 3. Achieve the MID Region Safety Strategy Targets.					
	Indicators	Support the achievement of MID Region Safety Strategy Targets related to SSP.					
	Key Milestones (Deliverables)	A joint ICAO/COSCAP-GS Safety Management Workshop (Kuwait, 26-28 May 2015); and 2 day Workshop on Annex 19 and SMM to be conducted on request by the MID States (2 Workshops are already planned in Kuwait and Bahrain, beginning of 2015)					
	Potential Blockers	1. Shortage in Human resources (inspectors) to be trained. 2. Security and political issues in some States that could jeopardise the travel missions.					
	Responsible	Core Team: ICAO, COSCAP-GS, Safety Partners and MID Region States.					
	DIP Notes						

APPENDIX D

STRATEGY FOR THE ESTABLISHMENT OF RAIOS FOR THE ACAC AND ICAO MID MEMBER STATES

Whereas it is incumbent on the State in which an accident occurs to institute an inquiry into the circumstances of the accident in conformity with Article 26 of the Convention;

Whereas Assembly Resolution A36-10, inter-alia:

- urges Contracting States to undertake every effort to enhance accident prevention measures, particularly in the areas of personnel training, information feedback and analysis and to implement voluntary and non-punitive reporting systems, so as to meet the new challenges in managing flight safety, posed by the anticipated growth and complexity of civil aviation;
- urges Contracting States to cooperate with ICAO and other States in a position to do so, in the development and implementation of accident prevention measures designed to integrate skills and resources to achieve a consistently high level of safety throughout civil aviation;

Whereas, owing to the growing sophistication and complexity of modern aircraft, the conduct of an accident investigation requires participation by experts from many specialized technical and operational fields and access to specially equipped facilities for investigation;

Whereas many Contracting States do not have such specialized technical and operational expertise and appropriate facilities;

Whereas the costs of salvage and investigation of major aircraft accidents may place a heavy financial burden on the resources of the State where the accident occurred;

Whereas Assembly Resolution A37-15 (Appendix U), recommends that Contracting States cooperate in the investigation of major aircraft accidents or accidents in which the investigation requires highly specialized experts and facilities;

Whereas, the ICAO Universal Safety Oversight Audit Programme (USOAP) audit findings indicate that a number of States have not been able to implement an effective accident and incident investigation system for their aviation activities;

Recognizing that the USOAP findings have been associated, in general, with a lack of resources (both human and financial), lack of appropriate legislation and regulations, lack of an organization for the investigation of accidents and incidents, lack of a training system for investigators, lack of equipment to conduct investigations and lack of policies, procedures and guidelines for accident and incident investigations;

Recognizing that combined with the expected increase in air transport operations, the relatively unchanged trend in the accident rate over the past several years might lead to an increase in the number of accidents per year;

Recognizing that there are many challenges to effective accident prevention, and that more effective identification and correction of aviation hazards and system deficiencies are required in order to

complement regulatory efforts in further reducing the number of worldwide accidents and to improve the accident rate;

Recognizing that a regional investigation system can provide economies of scale by allowing for the sharing of required resources, and that by working together States of a region or sub-region can have a more persuasive voice on the world stage and can help secure a more favorable climate aimed at a safer international air transportation system;

Acknowledging that during the last AIG Divisional Meeting (2008) several States highlighted that, in regions where individual States do not have investigation capability, implementing a regional accident and incident investigation organization (RAIO) would ensure the effectiveness of investigations, reinforce compliance with the provisions of Annex 13, and contribute to the enhancement of aviation safety;

Considering that it is important for States willing to establish a RAIO to formulate a strategy that is well-defined in terms of purpose, objectives, result indicators, and that prior to the establishment of a RAIO, States must commit to fully support it in all aspects, including the adoption of joint policies, procedures and adequate funding;

Recalling that a Model Agreement contained in ICAO Doc 9946–*Manual on Regional Accident and Incident Investigation Organization*, provides guidance for States when establishing a RAIO;

The Strategy for regional cooperation for the purpose of enhancing States' capabilities for accident and incidents investigation is detailed below:

Based on the agreement in principle (DGCA-MID/1 Conclusion 1/9) to move towards regional/sub-regional cooperation for AIG activities:

- 1) States are urged to develop and further strengthen regional/sub-regional cooperation for accidents and incidents investigation;
- 2) States are encouraged to establish or strengthen dialogue with established regional investigation-related bodies/mechanisms;
- 3) a phased approach should be followed for the implementation of regional/sub-regional cooperation for AIG activities, in accordance with the following :

Stage A:

Step 1: Each State should determine its investigation-related competencies and share this information with other involved States, including:

- Premises – offices, work-spaces, wreckage storage and examination areas;
- Investigators – qualifications, experience, specialized skills;
- Equipment – flight recorder readout and analysis facilities; field investigation equipment; engineering and scientific capabilities, wreckage and systems examination and analysis (e.g. metallurgy, electronics, composites);

- Other organizations and facilities that have competencies to assist the State in its investigations, such as, research institutions, commercial companies and subject-matter experts.

Step 2: Establish a list of investigators, equipment and other organizations that States might utilize in investigations;

Step 3: Organize and host meetings, seminars/workshops to address issues associated with AIG activities aiming, among others, to improve regional coordination;

Step 4: Consider establishing a common training programme for the member States' investigators, taking into consideration the ICAO Circ 298, Training Guidelines for Aircraft Accident Investigators; and

Step 5: Interested States will consider moving to the next Stage.

Stage B:

Step 1: Consider MOUs between States regarding support in investigations;

Step 2: Establish a taskforce to determine, among others, the legal, institutional and financial aspects, including the conduct of investigations as per ICAO Annex 13, in regional investigation systems;

Step 3: Interested States will determine whether to move ahead to the next Stage.

Stage C:

Step 1: Establish a regional investigation system(s) taking in due account ICAO Doc 9946, Manual on Regional Accident and Incident Investigation Organization.

- 4) The progress of the implementation of the phased approach should be reported to the appropriate RASG; and
- 5) States should agree on timelines for the implementation of the 3 aforementioned stages, including the final decisions related to legal, institutional and financial aspects related to the establishment of RAIO(s).