ASSEMBLY — 37TH SESSION

TECHNICAL COMMISSION

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

REPORT ON THE ICAO GLOBAL AVIATION SAFETY PLAN

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY
This paper reports on the implementation and the evolution of the ICAO Global Aviation Safety Plan (GASP). This includes proposals for the further development and implementation of the safety framework at the regional level.
The current GASP has been very successful as a high-level policy document to guide ICAO's efforts in aviation safety but now needs to be updated to include the State Safety Programme (SSP) and Safety Management Systems (SMS) initiatives and Standards and Recommended Practices (SARPs). This should be done in parallel and in harmony with the Global Aviation Safety Roadmap (GASR), with a suggested date of completion of December 2011.
This paper also outlines the mandate, genesis and development of Regional Aviation Safety Groups (RASGs).
Action: The Assembly is invited to: a) approve the proposed developments to the GASP and direct the Council to update the GASP by December 2011;   b) review the modifications proposed and adopt the Resolution on the GASP, in the appendix to supersede Assembly Resolution A36-7; and   c) note the establishment of RASGs along with their report requirements and support their role in GASP implementation.

Strategic Objectives:	This working paper, which relates to Strategic Objective A, seeks to modify the high-level tools that ICAO uses to implement the ICAO Strategic Objective on safety.
Financial implications:	Funding of these activities will need to come from a combination of potential savings related to productivity or efficiency gains within the Secretariat and voluntary contributions to the SAFE Fund.
References:	Doc 9902, *Assembly Resolutions in Force* (as of 28 September 2007)

1.   **INTRODUCTION**

1.1   The objective of the Global Aviation Safety Plan (GASP) is to reduce the accident risk for civil aviation by providing a common frame of reference for all stakeholders in order to allow a more proactive approach to aviation safety, and to help coordinate and guide safety policies and initiatives worldwide. At the ICAO level, the GASP provides the methodology and focus that is required to implement the ICAO Strategic Objective on safety. It is used to prioritize and plan safety initiatives and to measure their impact.

2.   **BACKGROUND**

2.1   **The Global Aviation Safety Plan**

2.1.1   The first version of the ICAO 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.

2.1.2   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 at the 36th Assembly in October 2007.

2.2   **The State Safety Programme**

2.2.1   The introduction of SARPs requirements regarding the State Safety Programme (SSP) was a consequence of the growing awareness that safety management principles affect most activities of a civil aviation authority, including safety rulemaking, policy development and oversight. Under an SSP, safety rulemaking is based on comprehensive analyses of the State's aviation system; safety policies are developed based on hazard identification and safety risk management; and safety oversight is focused on the areas of significant safety concerns or higher safety risks. An SSP thus provides the means to combine prescriptive and performance-based approaches to safety rulemaking, policy development and oversight by States.

2.3   **Regional aviation safety groups**

2.3.1   It is noted that currently regions are addressing flight safety issues through different mechanisms which are established by States and industry partners themselves. For example, Regional Aviation Safety Group–Pan American (RASG-PA) was formed by the Pan American States in 2008. In addition, the Africa-Indian Ocean (AFI) Comprehensive Implementation Programme (ACIP) and its Steering Committee are monitoring and coordinating the implementation of the GASP and its associated Global Aviation Safety Roadmap (GASR) within the AFI region. RASG-PA has not been formally recognized by ICAO and consequently does not provide regular reports to the Air Navigation Commission or Council. As ACIP is supported through a project that eventually will come to an end, the mechanism established to monitor the implementation of the GASP (i.e. ACIP Steering Committee) will also eventually come to an end.

2.3.2   Recognizing that the current regional mechanisms are not sufficient to follow-up on the implementation of the GASP in a globally harmonized fashion, in May of 2010, the Council established a

new follow-up body, known as RASGs, that will monitor progress, coordinate actions among States and industry partners and make recommendations to ICAO to facilitate the implementation of the GASP, and the subregional action plans resulting from the implementation of the associated GASR.

2.3.3   The current regional experiences were taken into account in determining the terms of reference of the RASGs. Similar to existing Planning and Implementation Regional Groups (PIRGs), it is envisaged that the reports of RASGs would report to the Commission on a regular basis and to the Council as deemed necessary, thus providing interregional harmonization related to flight safety issues and a means to monitor implementation of GASP and its associated GASR. Also, it is expected that the Council will receive an All-RASG report annually highlighting progress within each of the RASGs on safety matters, areas of significant safety risk in regions and the proposed work ahead.

2.4   **Review of the GASP to include the SSP and RASG elements**

2.4.1   A broader GASP "...would allow a more proactive approach to aviation safety and help coordinate and guide safety policies and initiatives worldwide to reduce the accident risk for commercial aviation." In March 2006, a Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06) welcomed the development of the GASP and recommended that ICAO develop an integrated approach to safety initiatives based on the GASR, which would provide a global framework for the coordination of safety policies and initiatives. Subsequently, the new GASP was accepted in July 2007 by the Council of ICAO, which was instructed by the 36th Session of the ICAO Assembly (A36-7) to provide reports on the implementation and evolution of the global plans to future sessions of the Assembly.

2.4.2   The development of the new GASP published in July 2007 took place when the notion of the State Safety Programme (SSP) was emerging and the notion of Safety Management Systems (SMS) was undergoing an in-depth review, standardization and further development. Logically, GASP as it presently stands reflects the overall safety management philosophy but does not fully reflect recent developments regarding the roles, principles and practices of SSP/SMS. An update of GASP and its associated GASR, to align its contents with SSP/SMS roles would be timely. This should be done in parallel and in harmony with the GASR, with a suggested date of completion of December 2011. Accordingly, revisions to Assembly Resolution A36-7 (Appendix) are recommended for consideration to ensure inclusion of evolved safety management practices as well as related Recommendations provided by the High-level Safety Conference.

2.4.3   The most significant overarching development relevant to an update of GASP is the concept of SSP and SMS as fundamentally management systems, and the differentiation between management systems and execution programmes. The defining characteristic of a management system is its role in supporting strategic, data-based, senior-level decision making. Execution programmes, on the other hand, are subcomponents of management systems that implement strategic decision making. Clearly, SSP and SMS are management systems supporting senior-level safety decision making processes in States and industry organizations, respectively. Once safety decisions are made at the State/organization level, they are implemented through specific safety programmes as part of the SSP/SMS. This conceptual differentiation is explicit in both the ICAO SSP and SMS frameworks. Given the GASP's nature as "...a strategic document, providing the planning methodology that will lead to global harmonization in the area of safety", it is proposed that, in meeting the instruction from A36-7, an update of GASP should emphasize the plan as a management system and its contents arranged, and if appropriate updated, as execution programmes following the structure provided by the components and elements in the ICAO SSP and SMS frameworks.

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3.   **CONCLUSION**

3.1   The GASP provides a common frame of reference for all stakeholders in order to allow a more proactive approach to aviation safety and to help coordinate and guide safety policies and initiatives worldwide with the objective of reducing the accident risk for civil aviation. It also provides ICAO with a tool to prioritize and plan its safety initiatives and to measure their impact. Future revisions to the GASP will be developed to ensure continuity while increasingly leveraging analysis output associated with ongoing implementation of State Safety Programmes and Safety Management Systems. In this manner, GASP will evolve as a strategic decision making tool through the integration of safety measures made possible through continued propagation of safety risk management and safety assurance practices conducted at both the State and regional levels.

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APPENDIX

**DRAFT RESOLUTION FOR ADOPTION BY
THE 37TH SESSION OF THE ASSEMBLY**

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 ~~the global plans on the ICAO public website~~; and

7.   *Declares* that this Assembly resolution supersedes Assembly Resolution ~~A33-16~~ 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 ~~to~~ the improvement of ~~the~~ safety ~~of international civil aviation worldwide~~ 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) ~~Aviation Safety Team (PAAST)~~ and the African and Indian Ocean Islands Safety Enhancement Team (ASET);

Recognizing that ~~there is a~~ 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;

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;

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 ~~Global Aviation Safety Plan~~ 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~~; and~~.

~~*Noting* the acceptance on 18 July 2007 by the Council of the amended Global Aviation Safety Plan (GASP);~~

The Assembly:

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

~~1~~2.   *Urges* Contracting States to ~~reinforce~~ support the ~~global aviation safety framework~~ GASP objectives by:

         a)   ~~sharing appropriate safety-related information among States, all other aviation stakeholders and the public~~ 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;

~~ee~~) ~~promoting a just culture by~~ 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

~~d~~f) reporting accident and incident data as required to ICAO;

~~2~~3.   *Urges* Contracting States to work with all stakeholders ~~and the industry~~ to ~~apply~~ implement the GASP objectives and ~~Global Aviation Safety Roadmap~~ GASR methodology ~~principles and~~ objectives and to implement its methodologies ~~in partnership with all concerned stakeholders~~ to reduce the number and rate of aircraft accidents;

~~3~~4.   *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 ~~methodologies~~ objectives and the ICAO regional planning process;

5.   *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;

6.   *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;

7.   *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.

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