




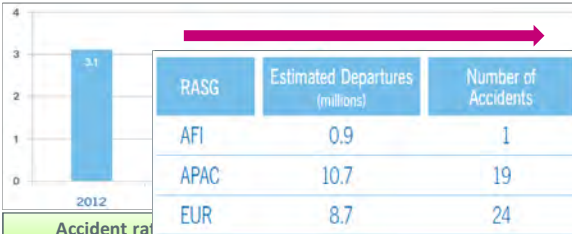
Improvement of Regional Safety Oversight Organisations (RSOOs) and the Establishment of a Global System for the Provision of Safety Oversight

Catalin Radu
Deputy Director – Safety
Air Navigation Bureau – ICAO

SANIS/1 – Safety Stream
Montreal, 14 December 2017

1

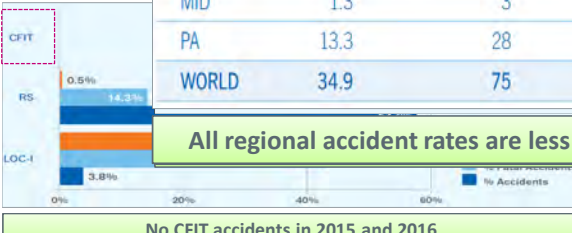





2012
Accident rate: 3.1

| RASG | Estimated Departures (millions) | Number of Accidents | Accident Rate (per million departures) | Fatal Accidents | Fatalities |
|--------------|---------------------------------|---------------------|--|-----------------|------------|
| AFI | 0.9 | 1 | 1.2 | 1 | 1 |
| APAC | 10.7 | 19 | 1.8 | 2 | 50 |
| EUR | 8.7 | 24 | 2.8 | 2 | 64 |
| MID | 1.3 | 3 | 2.3 | 2 | 67 |
| PA | 13.3 | 28 | 2.1 | 0 | 0 |
| WORLD | 34.9 | 75 | 2.1 | 7 | 182 |

All regional accident rates are less than double the Global Accident Rate



No CFIT accidents in 2015 and 2016



2016
Fatalities: 182

| RASG | Estimated Departures (millions) | Number of Accidents | Accident Rate (per million departures) | Fatal Accidents | Fatalities |
|-------|---------------------------------|---------------------|--|-----------------|------------|
| WORLD | 34.9 | 75 | 2.1 | 7 | 182 |

All regional accident rates are less than double the Global Accident Rate

| RASG | Estimated Departures (millions) | Number of Accidents | Accident Rate (per million departures) | Fatal Accidents | Fatalities |
|-------|---------------------------------|---------------------|--|-----------------|------------|
| WORLD | 34.9 | 75 | 2.1 | 7 | 182 |

All regional accident rates are less than double the Global Accident Rate

Source: 2017 Safety Report (<https://www.icao.int/safety/Pages/Safety-Report.aspx>)

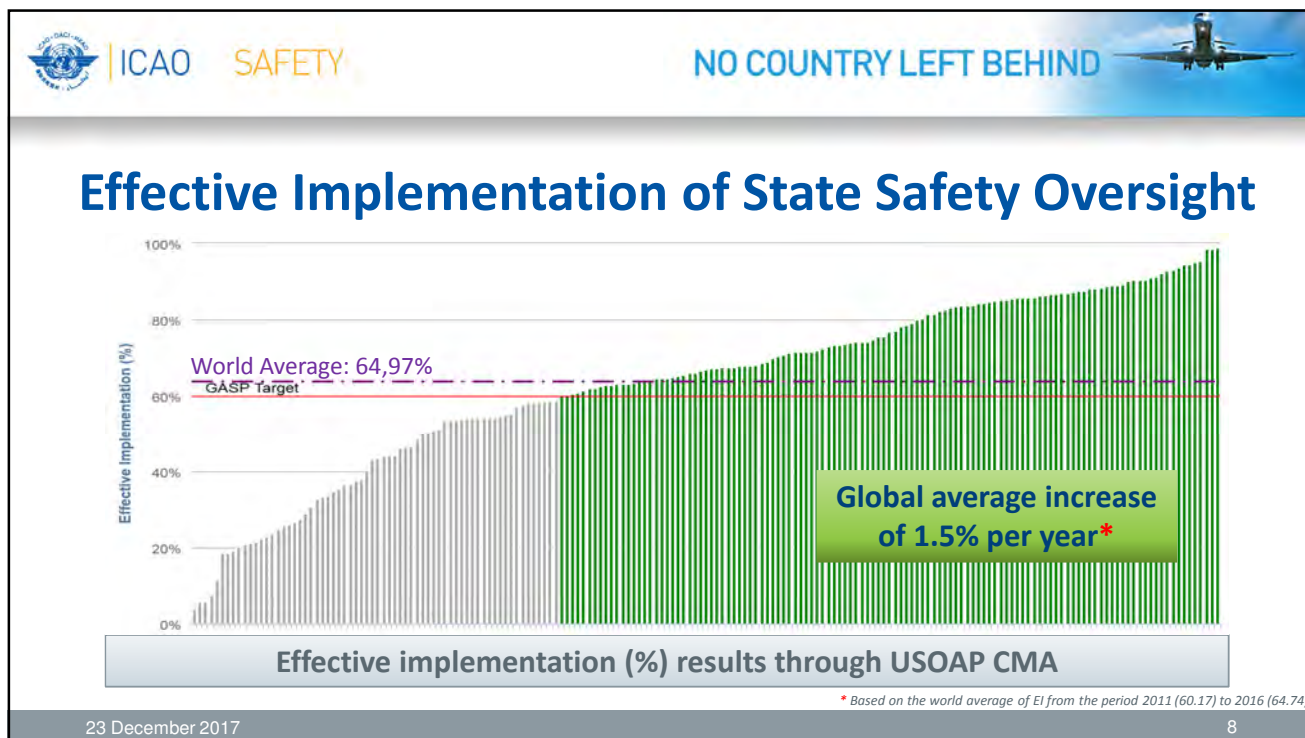
23 December 2017 2



Risks/barriers to achieve our goal

- Effective Implementation of SARPs
- ICAO's Safety priorities: Operational Risks
- Current and emerging issues





ICAO SAFETY NO COUNTRY LEFT BEHIND

The Current Situation

- Some States are not and may never be able to, at least not in a cost-effective way fulfil all their aviation safety oversight obligations adequately
- Most RSOOs have been ineffective in delivering the mandated support to States, while the industry is growing, changing and becoming more complex
- This will increase the gap and have a negative impact on global safety

→ **Different regulatory systems, inefficient overlapping auditing and certification programmes require a rethink of current safety oversight principles**

6

ICAO SAFETY | NO COUNTRY LEFT BEHIND

Global RSOO Forum Outcomes

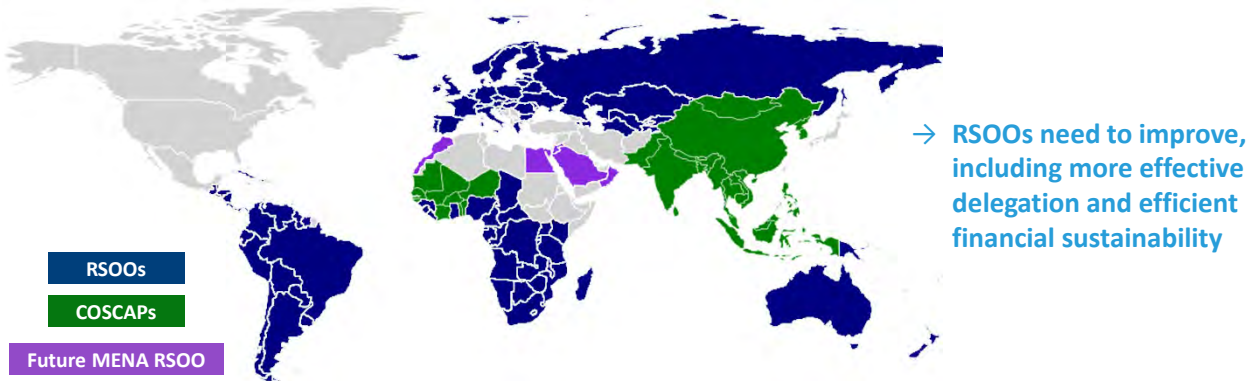


- **Global Strategy and Action Plan for the Improvement of Regional Safety Oversight Organizations (RSOOs) and the Establishment of a Global System for the Provision of Safety Oversight**
 - Improve and strengthen RSOOs – RSOO evaluation, individual RSOO gap analyses & RSOO manual revision
 - Establish an RSOO cooperative platform
 - Agreed on RSOO “Levels of Empowerment”
 - **Develop and implement a global aviation safety oversight system (GASOS) – study group & feasibility study**

7

ICAO SAFETY | NO COUNTRY LEFT BEHIND

RSOOs (including COSCAPs)



→ RSOOs need to improve, including more effective delegation and efficient financial sustainability

8

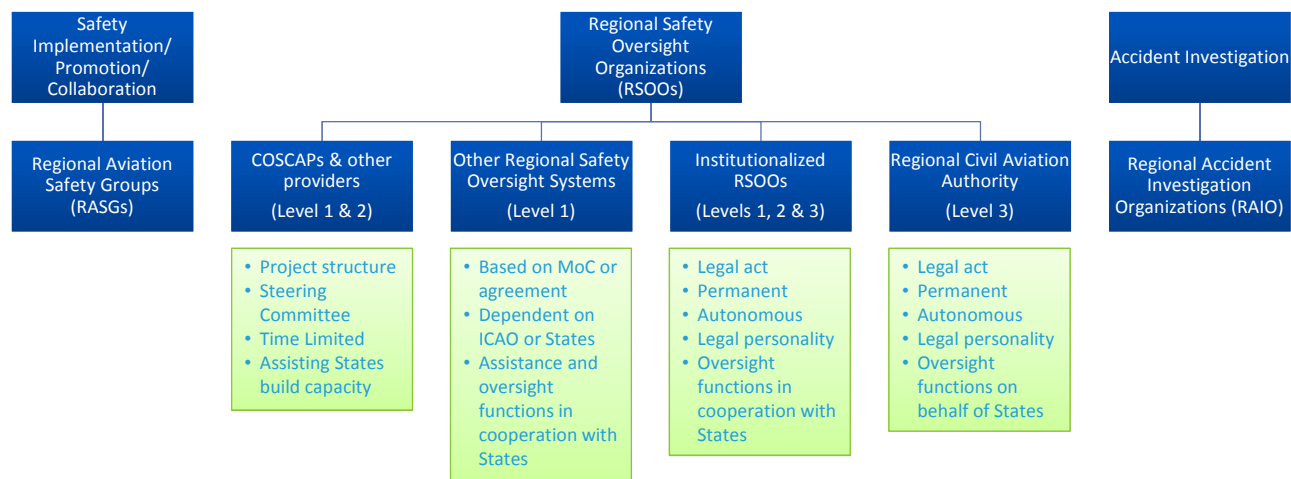


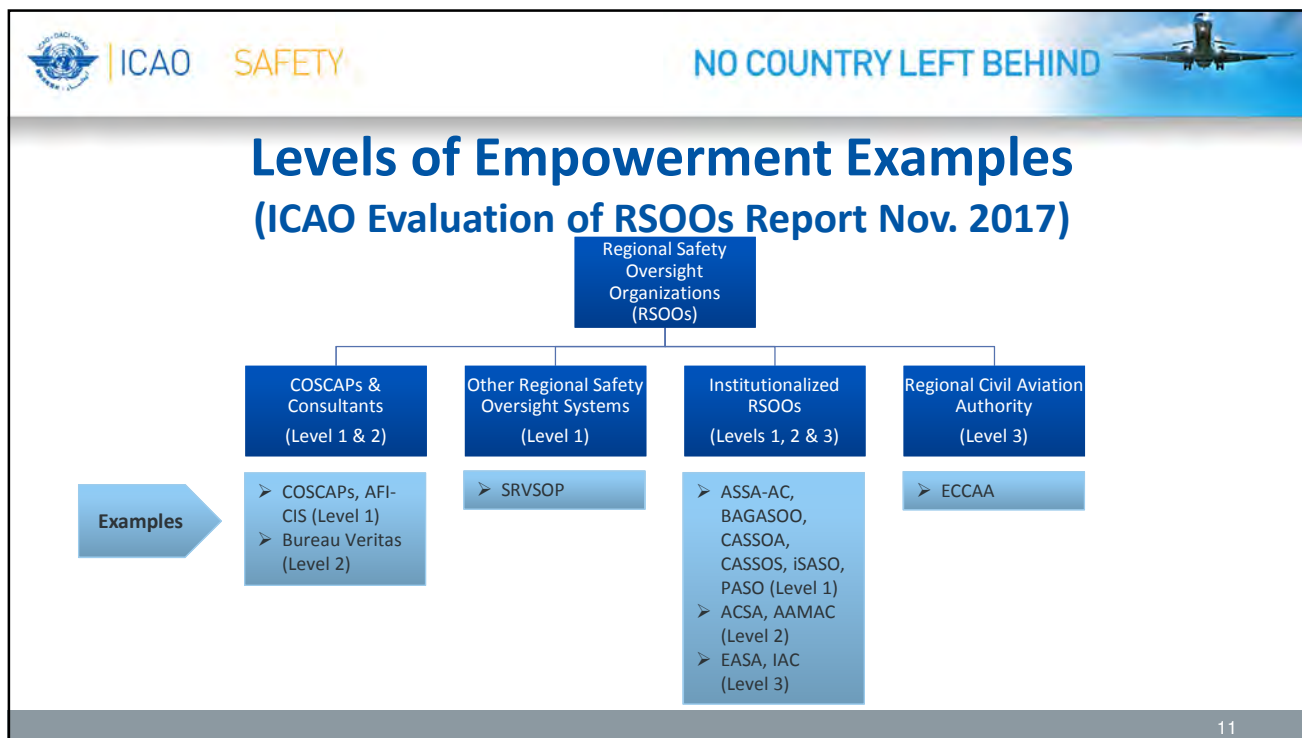
Levels of Empowerment of Safety Oversight Providers

- **Level 1** - Advice and Coordination without formal agreement for task delegation
- **Level 2** - Operational Assistance through a formal binding agreement with a State or group of States
- **Level 3** - Formal and Legally Binding delegation from State to conduct technical services and issue certificates, licenses and approvals



Existing Regional Aviation Safety Mechanisms



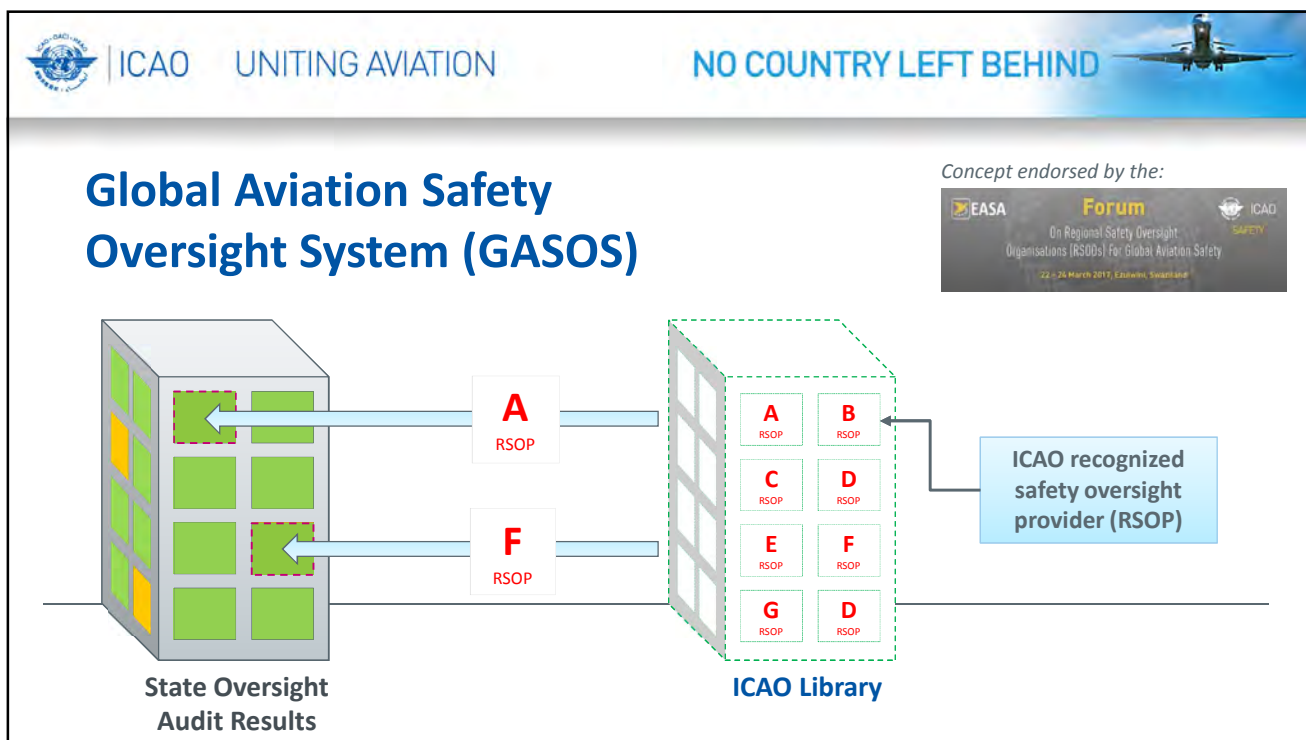
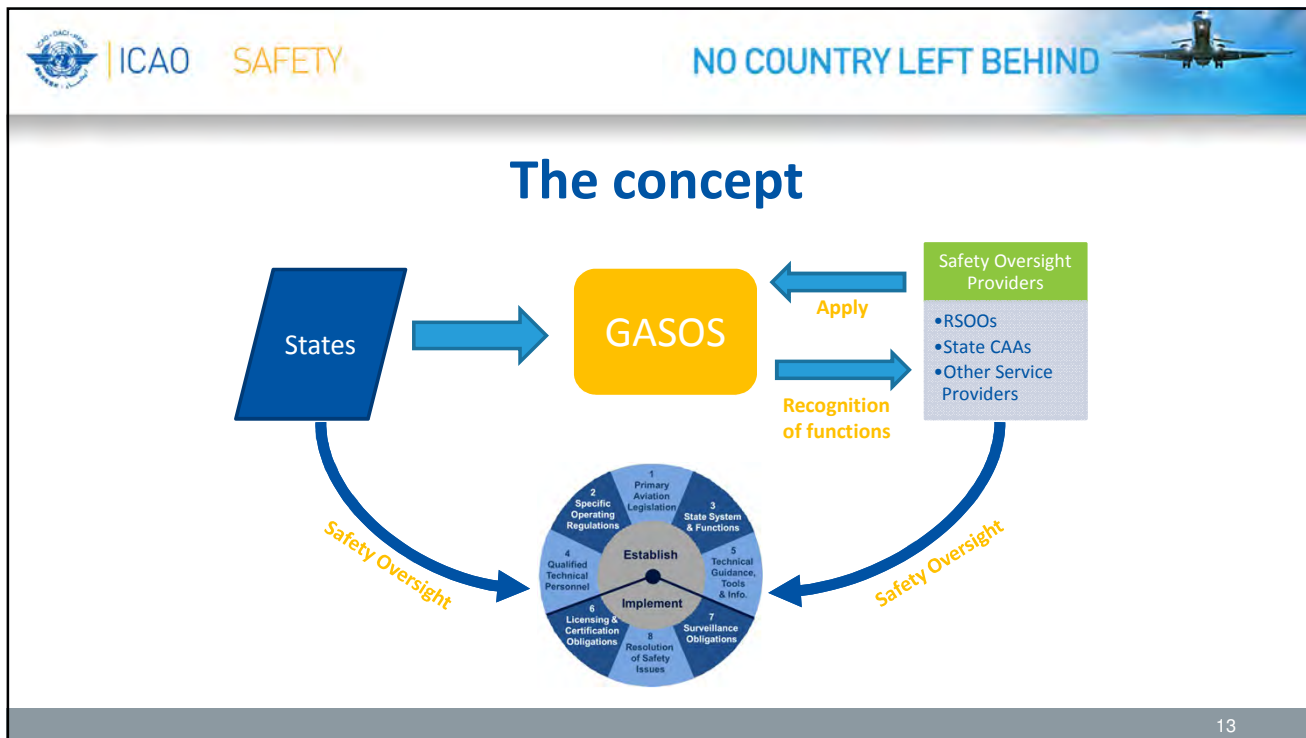


ICAO SAFETY NO COUNTRY LEFT BEHIND

Global Aviation Safety Oversight System (GASOS)

- Using the USOAP methodology, a GASOS would offer a programme for measuring the competence of safety oversight providers to provide safety oversight functions on behalf of States.
- In addition to making regional mechanisms more effective and efficient in fulfilling their mandate, the GASOS would help provide reliable and flexible alternative options to States' developing their own capacity to carry-out all safety oversight functions.

12





GASOS Objectives

- ICAO responsible for **establishing and maintaining a registry of competent safety oversight providers** and the tasks and functions that they provide
- Regional mechanisms and safety oversight providers to demonstrate competence in the functions that they offer to provide States, in order to qualify as an **ICAO evaluated, recognised and registered safety oversight provider**
- **Linked to next edition of the GASP and future evolution of the USOAP**; also considering CAA inspector qualifications
- **Strengthen regional safety oversight support mechanisms** to form a global aviation safety oversight system

15



ICAO Recognition

- Each delegated function and task would be **mapped to a USOAP CMA Protocol Question (PQ) or set of PQs**.
- Provider's functions would be classified in accordance with the **potential level of empowerment** granted by States.
- Recognition would be granted in respect to the **specific functions and delegation level** carried out by the safety oversight provider



16

ICAO SAFETY NO COUNTRY LEFT BEHIND

Levels of Delegation

- For Level 1 functions, ICAO recognition would be based on a review of the provider’s qualifications and experience and a “USOAP-type” self-assessment, with reassessment at a determined frequency
- For Level 2 functions, ICAO recognition would be based on an assessment of capabilities of the provider, based on USOAP methodology, with reassessment at a determined frequency
- For Level 3 functions, a provider would undergo a USOAP CMA audit. ICAO recognition would be retained dependent on USOAP CMA activities

17

ICAO SAFETY NO COUNTRY LEFT BEHIND

ICAO GASOS Recognition Process

18

ICAO SAFETY | NO COUNTRY LEFT BEHIND

Benefits

| States | RSOOs | ICAO |
|---|---|--|
| <ul style="list-style-type: none"> • Provides an alternative to having all safety oversight functions in-house with the required staffing. • Ability to maintain a more cost-efficient and effective CAA • Flexibility to choose and combine from different providers for the various functions. • Access to services beyond the conventional RSOOs, from outside of the State's sub-region, to more global best practices. | <ul style="list-style-type: none"> • RSOOs would be empowered and strengthened to effectively carry out functions on behalf of States. • RSOOs would be fully aligned with ICAO's regional and global safety programmes, to include the GASP, safety management, and USOAP CMA programmes. • Efficiencies would be realized with respect to current regulatory systems and safety oversight audit programmes. | <ul style="list-style-type: none"> • Apply USOAP CMA to RSOOs and safety oversight providers for States, resulting in more efficient and effective use of resources • Provide for a higher and more consistent compliance with the ICAO SARPs • Safety enhanced globally |

19

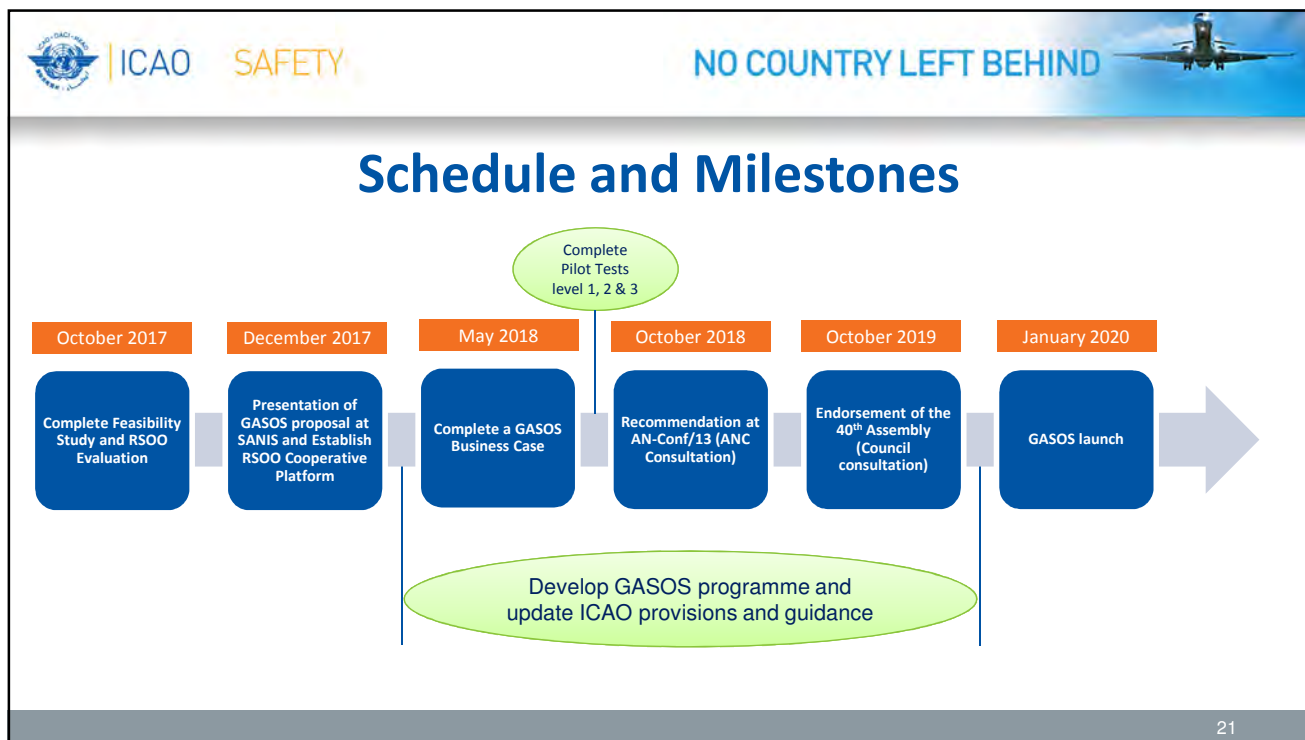
ICAO SAFETY | NO COUNTRY LEFT BEHIND

Regional Endorsement

The map displays the following regional endorsement dates:

- NACC-DGCA**: September 2017 (North America)
- RAAC (DGCA)/15**: December 2017 (South America)
- EURNAT-DGCA**: May 2017 (Europe)
- RASG-MID/06**: September 2017 (Middle East)
- RSOO Forum**: March 2017 (Africa)
- APAC-DGCA**: August 2017 (Asia-Pacific)

20



ICAO SAFETY NO COUNTRY LEFT BEHIND

GASOS-SG

- Experts from States, RSOOs, international organisations, industry, and ANC
- Established June 2017
- Objectives:
 - Support the GASOS Feasibility Study
 - Provide recommendations and strategies on development of GASOS
- GASOS-SG/1
 - Agreed on concepts
 - Input to the GASOS Feasibility Study
 - Reviewed and analyzed potential risks



Feasibility Study

- Conducted August – October 2017
- Aims to assist stakeholders in defining how GASOS can be developed into a viable, effective and sustainable global solution to improve safety oversight
- Overview:
 - Identification of risks and their mitigation strategies
 - Review of various options for the establishment and implementation of GASOS
 - Inputs for the development of a business case to determine if GASOS is financially viable as a self-funding programme
- Conclusion:
 - **GASOS confirmed to be achievable**



23



Key Recommendations

- **Use USOAP CMA for Level 3** – Any applicant for Level 3 recognition should be assessed through a USOAP audit.
- **Level 2** - GASOS will add the most value by expanding the pool of competent Level 2 entities capable of providing operational assistance to State CAAs. It is therefore recommended that the GASOS assessment and recognition process be focused on serving this market using USOAP methodology.



24



Key Recommendations

- **Monitoring and Reassessment** – Include a monitoring mechanism for Level 1 and Level 2 service providers based on the USOAP continuous monitoring methodology.
- **Draw Lessons from the ICAO Global Aviation Training and other models** – The business model of GAT and TRAINAIR Plus and other ICAO organization competency evaluation programmes.
- **Pilot Test the GASOS Assessment Process** – Input from pilot studies for all levels of delegation and types of providers would serve to fine-tune the assessment process and provide a basis for costing.



25



26

**54th Conference of Directors General of Civil Aviation
Asia and Pacific Regions**

FINAL REPORT

**3.3 DP/3/5 PROPOSED GLOBAL STRATEGY AND ACTION PLAN FOR THE
IMPROVEMENT OF REGIONAL SAFETY OVERSIGHT
ORGANIZATIONS (RSOOS) AND THE ESTABLISHMENT OF A
GLOBAL SYSTEM FOR THE PROVISION OF SAFETY OVERSIGHT**

3.3.1 This paper highlighted the outcome of the Forum on Regional Safety Oversight Organisations (RSOOs) for Global Aviation Safety, which was held from 22 to 24 March 2017 in Ezulwini, Swaziland. The Forum supported the proposed global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight.

3.3.2 The paper also noted that the Seventh Meeting of the Regional Aviation Safety Group – Asia and Pacific Regions (RASG-APAC/7), held in Bangkok, Thailand from 3 to 5 July 2017, fully supported the proposal and concluded that ICAO present the proposed global strategy and action plan to improve RSOOs and the establishment of a global system for the provision of safety oversight, including the study of a proposed Global Aviation Safety Oversight System (GASOS), to the 54th APAC DGCA Conference for consideration and support.

3.3.3 The paper invited the Conference to urge States/Administrations to support the proposed global strategy to improve and strengthen existing RSOOs; and, States endorsed the objectives for a global system for the provision of safety oversight, and were encouraged to participate in the study of a proposed Global Aviation Safety Oversight System (GASOS).

DISCUSSIONS: USA and Singapore supported the proposed GASOS and conclusion of the paper. Singapore urged more States to participate in the GASOS Study Group.

**3.4 DP/3/7 AUTOMATION INTERFACE BETWEEN FLIGHT
INFORMATION REGIONS**

3.4.1 CANSO presented a paper on its recent publication entitled Automation Interface Between Flight Information Regions: Best Practice Guide for ANSPs. The CANSO Best Practice Guide addressed the impediment caused by the disparities and the lack of automated connectivity between adjacent ANSPs. The CANSO Guide contained detailed and practical examples of how neighbouring ANSPs can collaborate to enhance cross boundary interfaces and support interoperability and complementary implementation. The Guide was especially pertinent to this region as AIDC implementation was one of the top ten priorities and a critical upgrade recommended in the ICAO Asia Pacific Seamless ATM Plan.

3.4.2 The paper invited Conference to encourage States and ANSPs to expedite the implementation of AIDC between neighbouring FIRS and in doing so, to take into consideration the information available in the CANSO Best Practice Guide.

DISCUSSIONS: Republic of Korea (ROK) supported the implementation of AIDC. ROK informed that they have implemented AIDC between China and Japan and recommended other States to implement AIDC as soon as possible. Singapore supported the implementation of AIDC. Singapore thanked CANSO for developing and publishing guidance material.

**3.5 DP/3/8 MANAGING INTERFERENCE TO GLOBAL NAVIGATION
SATELLITE SYSTEM (GNSS)**

3.5.1 The paper noted that an advanced navigation, and other aviation and air traffic management applications increasingly reliant upon reliable and accurate GNSS. The paper reminded that any instances of harmful interference therefore become relevant to safety of flight operations as well as the efficiency of ATM systems.

| Agenda Item 3: Aviation Safety and Air Navigation | | |
|--|------------------|---|
| DP/3/2 | Action Item 54/2 | <p>Quality and Timeliness of Aeronautical Information</p> <p>Noting the ongoing issues of poor quality and timeliness of aeronautical information published in the AIP and AIP Supplements, the Conference urged States/Administrations to:</p> <ul style="list-style-type: none"> a) implement the necessary legislative, regulatory, organizational and resource support for the critical safety and efficiency requirement for quality management and timeliness of aeronautical information; b) take stronger actions on the APANPIRG Conclusions relating to Aeronautical Information Services, as agreed by State representatives at APANPIRG meetings; and c) review their AIM transition plan and ensure that they have fully implemented AIRAC and quality management-related AIM transition steps. |
| DP/3/5 | Action Item 54/3 | <p>Proposed Global Strategy and Action Plan for the Improvement of Regional Safety Oversight Organizations (RSOOS) and the Establishment of a Global System for the Provision of Safety Oversight</p> <p>Noting that insufficient safety oversight resources to meet the projected growth in aviation is a common problem for States/Administrations, the ICAO presented their proposed global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight, the Conference urged States/Administrations to support the proposed global strategy to improve and strengthen existing RSOOs; and, States endorse the objectives for a global system for the provision of safety oversight, and are encouraged to participate in the study of a proposed Global Aviation Safety Oversight System (GASOS).</p> |
| DP/3/7 | Action Item 54/4 | <p>Automation Interface between Flight Information Regions</p> <p>Noting a number of impediments to the safety and efficiency of flights crossing of Flight Information Region (FIR) boundaries and that AIDC has been identified as one of the top ten priorities in the ICAO APAC Seamless ATM Plan, the Conference encouraged States/Administrations to expedite the implementation of AIDC between neighbouring FIRs and in doing so, may also take into consideration the information available in the CANSO publication on “<i>Automation Interface Between Flight Information Regions: Best Practice Guide for ANSPs</i>”.</p> |

**54th CONFERENCE OF
DIRECTORS GENERAL OF CIVIL AVIATION
ASIA AND PACIFIC REGIONS**

*Ulaanbaatar, Mongolia
07 — 11 August 2017*

**AGENDA ITEM 3: AVIATION SAFETY AND
AIR NAVIGATION**

**PROPOSED GLOBAL STRATEGY AND ACTION PLAN FOR THE
IMPROVEMENT OF REGIONAL SAFETY OVERSIGHT
ORGANIZATIONS (RSOOS) AND THE ESTABLISHMENT OF A
GLOBAL SYSTEM FOR THE PROVISION OF SAFETY OVERSIGHT**

(Presented by the International Civil Aviation Organization)

SUMMARY

This paper presents the outcome of the Forum on Regional Safety Oversight Organisations (RSOOs) for Global Aviation Safety which was held from 22 to 24 March 2017 in Ezulwini, Swaziland. The Forum supported the proposed global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight.

The Seventh Meeting of the Regional Aviation Safety Group – Asia and Pacific Regions (RASG-APAC/7), held in Bangkok, Thailand from 3 to 5 July 2017, fully supported the proposal and concluded that ICAO present the proposed global strategy and action plan to improve RSOOs and the establishment of a global system for the provision of safety oversight, including the study of a proposed Global Aviation Safety Oversight System (GASOS), to the next APAC DGCA Conference for consideration and support.

| | |
|------------------------------|---|
| <i>Strategic Objectives:</i> | This paper relates to the Safety Strategic Objective. |
|------------------------------|---|

| | |
|--------------------|--|
| <i>References:</i> | <p>Doc 9734, <i>Safety Oversight Manual, Part B — The Establishment and Management of a Regional Safety Oversight Organization</i> Doc 10004, <i>Global Aviation Safety Plan 2017-2019</i> Doc 10046, <i>Second High-level Safety Conference 2015 Report</i> Doc 10075, <i>Assembly Resolutions in Force</i> (as of 6 October 2016) - Assembly Resolution A39-14: Regional cooperation and assistance to resolve safety deficiencies, establishing priorities and setting measurable targets <i>Report on the Forum on RSOOs for Global Aviation Safety</i> http://www2010.icao.int/ESAF/EASA-ICAO-RSOO-2017/Pages/RSOO-Report.aspx C-WP/14632 Report on the Forum on Regional Safety Oversight Organizations (RSOOs) for Global Aviation Safety</p> |
|--------------------|--|

**PROPOSED GLOBAL STRATEGY AND ACTION PLAN FOR THE IMPROVEMENT OF
REGIONAL SAFETY OVERSIGHT ORGANIZATIONS (RSOOS)
AND THE ESTABLISHMENT OF A GLOBAL SYSTEM FOR THE PROVISION OF
SAFETY OVERSIGHT**

1. INTRODUCTION

1.1 The Forum on Regional Safety Oversight Organisations (RSOOs) for Global Aviation Safety, co-organized by ICAO and the European Aviation Safety Agency (EASA), was held from 22 to 24 March 2017 in Ezulwini, Swaziland. The Forum comprised two days of global discussions followed by one day dedicated to the Africa Region at the Ministerial level. The meeting was attended by 200 participants from 48 States and 32 international organizations, including Ministers responsible for civil aviation from 13 States in the AFI Region. The event report, programme, participants list, presentations and proposed Global Strategy and Action Plan, and Ministerial Declaration are available at <http://www2010.icao.int/ESAF/EASA-ICAO-RSOO-2017/Pages/default.aspx>.

2. BACKGROUND

2.1 The event supported the proposal for the evaluation and development of a new Global Aviation Safety Oversight System (GASOS), while making significant progress on key objectives to improve the cooperation and efficiency of RSOOs, both globally and in ICAO's Africa and Indian Ocean (AFI) Region. RSOOs are an integral component of global aviation safety, and provide a very effective mechanism for regional groups of States to pool their resources and benefit from economies of scale to resolve their safety oversight deficiencies.

2.2 The primary objective of the GASOS proposal is the implementation of an enhanced safety oversight model that resolves the challenges faced by current regional- and national-based models, caters for future challenges posed by a rapidly expanding air transport industry and offers practical and affordable options in the area of safety oversight. Under the GASOS proposal, an ICAO-recognized safety oversight provider will be any international, regional or sub-regional aviation safety oversight body that carries out tasks and functions on behalf of a State or group of States. Suitably empowered and strengthened RSOOs and other State safety oversight providers will constitute the building blocks of a global aviation safety oversight system.

2.3 All ICAO-recognized safety oversight providers will have to demonstrate competence in the tasks and functions that they provide in order to qualify for ICAO recognition, and ICAO will maintain an inventory of competent safety oversight providers and the tasks and functions that they provide. An ICAO-recognized safety oversight provider could include the civil aviation authority of a State that provides assistance to another State, or an RSOO that carries out safety oversight tasks and functions. The proposed global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight is included in **Appendix A**.

2.4 A Ministerial event held in conjunction with the Forum also led to the signing of a formal Declaration on how African States will work to refine their collaborative efforts and improve aviation safety oversight continent wide. The regional Forum was informed with presentations on the AFI Plan, outcomes of the Global Forum, and a proposed roadmap for supporting and strengthening RSOOs in the AFI Region. The Ministers then reviewed and adopted the proposed Ministerial Declaration, including the development of a strategic plan for supporting and strengthening RSOOs in the AFI Region and an action plan suggesting to implement the above-mentioned Declaration through the AFI Plan in collaboration with AFCAC and partners. The regional Ministerial Declaration endorsed the proposed GASOS as it related to an action plan to improve the effectiveness and sustainability of RSOOs, and a new cooperative platform for RSOOs to facilitate the agreed evolution in regional collaboration. The Ezulwini Ministerial Declaration on Regional Safety Oversight Organizations in Africa is included in **Appendix B**.

3. DISCUSSION

3.1 The RSOO Forum represented a major milestone in the evolution of regional safety oversight organizations for civil aviation safety. The proposed development of GASOS will provide the required ICAO framework for RSOOs to be recognized to provide States effective support for safety oversight. The participation of government Ministers helped to ensure the shared objectives and commitments for collaborative AFI Region safety oversight being formalized through the Declaration. The Forum suggested that ICAO consider leading the implementation of the action plan supporting the new global strategy.

3.2 The ICAO Council, during the 211th session, fifth meeting, held on 12 June 2017, considered information paper C-WP/14632, which presented the report on the Forum on Regional Safety Oversight Organizations (RSOOs) for Global Aviation Safety, held in March 2017 in Swaziland. The Council supported the proposed global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight, and in particular the study of the proposed new Global Aviation Safety Oversight System (GASOS).

3.3 The implementation of the action plan has commenced with the establishment of the GASOS Study Group (GASOS-SG) which held its first and second teleconferences in June and July, and will hold its first meeting in September 2017. The GASOS-SG will support the completion of a GASOS feasibility study with the objective to confirm that GASOS is possible, beneficial and worthwhile. The result of the study will be presented during the Safety and Air Navigation Implementation Symposium to be held in December 2017. If the feasibility of GASOS is confirmed, and supported by the SANIS, the planning and development for the establishment of GASOS will commence with a view to presenting the proposed implementation to the 13th Air Navigation Conference to be held in October 2018. If GASOS is recommended for implementation by the AN-Conf/13, it will be presented for endorsement to the 40th Session of the ICAO Assembly to be held in October 2019. The ICAO Council and its Air Navigation Commission will review the progress and approve the proposals as part of this process.

4. ACTION BY THE CONFERENCE

4.1 The Conference is invited to:

- a) note the contents of this paper; and
- b) adopt the following Draft Conclusion:

DRAFT Conclusion - Regional Safety Oversight Organizations (RSOOs)

That States support the proposed global strategy and action plan to improve RSOOs and the establishment of a global system for the provision of safety oversight, including the study of a proposed Global Aviation Safety Oversight System (GASOS).

APPENDIX A

PROPOSED GLOBAL STRATEGY AND ACTION PLAN FOR THE IMPROVEMENT OF REGIONAL SAFETY OVERSIGHT ORGANIZATIONS (RSOOS) AND THE ESTABLISHMENT OF A GLOBAL SYSTEM FOR THE PROVISION OF SAFETY OVERSIGHT

1. CONTEXT

1.1 The participants at the Global Forum on Regional Safety Oversight Organizations (RSOOs) for Global Aviation Safety, held in Swaziland from 22 to 24 March 2017, supported a proposed global strategy and action plan for the improvement of RSOOs and the establishment of a global system for the provision of safety oversight.

1.2 In doing so, the Forum took note of the outcomes and recommendations of previous ICAO meetings on RSOOs, including the Symposium on RSOOs, held in 2011, and the Second High-level Safety Conference, held in 2015. The Forum also noted Resolution A39-14, adopted by the ICAO Assembly in 2016.

1.3 Assembly Resolution A39-14, in particular, encourages ICAO Member States to foster the creation of regional or sub-regional partnerships to collaborate on the development of solutions to common problems to build State safety oversight capability, and to participate in, or provide tangible support for, the strengthening and furtherance of sub-regional and regional aviation safety, and safety oversight bodies, including RSOOs.

1.4 The Forum acknowledged that over the last decade, the number and importance of RSOOs have been expanding. Presently, there are seventeen RSOOs, ranging from relatively informal safety oversight bodies that offer advisory services to their Member States to more formally institutionalized organizations that carry out safety oversight tasks and functions through formal delegation by their States.

1.5 The proposed strategy and action plan for the improvement of RSOOs, and the establishment of a global system for the provision of safety oversight was supported by the discussions at the Forum on potential solutions to many of the challenges faced by RSOOs, foremost of which is the need to ensure their sustainable funding and adequate empowerment, with respect to the tasks and functions they carry out for their members. The strategy and action plan seek to put in place solutions that will enhance the effectiveness of the existing RSOOs, as well as to better align them with the global and regional programmes of ICAO.

1.6 At the same time, there is a need for safety oversight to meet the challenges posed by growing air traffic, which is expected to double over the next fifteen years, and changing aircraft ownership, registration and user business models. To this end, the Forum reached agreement on the need to go beyond the current prevailing concept of national- and regional-based safety oversight systems to a globally based system that would be composed of a range of safety oversight providers, including the RSOOs. RSOOs will be recognized as an integral part of a global aviation safety oversight system led by ICAO, within the framework of the Global Aviation Safety Plan (GASP), and maintaining the States' obligation and responsibility for safety oversight under the *Convention on International Civil Aviation*.

1.7 Improving the performance of RSOOs also entails strengthening cooperation and information sharing between RSOOs, and establishing a cooperative platform for this purpose.

2. STRATEGIC OBJECTIVES

2.1 The proposed strategy supported by the Forum consists of the following three objectives:

- a) to improve and strengthen the RSOOs' capacity to carry out safety oversight tasks and functions on behalf of their Member States and to actively contribute to ICAO's global and regional programmes and activities;
- b) to implement a global system for the provision of safety oversight that improves the efficiencies of current safety oversight programmes and enables the continuous monitoring of a State's safety oversight in a more effective and coordinated manner; and
- c) to establish an RSOO cooperative platform aimed at bringing RSOOs together to exchange best practices, share and collaborate on the development of manuals and checklists, cooperate on providing technical assistance and assist ICAO in related provisions development and global programme implementation.

3. IMPROVEMENT AND STRENGTHENING OF RSOOs

3.1 An evaluation of RSOOs in general will be conducted in order to update information on major challenges faced in relation to their improvement. In addition, and upon request, a more in-depth gap analysis can be conducted on an individual RSOO in order to determine the actions that need to be taken for strengthening it. For the purpose of carrying out both the evaluation and the gap analysis, the following five criteria have been defined:

- a) **Relevance:** This will assess the RSOO's mission, goals, programmes and activities, and their alignment with those of its Member States or donors as well as ICAO. Is the RSOO meeting the expectations and needs of its Member States and stakeholders, and is it well integrated into the strategic plans and programmes of its Member States?
- b) **Effectiveness:** This will assess the extent to which an RSOO is able to meet its goals and objectives. Is the RSOO sufficiently empowered to carry out its mission? Has it been given international legal personality that enables it to establish agreements and working arrangements with other international organizations (including ICAO) and third-party States? Have formal delegations of authority been established that will enable the RSOO to carry out safety oversight duties and functions on behalf of its Member States? Have common standards and practices been established in the region? Is the RSOO sufficiently resourced to enable it to meet its programmed activities?
- c) **Efficiency:** This will assess the use of human and financial resources, and make a comparison of the RSOO's outputs and the costs incurred. Unnecessary overlap and duplication of programmes and activities between the RSOO and its member States, ICAO and other international organizations are to be avoided.
- d) **Sustainability:** This will assess the long-term viability of the RSOO, particularly in respect to legal authority, human resources and financial viability and sustainability. How effective is the management of the RSOO in terms of the organization's strategic development and quality assurance? Has a mechanism been established for the sustainable funding of the RSOO?

- e) **Adaptability:** This will assess the ability of the RSOO to adapt to an evolving environment, brought about by a rapidly expanding aviation industry, changing technologies, scope and processes.

3.2 All gap analyses of individual RSOOs will be conducted on a cost recovery basis.

3.3 Integral to the strengthening and improvement of RSOOs will be the establishment of an RSOO cooperative platform. The RSOO platform will interface with ICAO, facilitate the supply of technical assistance and support to RSOOs and provide RSOOs with a common pool of experts. In general, it will greatly enhance cooperation between RSOOs by enabling the exchange of information and sharing of best practices. Any RSOO recognized by ICAO or having a clear roadmap towards ICAO evaluation may become part of the cooperative platform.

4. DEVELOPMENT AND IMPLEMENTATION OF AN ICAO GLOBAL AVIATION SAFETY OVERSIGHT SYSTEM (GASOS)

4.1 The primary objective of the global aviation safety oversight system is the implementation of an enhanced safety oversight model that resolves the challenges faced by current regional- and national-based models, caters for future challenges posed by a rapidly expanding air transport industry and offers practical and affordable options in the area of safety oversight.

4.2 Under the global aviation safety oversight system, an ICAO recognized safety oversight provider will be any international, regional or sub-regional aviation safety oversight body that carries out tasks and functions on behalf of a State or group of States. Suitably empowered and strengthened RSOOs and other State safety oversight providers will constitute the building blocks of a global safety oversight system.

4.3 On a voluntary basis, safety oversight providers may request recognition from ICAO in respect to competencies to carry out the specific tasks and functions. Each task and function will be mapped to a USOAP CMA protocol question (PQ) or set of PQs. A safety oversight provider may receive several levels of recognition for various tasks and functions.

4.4 The following three levels are defined, based on the complexity of tasks and functions performed:

- **Level 1** – advisory and coordinating tasks and functions
- **Level 2** – operational assistance tasks and functions
- **Level 3** – certifying agency tasks and functions

4.5 For Level 1 and 2 tasks and functions, ICAO recognition will be based on an initial assessment to evaluate the capabilities of the provider.

4.6 For a provider to receive ICAO recognition for Level 3 tasks and functions, it will have to first undergo an activity under the ICAO USOAP CMA.

4.7 ICAO recognition will be renewed at a determined frequency, on the basis of a re-assessment for Levels 1 and 2, and will depend on USOAP CMA results for Level 3.

4.8 All ICAO recognized safety oversight providers will have to demonstrate competence in the tasks and functions that they provide, in order to qualify for ICAO recognition, and ICAO will maintain an inventory of competent safety oversight providers and the tasks and functions that they

provide. An ICAO recognized safety oversight provider could include the civil aviation authority of a State that provides assistance to another State, or an RSOO that carries out safety oversight tasks and functions.

5. RSOO COOPERATIVE PLATFORM

5.1 A Platform will be established to facilitate greater cooperation between RSOOs. The detailed objectives of this Platform are to:

- a) facilitate inter-RSOO communication;
- b) become an information hub and facilitate the exchange of information and sharing of best practices, including the establishment of common or harmonized definitions, standards and specifications relevant to RSOOs;
- c) facilitate the exchange of data and common data analysis;
- d) facilitate the supply of technical assistance and support to RSOO;
- e) interface with ICAO on topics of mutual interest for RSOO;
- f) receive tasks from ICAO that concern development of the RSOO community;
- g) provide an RSOO pool of experts; and
- h) nurture the continued stability and progression of RSOO.

5.2 Any RSOO may become part of the cooperative platform. Consideration shall be given to supporting other regional mechanisms in development towards becoming an RSOO.

5.3 The interim Platform should progressively and initially:

- a) develop terms of reference describing its tasks and governance scheme;
- b) organize regular meetings among and between RSOOs, adjacent to other relevant forums; and
- c) develop a web-based application and other tools to support this.

It should also study the outcomes of the 2017 RSOO Forum to determine, in coordination with ICAO, where it could provide support in the follow up of the actions in strengthening RSOOs. The nature of tasks should be expanded progressively; overlaps with existing ICAO, regional or State activities is to be avoided.

5.4 The resources necessary should be supported by contributions by the RSOOs or their member States as well as ICAO Voluntary Funds. Additional forms of funding should be further explored.

5.5 The Platform's secretariat, as addressed by the terms of reference, should regularly report to its members as well as the ICAO Secretariat and may be reported on to the ICAO governing bodies through existing reporting mechanisms regarding its activities and the actions undertaken. The Platform will not replace the representation of the RSOO member States to ICAO. It will cooperate closely with the State representatives to ICAO in order to coordinate positions.

**PROPOSED ACTION PLAN FOR THE IMPROVEMENT OF REGIONAL SAFETY
OVERSIGHT ORGANIZATIONS (RSOOS) AND THE ESTABLISHMENT OF A GLOBAL
SYSTEM FOR THE PROVISION OF SAFETY OVERSIGHT**

| No. | Objective | Activity | Proposed Implementing Entity | Supporting Entities | Deadline |
|-----|---|--|------------------------------|--|------------------------|
| 1 | Improvement and strengthening of RSOOs | 1. Develop a classification of RSOOs based on levels of empowerment of tasks and functions | ICAO | RSOOs | April 2017 |
| | | 2. Complete a gap analysis and evaluation of existing RSOOs, including the further specification of performance criteria, development of questionnaires and tools for the collection and analysis of information, and reporting results. | ICAO | RSOOs | June 2017 |
| | | 3. Revise Doc. 9734, <i>Safety Oversight Manual</i> , Part B — <i>The Establishment and Management of a Regional Safety Oversight Organization</i> | | | July 2017 |
| | | 4. Conduct gap analysis and evaluation of individual RSOOs, including surveys and the collection and analysis of information and data, on request and cost recovery basis. | ICAO | RSOOs | From July 2017 onwards |
| | | 5. Implement RSOO corrective actions on a case-by-case basis | RSOOs | ICAO/EASA/Donor States, funding agencies | Ongoing |
| 2 | Develop and implement an RSOO cooperative platform | 1. Launch concept of the RSOO cooperative platform | TBD, RSOOs | ICAO, RSOOs | March 2017 |
| | | 2. Draft ToR, identify suitable actions and hold first meeting | RSOOs | RSOO Platform | September 2017 |
| | | 3. Endorse the ToRs | SANIS | ICAO | December 2017 |
| | | 4. Establish Cooperative Platform | RSOOs | ICAO, Donor RSOOs | December 2017 |
| | | 5. Hold second meeting | RSOOs | RSOO Platform | April 2018 |
| 3 | Develop and implement a global aviation safety oversight system (GASOS) | 1. Establish a working group of stakeholder experts | ICAO | Stakeholders | May 2017 |

| No. | Objective | Activity | Proposed Implementing Entity | Supporting Entities | Deadline |
|-----|-----------|--|------------------------------|---------------------|---------------|
| | | 2. Complete a feasibility study on the development and implementation of a global aviation safety oversight system | ICAO | Stakeholders | October 2017 |
| | | 3. Present the global aviation safety oversight system to SANIS | ICAO | | December 2017 |
| | | 4. Develop the global aviation safety oversight system | | | 2018 - 2019 |
| | | 5. Recommendation to AN-Conf/13 | ICAO | | October 2018 |
| | | 6. Endorsement of the global aviation safety oversight system by the Assembly | ICAO | | October 2019 |
| | | 7. Taking account of the information and data collected from RSOOs, review and, as required, amend ICAO provisions, programmes (e.g. the USOAP) and existing guidance material (e.g. Doc. 9734, Part B). | ICAO | RSOO Platform | November 2020 |
| | | 8. Assess and/or audit RSOOs in respect to tasks and functions and related levels of empowerment. | ICAO | RSOOs | December 2020 |
