



WORKING PAPER

**SPECIAL AFRICA-INDIAN OCEAN (AFI)
REGIONAL AIR NAVIGATION (RAN) MEETING**

Durban, South Africa, 24 to 29 November 2008

**Agenda Item 5: Development of a set of comprehensive work programmes in the safety field
(Safety Committee)**

**FOLLOW-UP ACTION ON THE IMPLEMENTATION OF SAFETY RELATED
ACTIVITIES**

(Presented by the Secretariat)

SUMMARY

This paper presents proposals to ensure that follow-up actions are taken to enable States to build the capability for safety oversight, to resolve identified deficiencies, and to enhance the safety culture within the aviation service providers in Africa in an effective and sustainable manner. The paper attempts to define a system for follow-up actions and the coordination and cooperation necessary to achieve the goals of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan). The paper also promotes the establishment of Safety Teams at the Regional Office level as well as in States, Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs), and other Regional Aviation Safety Agencies.

Action by the meeting is in paragraph 4.

1. INTRODUCTION

1.1 The aims and objectives of ICAO, as contained in Article 44 of the Convention, include a very important aspect that allows the Organization to go beyond the development and adoption of Standards and Recommended Practices (SARPs). The responsibility to develop the principles and techniques of international air navigation and to foster the planning and development of international air transport so as to: "Meet the needs of the peoples of the world for safe, regular, efficient and economical air transport (Article 44 d) refers" compels ICAO to ensure the effective implementation of international requirements as well as support States to effectively implement those requirements in a sustainable manner.

1.2 Over the years, ICAO has made significant efforts to assist States in the implementation of international requirements through the various programmes established over time, including programmes under the Technical Co-operation Bureau (TCB), the Regional Offices and through direct involvement of Headquarters' and Regional Offices' personnel. Such provision of assistance and support has borne fruit. However, the results of these efforts have not always been

sustainable. Moreover, there has not been a system established for follow-up that could help to nurture sustainability and assist States in maintaining the success achieved through the provision of assistance through collaborative efforts by all stakeholders.

1.3 This paper presents proposals for follow-up actions to ensure that assistance provided by ICAO or other stakeholders has effectively resolved the identified deficiencies and enabled the State to maintain the improved situation in an effective and sustainable manner.

2. DISCUSSION

2.1 The results of the ICAO Universal Safety Oversight Audit Programme (USOAP), have clearly indicated that most of the audited African States exhibited similar deficiencies in their ability to establish and manage an effective and appropriate safety oversight system. Those deficiencies were manifested through the very high rate of lack of effective implementation of the critical elements (CEs)¹ of a State's safety oversight system.

2.2 Analysis of audit results conducted under the universal mandatory safety oversight audits (1999 to 2004), relating to Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft* and Annex 8 — *Airworthiness of Aircraft* indicated a high average of lack of effective implementation of the safety oversight critical elements among the audited African States. Recommendations for resolving identified deficiencies were forwarded and a number of States, with the support of other Contracting States and donors made efforts to correct identified deficiencies. Three years down the line, the follow-up audits conducted by ICAO showed an improvement in the implementation of SARPs and the CEs, although a lot more was needed to be done to close the gap on the level of implementation between the African States and States in the other parts of the world.

2.3 However, audit results under the Comprehensive Systems Approach launched in 2005, showed an alarming rate of lack of effective implementation in areas that were supposedly addressed during the first round of audits. Although the increased level of lack of effective implementation could be attributed to the extended scope of the comprehensive audits, analysis of the results in the areas that were audited during the first round clearly shows that in some States, progress that was noted during the follow-up audits had regressed to the original condition and in some cases, especially with respect to States' ability to attract, recruit and retain qualified personnel, had even become worse than it was during the initial audits.

2.4 The lack of effective implementation in most of those States is attributed to the lack of adequate funds. Where civil aviation systems have not been empowered to be fully responsible for aviation operations, lack of political will on the part of governments has been cited as one of the main reasons for the prevailing situation. Thus, the establishment of autonomous civil aviation systems has been advocated at least as a partial solution which would allow and empower civil aviation authorities to fully utilize resources that they could generate from the aviation system. This approach has worked in some States. However, in many of the States it was not as successful as expected for various reasons, including lack of adequate operations to generate the necessary funds and sometimes, interference from governments which are hesitant to relinquish the authority and source of funds that they had direct control over.

2.5 The Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) was developed to address the concerns expressed by the ICAO Council that emphasized a heightened leadership role and accountability for an effective implementation by ICAO, supported by a strong programme management and coordination activities. The AFI Comprehensive Implementation Programme (ACIP) has been developed and established to give effect to the AFI

¹ For detailed information on safety oversight critical elements refer to the ICAO *Safety Oversight Manual*, Part A – *The Establishment and Management of a State's Safety Oversight System*; (Doc 9734, Second Edition – 2006).

Plan. The mission of ACIP is to ensure that the objectives of the plan are effectively implemented and the level of aviation safety in Africa enhanced. In the mid-term, the work programme of ACIP calls for enabling States in the AFI Region, inter alia to:

- a) increase compliance with ICAO SARPs and industry best practices;
- b) increase the number of qualified personnel at the industry and oversight levels;
- c) improve the quality of inspectors and other civil aviation staff through training;
- d) ensure impartial and unimpeachable investigation and reporting of serious accidents and incidents;
- e) enhance regional cooperation;
- f) enhance capacity of regional and subregional safety oversight systems;
- g) improve assistance in oversight to the least developed States; and
- h) provide expert aviation knowledge within the reach of the targeted States via the web.

2.6 In cooperation and coordination with all stakeholders as envisaged in Assembly Resolution A36-1, ACIP has developed a work plan to achieve those objectives. However, the important element in providing assistance remains to ensure the sustainability and effectiveness of the support/assistance provided. This would also address the sustainability of the work of ACIP beyond the four years envisaged on the establishment of the AFI Plan.

2.7 Development of implementation projects should include a programme of continuous monitoring. The concept of “continuous monitoring” would be based on the establishment of a system that would continuously monitor the effectiveness and sustainability of the assistance provided at a national or regional level. The objective of continuous monitoring is to:

- a) assess the effectiveness of the assistance that is provided to correct identified deficiencies or enhance aviation safety in the State or region concerned;
- b) assess the ability of the State to sustain the activities required to ensure continuing effectiveness; and
- c) identify the need for additional assistance or support to further enhance aviation safety at the State and/or regional level.

2.8 The responsibility for continuous monitoring would be that of the Regional Offices and should be executed within a structured and pre-established system. To this end, the ACIP Steering Committee, during its second meeting approved the proposal for the establishment of the Regional Office Safety Teams (ROSTs) to initially be established in the Eastern and Southern African and Western and Central African Offices within the shortest possible period. The ROSTs would be responsible for ensuring the continued implementation of the AFI Plan including the continuous monitoring and follow-up of implementation projects in the respective offices long after ACIP’s activities are integrated into the regular Regional Office activities.

2.9 The Safety Team within a Regional Office would be composed of the Regional Office Safety Officer and the two ACIP Officers who have been assigned to each of the Regional Offices under ACIP. The overall leadership of the Regional Office Safety Team would be determined

by the Secretary General and the appointed leader would closely work with C/ACIP to ensure the effective implementation of the AFI work programme in the specific region. Such an arrangement would clearly reflect ICAO's changing focus towards implementation and also offer an opportunity for sustainable implementation of the AFI Plan as a permanent activity of the Regional Offices. The Regional Office Safety Teams would also have responsibility to coordinate and work closely with Safety Teams established by States, Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs), which are self-sustaining subregional entities that provide technical services in safety oversight to member States, or other Regional Aviation Safety Agencies.

3. CONCLUSION

3.1 The value of assistance programmes and implementation of projects mainly lies in their effectiveness and sustainability over a long period. Lack of adequate follow-up on implementation projects and lack of continuous monitoring in the past has resulted in the failure of ensuring the sustainability of corrective actions. Establishment of a system and procedures for follow-up and continuous implementation would ensure the sustainability of assistance provided while also enabling the continuous improvement of safety concerns addressed through the assistance provided. Equally, the establishment of specific Safety Teams at Regional Offices would also enable the effective undertaking of follow-up and continuous monitoring missions as well as ensure the effective implementation of the AFI Plan as a permanent activity of the Regional Office well beyond the period slated for ACIP to function.

3.2 The meeting is invited to adopt the following recommendations:

Recommendation 5/x — Follow-up and continuous monitoring of the sustainability of implementation projects

That Regional Office Safety Teams be established in the AFI Region, to ensure the continuity of the ACIP Programme and to follow-up and continuously monitor the effectiveness and sustainability of implementation projects and that States be urged to fully cooperate with the Regional Office Safety Teams as an integral part of ACIP and the respective Regional Offices.

Recommendation 5/x — Establishment of complementary Safety Teams

That Safety Teams be established by States, COSCAPs and other Regional Aviation Safety Agencies in the AFI Region to complement and work closely with the ICAO Regional Office Safety Teams.

4. ACTION BY THE MEETING

4.1 The meeting is invited to:

- a) note the rationale for the establishment of structured monitoring and follow-up of implementation projects detailed in paragraph 2 above; and
- b) approve the draft Recommendations in paragraph 3.2 above.

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