



ICAO Regulatory Framework and Universal Safety Oversight Audit Programme (USOAP)

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Thanks to: Safety and Air Navigation Oversight Audit Section

Plan

- **ICAO Regulatory Structure**
- **Brief history of Universal Safety Oversight Audit Programme (USOAP)**
- **Essential components**
- **Transparency**
- **“Continuous monitoring approach” (CMA)**
- **Public health audit questions**
- **WHO/ICAO collaboration**
- **Summary/conclusions**

International Civil Aviation Organization: ICAO

UN specialized agency created in 1944. Sets international standards in:

- **Safety**
- **Security**
- **Environmental protection & Sustainability**





HQ + Seven Regional Offices



**ICAO HQ
Montreal**



Paris



Dakar



Cairo



Mexico



Lima



Nairobi



Bangkok





'Chicago' Convention (1944) – 191 signatories

Doc 7300/9



**Convention on
International Civil Aviation**

**Convention relative à
l'aviation civile internationale**

**Convenio sobre
Aviación Civil Internacional**

**Конвенция о международной
гражданской авиации**

96 Articles

**19 Annexes to the
Convention - 'Standards
and Recommended
Practices' SARPs**

•Governments

*Regulatory Aviation
Authorities*

e.g.

•Sudan Civil Aviation

Authority

•Federal Aviation

Administration (US)

•UK CAA

This document supersedes Doc 7300/8.
Le présent document annule et remplace le Doc 7300/8.
Este documento remplaza el Doc 7300/8.
Настоящий документ заменяет Doc 7300/8.

Ninth Edition – Neuvième édition – Novena edición – Издание девятое — 2006

International Civil Aviation Organization
Organisation de l'aviation civile internationale
Organización de Aviación Civil Internacional
Международная организация гражданской авиации



19 ICAO Annexes to the Convention

- contain > 12,000 'SARPs'

- Annex 1 Personnel Licensing
- Annex 2 Rules of the Air
- Annex 3 Meteorological Service for International Air Navigation
- Annex 4 Aeronautical Charts
- Annex 5 Units of Measurement to be Used in Air and Ground Operations
- **Annex 6 Operation of Aircraft**
- Annex 7 Aircraft Nationality and Registration Marks
- Annex 8 Airworthiness of Aircraft
- **Annex 9 Facilitation**
- Annex 10 Aeronautical Telecommunications
- **Annex 11 Air Traffic Services**
 - **Procedures for Air Navigation Services – Air Traffic Management (PANS-ATM)**
- Annex 12 Search and Rescue
- Annex 13 Aircraft Accident and Incident Investigation
- **Annex 14 Aerodromes**
- Annex 15 Aeronautical Information Services
- Annex 16 Environmental Protection
- Annex 17 Security: Safeguarding International Civil Aviation Against Acts of Unlawful Interference
- **Annex 18 The Safe Transport of Dangerous Goods by Air**
- Annex 19 Safety Management



Standard - Definition

- *Standard:* Any specification for physical characteristics, configuration, material, performance, personnel or procedure, the uniform application of which is recognized as **necessary** for the safety or regularity of international air navigation and to which Contracting States **will** conform in accordance with the Convention; in the event of impossibility of compliance, notification to the Council is compulsory under Article 38.

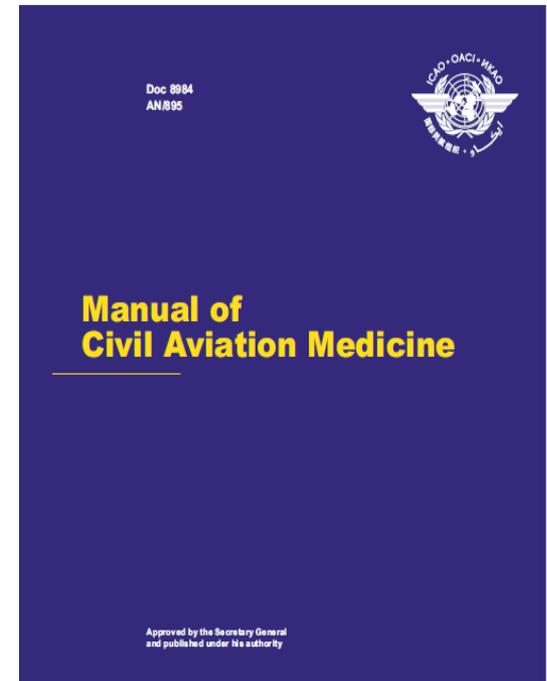


Recommended Practice - Definition

- ***Recommended Practice:*** Any specification for physical characteristics, configuration, material, performance, personnel or procedure, the uniform application of which is recognized as **desirable** in the interest of safety, regularity or efficiency of international air navigation, and to which Contracting States will **endeavour** to conform in accordance with the Convention.

Guidance is available from the ICAO public website

- Manual of Civil Aviation Medicine
- CAPSCA website
 - www.CAPSCA.org





USOAP

**ICAO UNIVERSAL SAFETY
OVERSIGHT AUDIT PROGRAMME**

How did it start?

ICAO's 29th Assembly (1992)

- increased concern raised over the level of safety world-wide (high profile accidents):
 - Lack of adequate safety oversight States regulatory authorities



Safety Oversight Assessment Programme

- **Launched in 1996**
- **Assessment of States implementation of ICAO SARPS**
- ***Voluntary* programme (mandatory in 1999)**

Voluntary programme

- **Fully confidential initially**
 - Report only provided to the assessed State
 - Summary of findings made public from 2013
- **Identified numerous deficiencies in States' safety oversight**

Voluntary > mandatory

- **Mandatory audit programme from 1999**
- **Covered safety related Annexes (Annex 1 (Personnel Licensing), 6 (Operations) and 8 (Airworthiness))**
- **Expanded (2003) to Annex 11 (Air Traffic), 13 (Accident Investigation) and 14 (Aerodromes)**

Audits State oversight capability

- Audit programme does not directly audit airports, airlines, air traffic control. It audits the ***oversight capability*** of the regulatory authority to oversee such entities

Essential components of the programme

1. Memorandum of Understanding (MOU)

- **Between** ICAO and each Contracting State
- **Obligation** of State to participate in USOAP
- Gives ICAO **mandate** to monitor

2. ISO Certification

– Who audits the auditors? Question by the Council

- **USOAP - ISO certified in 2002**
- **One of the first UN agencies to have ISO accreditation**

3. Transparency

- Audit results public from 2013
- Only “teeth” available to UN agency
- Found very effective “enforcement” means
- States try to avoid poor results made available to other States and the public
- <http://www.icao.int/safety/Pages/USOAP-Results.aspx>

USOAP and Public Health

- **State Aviation Activity Questionnaire (SAAQ) questions related to PH**
 - Has the State identified a clear contact point at national aviation level, with identified individual(s), for policy formulation, operational organization of preparedness and coordination of a national plan in order to respond to a communicable disease or other health event with the potential to pose a serious public health risk?
 - CC Art 14; Annex 9 - 8.12 & 8.16; A37-13
 - 8.12 Contracting States shall comply with the pertinent provisions of the International Health Regulations (2005) of the World Health Organization

PQs related to PH

PQ No.	Type of PQ Amendment	PQ Subject	PQ Question	Global Average EI %
OPS 4.460	New	Public health emergency procedures	Does the aircraft operations organization ensure that the air operator has established a procedure for the crew to evaluate a traveler with a suspected communicable disease, based on the presence of a fever and certain other signs or symptoms?	TBD (too soon)
OPS 4.462	New	Public health emergency procedures	Does the aircraft operations organization ensure that the air operator has established procedures for the pilot-in-command to report promptly to air traffic control (ATC) a suspected communicable disease, with transmission of the following information:	TBD (too soon)
ANS 7.151	Revised Expanded to include public health emergencies	Air traffic management — Operational — Emergency events and contingency planning	Does the State ensure that procedures have been established and implemented to provide service to aircraft in the event of emergency?	81
ANS 7.153	Revised Expanded to include public health emergencies	Air traffic management — Operational — Emergency events and contingency planning	Does the State ensure that contingency plans have been developed and implemented in the event of disruption or potential disruption of air traffic service (ATS) or related supporting services?	48
AGA 8.081	Existing	Aerodrome certification — General	Has the State promulgated regulations detailing the requirements for the certification of aerodromes, and including the criteria to determine if an aerodrome should be certified?	52
AGA 8.291	Revised Expanded to include public health emergencies	Aerodrome emergency planning	Does the State ensure that aerodrome operators develop emergency plans, including appropriate cooperation and coordination with other entities involved in the provision of emergency services and the development of the plans?	64

WHO/ICAO Collaboration on oversight

- **Strong support in principle**
 - Increases multi-sector collaboration
- **Would need ICAO/WHO MOU**
 - Permit WHO access to confidential audit information
- **ICAO Council aims to reduce number of audit questions but...**
- **Current questions could be modified**
- **WHO/ICAO WG could develop framework for cooperation on monitoring IHR implementation**
 - Reduce risk of duplication of effort
 - Reduce risk of confusion between ICAO requirement for CAA to certify airports and WHO certification of airports

Conclusion

- **Health protection regarded as ICAO Safety topic**
- **USOAP monitors implementation of ICAO SARPs**
 - Including PH SARPs
- **USOAP questions need more work to be used as effective monitoring tool for PH SARPs implementation**
- **Could be used for prioritizing:**
 - work programme items
 - assistance to States on main areas of need
- **WHO/ICAO collaboration on public health issues is welcomed**



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ICAO

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South American
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Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

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Thank you