



The ICAO Universal Safety Oversight Audit Programme



Briefing to

***ALLPIRG/4 MEETING
PARTICIPANTS***

(Montreal, 8 February 2001)



ICAO's Safety Oversight Programme

**The ICAO Safety Oversight
Audit Programme is about
“State commitment” to the
Convention on International
Civil Aviation**



State Commitment for Aviation Safety

Fundamental Principles:

- **Every State has complete and exclusive sovereignty over the airspace above and within its territory** (Article 1 of the Convention)
- **State's responsibility for safety oversight is one of the tenets of the Convention and individual States should reaffirm their safety oversight responsibilities and obligations** (Assembly Resolution A29-13)



State Commitment for Aviation Safety

Nature of State responsibilities:

- ⇒ Responsibilities as a State of Registry and a State of the Operator, generally obligates States to provide for the safe and efficient operation of aircraft
- ⇒ Licensing of operational personnel, the certification of aircraft, air operators, maintenance organizations, and the control and supervision of licensed personnel, certified products and approved organizations



State Commitment for Aviation Safety

Nature of State responsibilities:

- ⇒ The implementation and proper management of the “critical elements” of a safety oversight system enable ICAO Contracting States to fulfill their Convention obligations



State Commitment for Aviation Safety

Critical elements of a State's safety oversight system

- **Primary aviation legislation**
- **Specific operating regulations**
- **Civil aviation structure**
- **Qualified technical personnel**
- **Documentation and guidance material**
- **Licensing and certification activities**
- **Continuing surveillance activities**
- **Resolution of safety concerns**



ICAO's Safety Oversight Programme

The ICAO Safety Oversight Programme has been established to assist States to address the critical elements, fulfill their safety oversight responsibilities and obligations, and uphold the “principles” and “spirit” of the Convention on International Civil Aviation



ICAO's Safety Oversight Programme

⇒ **Evolution of the ICAO safety oversight programme**

➤ **Global safety concerns**

- Increased concern over safety world-wide.
- Various reports on lack of implementation

➤ **Decisions of the 29th Assembly (1992)**

- Assembly Resolution A29-13 (1992)
Improvement of Safety Oversight
- Establishment of an ICAO Safety Oversight Assessment Programme



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Safety Oversight - Definition

Safety oversight is a function by which States ensure the effective implementation of the safety-related Standards and Recommended Practices (SARPs), and associated procedures and practices contained in the Annexes to the Convention on International Civil Aviation and associated documents



ICAO's Safety Oversight Programme

⇒ **Activities of the safety oversight assessment programme**

➤ **March 1996 to December 1998**

- 85 requests received
- 67 States assessed
- 8 Seminar/workshops conducted
- 4 Training sessions held



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⇒ **Activities of the safety oversight assessment programme**

➤ **Findings and concerns**

- Problems existed but were not limited to any one area or region;
- Areas of major concerns included:
 - ✓ Lack of regulatory framework
 - ✓ Lack of an adequate organization
 - ✓ Lack of appropriate certification and licensing systems
 - ✓ Lack of control and supervision capabilities



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⇒ **Activities of the safety oversight assessment programme**

➤ **Findings and concerns**

In general a need for a more active role by the international aviation community was identified and a Conference of the Directors General of Civil Aviation was called in November 1997 to develop a global strategy on safety oversight



ICAO's Safety Oversight Programme

⇒ Assembly Resolution A32-11 (1998)

- **Established the ICAO Universal Safety Oversight Audit programme (USOAP)**
- **Directed the ICAO Council to bring it into effect as of 1 January 1999**
- **Urged all Contracting States to accept an audit by ICAO by signing the MOU**
- **Requested the Council to report to the next Assembly on the progress of the programme**



ICAO's Safety Oversight Programme

⇒ Objectives of the audit programme:

- **To promote global aviation safety through auditing Contracting States, on a regular basis, to determine the status of States' implementation of safety oversight and relevant ICAO Standards and Recommended Practices, associated procedures, guidance material and safety related practices.**



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⇒ **Mandate:**

- **To audit all Contracting States by 2001**
- **Accelerate the report generating process**
- **Increase transparency by expanding the summary reports**
- **Report to the next Ordinary Assembly**



State Commitment for Aviation Safety

Programme principles

- **Sovereignty of State**
- **Universality**
- **Transparency / Disclosure**
- **Timeliness**
- **Objectivity**
- **All inclusiveness**
- **Fairness**
- **Quality**



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⇒ **The Audit process**

➤ **Conducting the audit**

● **Scope of the audit**

- ✓ **Primary aviation legislation and regulations**
- ✓ **Civil aviation organization**
- ✓ **Personnel licensing and training**
- ✓ **Aircraft operations certification and supervision**
- ✓ **Airworthiness of aircraft**



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⇒ **The Audit process**

➤ **Audit Findings**

- **Classification**

- ✓ Non-compliance with Chicago Convention and/or National Regulations
- ✓ Non-conformance with Standards
- ✓ Non-adherence with Recommended Practices, guidance material and accepted safe practices



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⇒ **The Audit process**

➤ **Audit Reports and Action Plan**

- Audit interim report
- Corrective action plan
- Audit final report
- Summary report

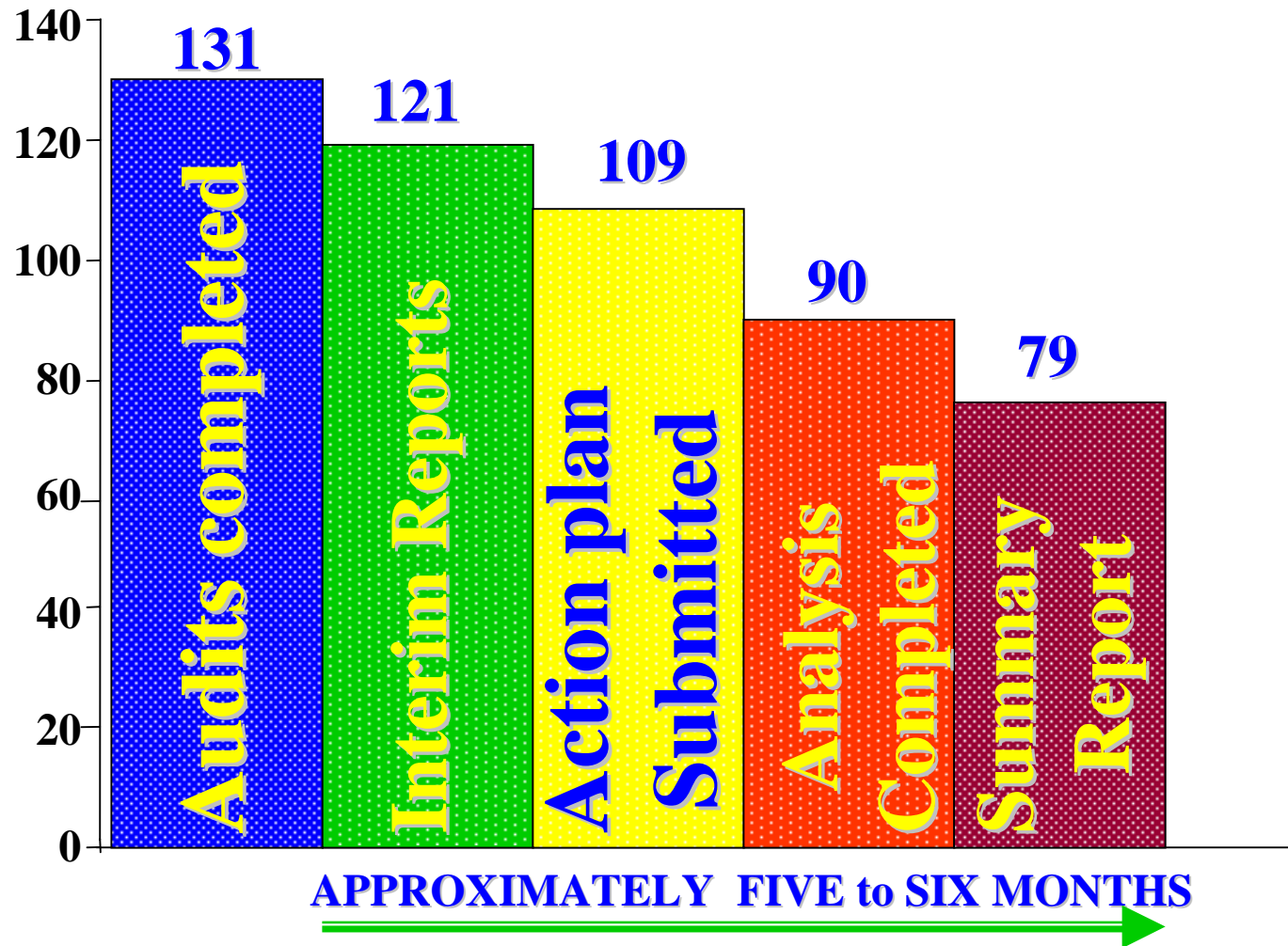
➤ **Audit Follow-up**



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Activities as of 31 December 2000

ICAO Universal Safety Oversight Programme – February 2001





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Analysis of Findings and Differences

- **The product of the audit which would enable prioritization and resolution of identified safety concerns**
- **Eventually, corrective action taken by States should be factored into the analysis to enable the maintenance of factual and updated information**



ICAO's Safety Oversight Programme

Continuation and Expansion of the Programme

➤ **Assembly Resolution A32-11**

- The Assembly resolves that a universal safety oversight audit programme be established, **comprising regular, mandatory, systematic and harmonized safety audits**, to be carried out by ICAO; that such universal safety oversight audit programme shall apply to all Contracting States; ...



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Expansion of the Programme

➤ **Areas of Expansion**

- Air Traffic Services (Annex 11)
- Aerodrome Ground Aids (Annex 14)
- Accident Investigation (Annex 13)



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Strategy for the future

➤ **Consolidating all audit activities**

- Aeronautical Information Services
- Maps and Charts
- Meteorological services
- Facilitation
- Environmental protection
- Transport of dangerous goods by air



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Remedial Action

➤ **Resolution of identified deficiencies**

- State based solutions (action plans and implementation)
- Remedial support by ANB and Regional Offices
- Remedial action based on TCB projects



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