



*International Civil Aviation Organization*

NORTH AMERICAN, CENTRAL AMERICAN AND CARIBBEAN OFFICE

**Eighteenth Meeting of Directors of Civil Aviation of the Eastern Caribbean  
(18<sup>th</sup> E/CAR DCA)**

Port of Spain, Trinidad and Tobago, 9 to 12 December 2003

18<sup>th</sup> E/CAR DCA – IP/03

17/11/03

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**Agenda Item 7:            Safety Oversight**

**ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME**

(Presented by the Secretariat)

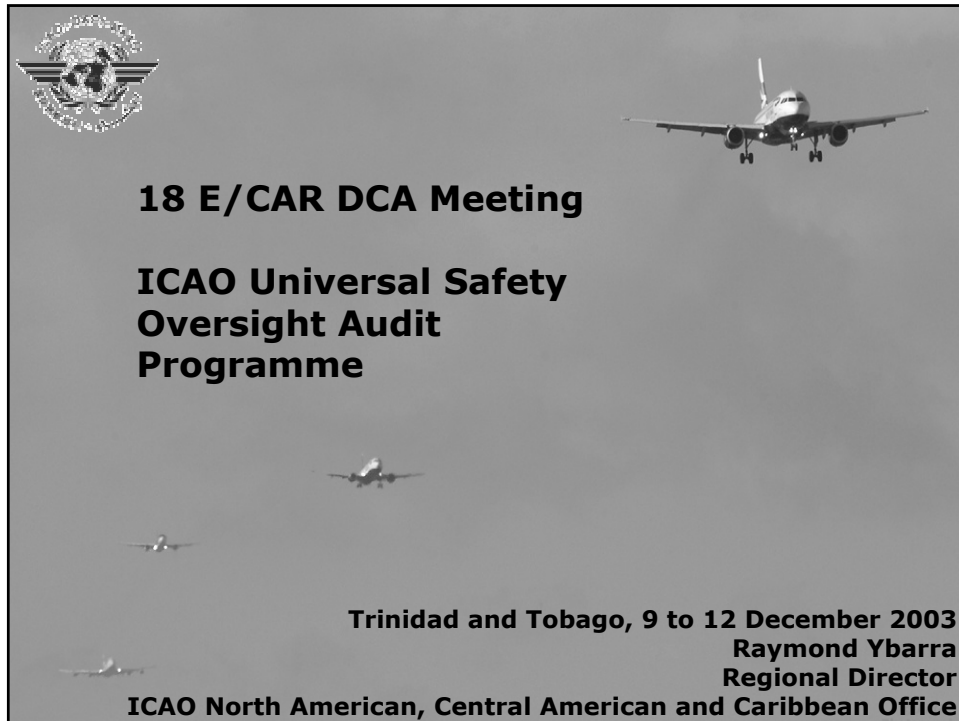
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| <p><b>SUMMARY</b></p>  |
| <p>This paper contains a copy of the PowerPoint presentation on the implementation of the ICAO Universal Safety Oversight Audit Programme, from April to September 2003.</p> |
| <p><b>References:</b></p> <ul style="list-style-type: none"><li>• C-WP/12127 – Progress of the ICAO Universal Safety Oversight Audit Programme; dated 23/10/03</li></ul>     |




**1.                    Introduction**

1.1                This paper contains a copy of the PowerPoint presentation on the implementation of the ICAO Universal Safety Oversight Audit Programme, from April to September 2003. The presentation is included in the **Appendix** to this information paper.


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## **What is Safety Oversight?**

- ✧ **Safety Oversight is the function through which States ensure the effective application of standards and recommended practices (SARPS) as well as associated procedures from the Annexes to the Civil Aviation Convention as well as other related documents.**




## **USOAP**

- ✧ **ICAO Safety Oversight Programme (USOAP)**
  - ✧ **Started with DGCA Conference in November 1997 and ICAO Assembly of October 1998**
  - ✧ **Objectives: The USOAP is an initiative designed to determine the level of SARPs implementation in States**
    - ✧ **Conduct regular, mandatory, systematic and harmonized audits on Safety Oversight compliance of Annex 1, Annex 6 and Annex 8**
    - ✧ **Through the identification of safety issues and the provision of recommendations for its solution, the Programme helps States to comply with their obligations under the Convention Assist States in correcting deficiencies**



## **USOAP**

- ✧ **The Programme serves as a tool for safety oversight**
- ✧ **Promote Global Aviation Safety**



## **Continuation of USOAP**

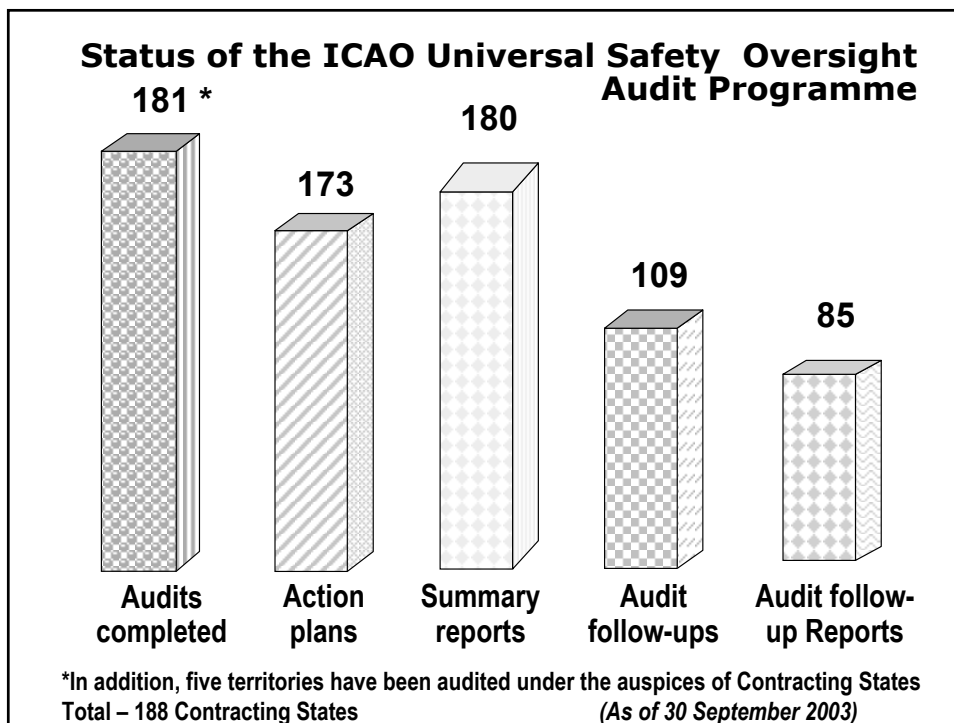
- ✧ **Audit follow-up missions are being conducted to validate implementation of the State's corrective action plans**
- ✧ **109 Follow up audits conducted**

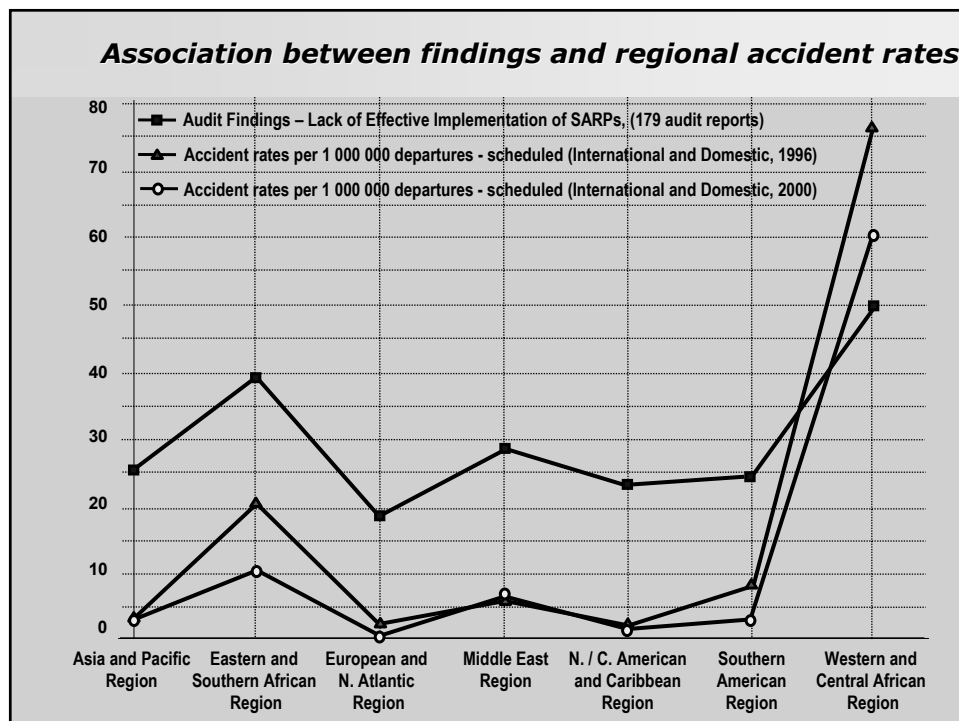
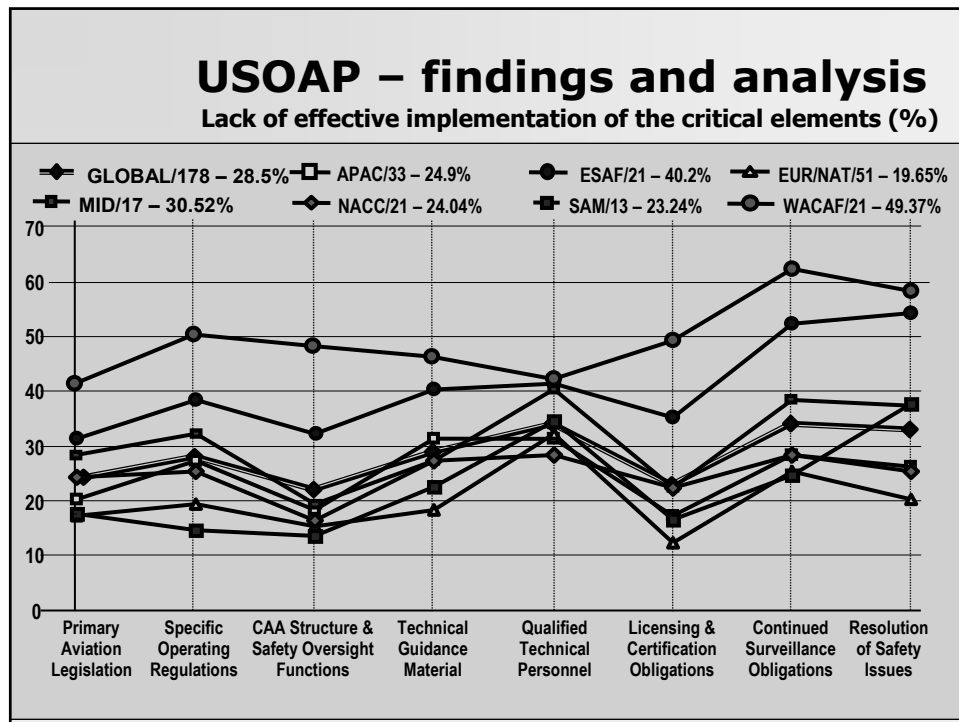
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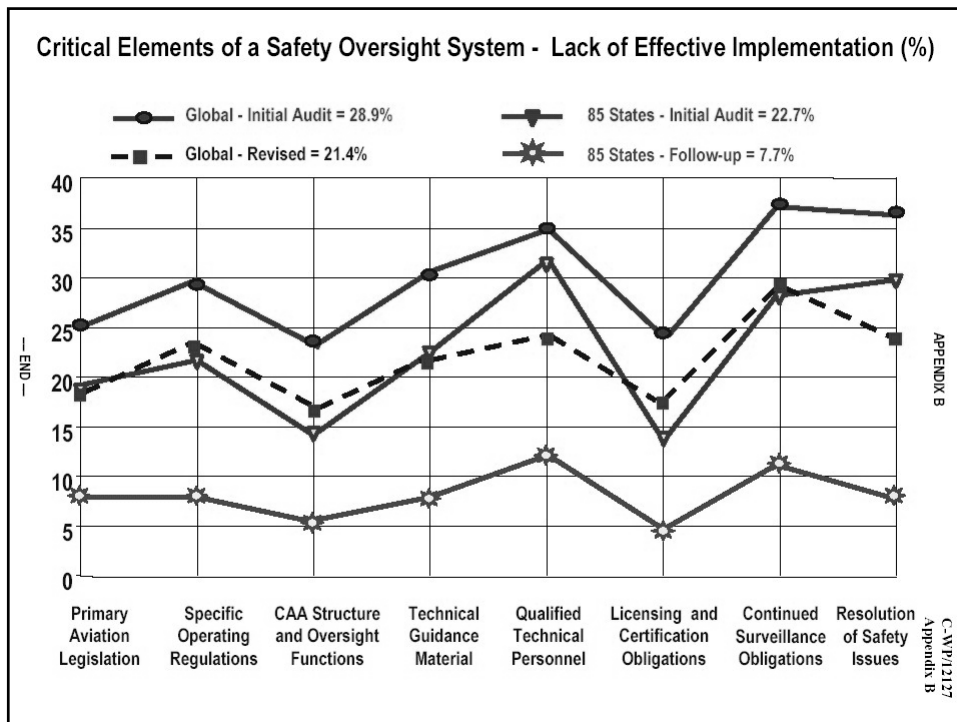
## Analysis of the findings

*Audit Findings and Differences Database (AFDD)*

- ✈ **Based on factual and accurate data**
- ✈ **Enables an accurate identification of deficiencies impacting on safety**
- ✈ **Consistent with regional accident/ incident rates (a veritable association could be determined)**
- ✈ **Reliable safety tool, both for ICAO and its Contracting States**
- ✈ **181 audit interim reports analyzed**








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## USOAP EXPANSION

- ✧ **Annex 11 – Air Traffic Services**
- ✧ **Annex 13 – Aircraft Accident and Incident Investigation**
- ✧ **Annex 14 – Aerodromes**
- ✧ **Preparatory work commenced 2003**
- ✧ **Audits commence May 2004**
- ✧ **3 Phase Program**



## **USOAP EXPANSION**


- ✈ **Phase 1**
  - ✈ **Establish Database on State information**
    - ✈ **Baseline for preparation of schedule and type of audit**
    - ✈ **State Aviation Activity Questionnaire (SAAQ)/Requirement (reply by 31 August 2003)**
  - ✈ **Online**



## **USOAP EXPANSION**

- ✈ **PHASE 2**
  - ✈ **Standards and Recommended Practices Compliance Checklist (October air cargo) Online**
  - ✈ **Provided States 6 Months prior to audit**
  - ✈ **Returned to ICAO 3 months prior to audit**






## USOAP EXPANSION

✈ **PHASE 2**


- ✈ **Audit protocols, primary tools for conducting audits, provided to States prior to audit (December air cargo) Online**
- ✈ **Physical safety oversight audit and oral briefing by ICAO Team**




## USOAP EXPANSION

✈ **Phase 3**

- ✈ **Draft safety oversight audit report submitted to State**
- ✈ **Submission to ICAO of comments and action plan for rectification of deficiencies**
- ✈ **Final audit report submitted to audited State**
- ✈ **Non-confidential summary report distributed to all States**




 **What does this all mean?**

- ✧ **In many ways, and for a number of reasons, Governments are not adequately supporting their civil aviation authorities to effectively and efficiently undertake their safety oversight responsibilities and, thus, fulfill their international obligations for aviation safety.**
- ✧ **Many States do not have the necessary resources to support an effective safety oversight system on their own.**




**What can and should be done?**

- ✧ **Increased commitment on the part of Governments to fulfil their responsibilities**
- ✧ **Greater support to their own or to multi-State authorities, as applicable:**
  - ✧ **Legislation and regulations**
  - ✧ **Delegation and empowerment**
  - ✧ **Proper staffing and adequate resources**



## **What can and should be done?**

- ✈ **Working together – joining efforts**
  - ✈ **Regional or sub-regional groups of States (RASOS, ACSA)**
  - ✈ **ICAO, industry and international or regional organizations should support States**



## **Possible consequences of Audits**

- ✈ **Non compliance with SARPs**
- ✈ **Availability of information to all States**
- ✈ **Decrease in number of flights**
  - ✈ **Safety Aspects**
  - ✈ **Insurance**
- ✈ **Socio-Economic Impact**