What is safety oversight?

- Safety oversight is a function by which States ensure the effective implementation of:
  - Standards and Recommended Practices (SARPs)
  - the critical elements of a safety oversight system
  - relevant safety practices and procedures

Safety Oversight is a State's responsibility

Why an ICAO programme?

- Various reports in the early 1990s indicated a lack of implementation of ICAO SARPs by States
- Increased concern over the level of aviation safety world-wide
- Need to reduce accident rates to off-set the rapid increase in traffic
Objective of the Programme

The objective of the ICAO Universal Safety Oversight Audit Programme (USOAP) is 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 (SARPs), associated procedures, guidance material and safety-related practices.

Two complementary roles

ICAO

→ Develops principles and techniques to be adopted in Annexes
→ Approves regional air navigation plans

STATES

→ Apply Annex Standards
→ Carry out oversight responsibilities
→ Implement infrastructure according to regional plans

The making of the Programme

→ Assembly Resolution A29-13 (1992)
→ Approval of the ICAO safety oversight voluntary assessment programme by the Council (June 1995)
→ DGCA Conference (November 1997)
→ Approval of the ICAO Universal Safety Oversight Audit Programme by the Council (May 1998)
→ Expansion of the Programme – Assembly Resolutions A33-8 and A33-9 (2001)
→ Comprehensive systems approach – A35-6 (2004)

Evolution of the Programme

Voluntary Assessment Programme 1995 - 1998 Annexes 1, 6, 8 88 Requests 67 Assessments
Annex-by-Annex Approach

Mandatory Audit Programme (USOAP) A-32/11 1999 - 2004 181 Audits
162 Follow-ups Annexes 1, 6, 8 Annex-by-Annex Approach

Comprehensive Systems Approach A-35/6 2005 Safety-related Provisions in all Annexes (All except 9 and 17)
**Tentative Audit mission plan**

**CAR/ SAM Region 2005-2006**

- April 2005  Canada
- October 2005  Panama, Trinidad & Tobago
- January 2006  Costa Rica (ACSA & COCESNA)
- March 2006  Peru
- June 2006  El Salvador  6-15
-  Mexico  20-29

**State Aviation Activity Questionnaire**

(SAAQ)

**General purpose**

- The State Aviation Activity Questionnaire is one of the main tools to be used under the comprehensive systems approach.
- It is designed to enable ICAO to collect useful information on the organization and system established by a State to meet its safety-related obligations as a signatory to the Chicago Convention.
- As the SAAQ covers the whole spectrum of civil aviation activities, coordination amongst several entities within a State might be required.

The submitted information will allow ICAO to maintain an updated database of States’ aviation activities, as well as to plan and conduct a standardized safety oversight audit in all Contracting States.

It is essential that States carefully complete the SAAQ and submit it to ICAO within the prescribed period.
All Contracting States were required to submit the State Aviation Activity Questionnaire duly completed by 31 May 2005.

States are required to maintain the SAAQ up-to-date and/or update it at least six months prior to the scheduled audit.
Structure of the SAAQ

- Primary Aviation Legislation
- Level of promulgation
- Amendment procedures
- Delegation of authority
- Adoption of regulations
- Implementation/amendment of SARPs
- Establishment of CAA
- Issuance/suspension/revocation
- Arts. 28, 29, 83 bis
- Availability to users

Part 2 Legislation

Structure of the SAAQ

- Personnel licensing and training
- Aircraft operations and air operator certification
- Aircraft nationality and registration marks
- Airworthiness certification and inspection
- Environmental protection
- Safe transport of dangerous goods by air
- Instrument flight procedures

Part 4 Operational Activities

Structure of the SAAQ

- Organization
- Additional authorities and their relationship with the CAA
- Organizational chart
- Staffing levels
- Regulatory staff
- Administrative support and equipment
- Financial resources
- Training policy and programme
- Policy on safety management

Part 3 Organization

Structure of the SAAQ

- Air traffic services
- Meteorological services
- Aeronautical information services and aeronautical charts
- Communications, navigation and surveillance
- Search and rescue

Part 5 Air Navigation Services
### Structure of the SAAQ

- Aerodrome legislation
- Ownership and operational control
- Services offered
- Certification requirements
- Civil use of military facilities
- Safety management system requirements
- Coordination with ATS and AIS
- Specific procedures
- Emergency planning

### General purpose

- The Compliance Checklists are tools which will provide ICAO with information on a State’s level of implementation of international Standards and Recommended Practices (SARPs);

- The Compliance Checklists will enable States to identify any difference which may exist between their own practices and those established by international standards (Article 38 of the Chicago Convention).

### Structure of the SAAQ

- AIG specific legislation
- Designation and type of authority
- Regional offices
- Judicial/administrative procedures
- Procedures Manual
- Number of accidents/incidents
- Aircraft accident investigators
- Facilities and equipment
- Incident reporting systems
- Database (ADREP compatible)

### General purpose

- States submitting completed compliance checklists will enable ICAO to maintain a database on the level of compliance by States of ICAO SARPs.

- Proper completion of the compliance checklists will facilitate the work of the ICAO SOA team.
General purpose

- The compliance checklists address all standards and recommended practices, including the definitions, found in an Annex.
- The compliance checklists do not include the appendices, attachments, tables and figures which may be found in an Annex.
- The compliance checklists do not cover Procedures for Air Navigation Services (PANS) or Technical Instructions.

Coordination

- ICAO SOA Section (SPO and/or team leader) will communicate directly with the State’s National Safety Oversight Coordinator on the completion of the compliance checklists.
- Improper completion of the compliance checklists will result in the checklists being returned to the State through the State’s National Safety Oversight Coordinator for correction.

Timelines

- States are required to submit to ICAO and keep up-to-date Compliance Checklists for all Annexes, with the exception of Annex 9 – Facilitation and Annex 17 – Security.
- All Contracting States are required to submit the compliance checklists duly completed by 31 May 2005.
- States are required to maintain the compliance checklists up-to-date and/or update the compliance checklists at least six months prior to the scheduled audit.
Different in character or other means of compliance

- When the national regulation is different in character from the corresponding ICAO SARP or when the national regulation differs in principle, type or system from the corresponding ICAO Standard, without necessarily imposing an additional obligation.

The Compliance Checklist

Categories to consider as a guide in determining reportable differences:

- **Different in character or other means of compliance**
  - When the national regulation is different in character from the corresponding ICAO SARP or when the national regulation differs in principle, type or system from the corresponding ICAO Standard, without necessarily imposing an additional obligation.

- **Not applicable**
  - When a Contracting State deems an ICAO SARP related to aircraft, personnel, airways or auxiliary services not applicable to the prevailing aviation activities of the Contracting State.

The Compliance Checklist

Categories to consider as a guide in determining reportable differences:

- **Less protective or partially implemented / not implemented**
  - This category applies when the national regulation is less protective than the corresponding ICAO SARP; or when no regulation has been promulgated to address the corresponding ICAO SARP, in whole or in part.

The Compliance Checklist

Categories to consider as a guide in determining reportable differences:

- **Less protective or partially implemented / not implemented**
  - This category applies when the national regulation is less protective than the corresponding ICAO SARP; or when no regulation has been promulgated to address the corresponding ICAO SARP, in whole or in part.

The Compliance Checklist

Categories to consider as a guide in determining reportable differences:

- **Not applicable**
  - When a Contracting State deems an ICAO SARP related to aircraft, personnel, airways or auxiliary services not applicable to the prevailing aviation activities of the Contracting State.
Availability of the SAAQ and the Compliance Checklist

- The **SAAQ** and the **Compliance Checklist** are available in English from the following sources:
  - CD-ROM
  - ICAO-NET
- States can complete them in any of the ICAO languages.

Programme Activities

- **Planning**
- **Audits**
- **Audit Reports**
- **Audit Findings and Differences Database (AFDD)**
- **Working Papers**
- **Training**

Programme Principles

- Sovereignty of States
- Universality
- Transparency/Disclosure
- Timeliness
- Objectivity
- All Inclusiveness
- Fairness
- Quality

ISO certification of SOA

- Demand for external quality assurance of the Programme.
- Standardization of procedures and processes.
- Increase in efficiency and effectiveness.
- Ease to integrate new areas of audit activities.
- Consistently provide product that meets customer requirements.
- Enhance customer satisfaction.
SOA’s customers

ICAO Assembly
ICAO Council
Air Navigation Commission

International Organizations
Regional Organizations
Contracting States

INTERNAL

EXTERNAL

Analysis of the findings

Audit Findings and Differences Database (AFDD)
- Based on factual and recent data
- Enables an accurate identification of deficiencies impacting on safety
- Consistent with accident/incident rates
- Reliable safety tool, both for ICAO and its Contracting States
- Updated as audit follow-up validation missions are completed
- Several sub-applications

SOA Quality Management System

Quality Manual

Quality Management System Procedures

Process Flow Charts
Work Instructions
Quality Records

USOAP – findings and analysis

Lack of effective implementation of the critical elements (%)

GLOBAL/181 – 32.3%
APAC/32 – 24.9%
ESAF/21 – 40.2%
EUR/NAT/181 – 19.65%
MID/17 – 30.52%
NACC/21 – 24.04%
SAM/13 – 23.24%
WACAF/21 – 49.37%
What does this all mean?

1. What is the impact of the results of the audits on safety?

2. What can and should be done?

What can and should be done?

- Increased commitment on the part of Governments to fulfill their responsibilities
- Greater support to Civil Aviation Administrations
- Working together – joining efforts
- Full participation in the comprehensive systems approach
- Implementation of the unified strategy to resolve safety-related deficiencies.
Review

- Establishment and evolution of USOAP
- Programme principles, activities and staffing
- ISO Certification of the Safety Oversight Audit Section
- Audit Findings and Differences Database (AFDD)
- Analysis and implications of the audit findings
- General purpose of State Aviation Activity Questionnaire; timelines (SAAQ); timelines
- Structure and availability of the SAAQ
- General purpose Compliance Checklists; timelines; coordination

Thank you!
Any questions?