



International Civil Aviation Organization

North American, Central American and Caribbean Office

Second Meeting of North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/2)

Tegucigalpa, Honduras, 11 – 14 October 2005

NACC/DCA/2-WP/06

27/06/05

Agenda Item 2:

Safety Oversight

2.3 Unified Strategy to Resolve Safety Related Deficiencies

PROGRESS REPORT ON THE UNIFIED STRATEGY IMPLEMENTATION PLAN

(Presented by the Secretariat)

SUMMARY

This paper discusses key elements of a unified strategy implementation plan for the provision of assistance to States in resolving safety-related deficiencies. Additional information, outlining the tools and mechanisms to be used for data collection and analysis, promoting partnerships, establishing regional and sub-regional safety oversight organizations in order to assist States to resolve their safety-related deficiencies is available on the ICAO-Net in the form of a PowerPoint presentation. In Appendix B a selection of images is presented.

1. Introduction

1.1 The Assembly, at its 35th Session (Montreal, 28 September - 8 October 2004) adopted Resolution A35-7: Unified strategy to resolve safety-related deficiencies. The Resolution recognizes the challenges faced by States in the implementation of their safety oversight systems, and endorses the concept of a unified strategy to resolve safety-related deficiencies based on the principles of increased transparency, cooperation, assistance and partnerships, where appropriate. By State letter AN 11/41-05/34, dated 24 March 2005, the resolution was circulated to all Contracting States.

1.2 Following the 35th Session of the Assembly, the Council reviewed the preliminary actions to be taken with regard to the resolutions and decisions of the Assembly. Subsequently, the Council agreed to the follow-up action on resolutions and decisions concerning air navigation matters including those concerning Resolution A35-7, presented as **Appendix A** to this working paper.

1.3 On 2 and 7 December 2004, the Air Navigation Commission considered a note which gave an overview of the unified strategy and outlined an approach for the integration of efforts to increase transparency and disclosure of safety-related information, to analyse available safety-related data and to establish partnerships to resolve safety-related deficiencies. The Commission agreed with the actions detailed in the appendix to that paper in support of implementation of the various elements of the unified strategy, and requested the Secretariat to present a progress report on the implementation of the strategy to the Commission and a draft report for presentation to Council.

1.4 This paper discusses elements of the unified strategy implementation plan aimed at the provision of assistance to States in resolving their safety-related deficiencies in accordance with Operative Clause 13 of Assembly Resolution A35-7. Additional information, outlining the tools and mechanisms for data collection and analysis, promoting partnerships, and establishing regional and sub-regional safety oversight organizations is available on the ICAO-Net in the form of a PowerPoint presentation. In the Appendix a selection of images is presented.

2. Background

2.1 The findings of the Universal Safety Oversight Audit Programme (USOAP) revealed that many States are experiencing difficulties in implementing Standards and Recommended Practices (SARPs) or correcting identified safety-related deficiencies, thus creating potential safety gaps and sources of risk to aviation safety. Reasons include the lack of adequate staff and financial resources, and lack of political commitment. Nevertheless, States have an obligation to meet all safety-related requirements under the *Convention on International Civil Aviation* (Doc 7300).

2.2 The unified strategy to resolve safety-related deficiencies comprises two main elements. It aims, firstly, to provide assistance to States, or groups of States, in resolving safety-related deficiencies. Secondly, it aims to ensure increased transparency and sharing of safety information for use by States when performing their safety oversight functions, including inspections as provided for in Article 16 of the Convention. In this regard, a procedure for transparency and disclosure of safety information within the scope of Article 54 j) of the Convention was considered by Council. (Reference WP/24).

“Article 16

Search of aircraft

The appropriate authorities of each of the contracting States shall have the right, without unreasonable delay, to search aircraft of the other contracting States on landing or departure, to inspect the certificates and other documents prescribed by this Convention.”

“Article 54

Mandatory functions of Council

The Council shall:

- j) Report to contracting States any infraction of this Convention, as well as any failure to carry out recommendations or determinations of the Council”.

2.3 The unified strategy reflects a shift in focus for the Organization towards the implementation of safety-related provisions and remedial action rather than the development of new SARPs. Inter-bureaux coordination including the regional offices is required for the successful implementation of the unified strategy, and the cooperation of Contracting States is crucial.

3. Key Elements

3.1 Considering that the availability of safety information is of critical importance to States when performing their safety oversight functions, an additional means to facilitate the sharing of safety information is envisaged to provide access to all relevant information derived from the Audit Findings and Differences Database (AFDD); such access will be implemented in keeping with Operative Clause 3 of Resolution A35-7 and in accordance with Operative Clause 7 of Resolution A35-6: Transition to a comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme (USOAP). Accident data from the Accident/Incident Data Reporting (ADREP) database could also be of assistance in this respect, and is available on the ICAO-Net.

3.2 A key element for the unified strategy in providing assistance to groups of States is the determination of geographical areas where projects can be most effectively developed. These groups of States will be selected through the evaluation of common needs and resources. The process will include data gathering, data analysis and tailoring of appropriate solutions. The Secretariat has formed a core group that is currently in the process of reviewing available data with the aim of identifying specific geographic areas for implementation.

3.3 Another key element of the unified strategy is fostering partnerships among States, the industry, regional safety oversight organizations, financial institutions and other international organizations. This is expected to be achieved through the establishment and management of regional safety oversight initiatives. States will be encouraged to work together through regional safety oversight organizations (RSOOs) and Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) where applicable. In this respect, the *Safety Oversight Manual* (Doc 9734), Part B — *The Establishment and Management of a Regional Safety Oversight System*, has been developed and will provide the necessary guidance to States for the implementation of regional safety oversight initiatives. The Organization began promoting this concept through participation at several regional meetings during the first and second quarter of 2005.

3.4 An important aspect towards appropriate regional solutions in this respect could be achieved by providing groups of States with tools for the harmonization of their oversight activities. Among those tools that could be used for this purpose is the Flight Safety Enhancement database which contains a compilation of generic examples of technical procedures relevant to the safety oversight of aircraft operations and maintenance.

3.5 The establishment of the Central American Agency for Aviation Safety (ACSA) in Central America and Regional Aviation Safety Oversight System (RASOS) of the Caribbean represent examples where the concepts of partnership and optimization of regional resources have been implemented. In addition, the existing COSCAPs in various regions of the world represent a vehicle in implementing regional and sub-regional initiatives in the near term.

3.6 Encouraging regional initiatives for fostering cooperation in civil aviation safety oversight is widely supported by States and the industry. In this respect, ICAO played a prominent role at the recent Global Summit on Regional Aviation Safety Oversight (1 to 3 February 2005, Washington D.C.) which was sponsored by the George Washington University Consortium and funded by the Federal Aviation Administration (FAA).

3.7 Contracting States in need of assistance will be encouraged to take advantage of the funding opportunity offered by the administration of the International Financial Facility for Aviation Safety (IFFAS). Also, due to the scope of the implementation of the unified strategy worldwide and the limited funds available through IFFAS, ICAO will also support States in their efforts to obtain assistance from various sources such as the World Bank, regional development banks, the European Commission.

4. Conclusion

4.1 The unified strategy, as reflected in Resolution A35-7, is considered to be a high priority for the Organization. Cooperation of Contracting States is essential towards the success of the programme. In order to provide assistance to States as called for by the Unified strategy, ICAO is in the process of gathering and analysing safety-related data from different groups of States in order to determine potential areas of application. Once a target area of implementation has been identified, a pilot project will be put in place and other stakeholders will be invited to participate. An Organization-wide framework for coordination and specific tasking among bureaux/offices/sections has been developed. The Secretariat is promoting the concept of the unified strategy through State letters and regional meetings.

4.2 The Commission is of the view that an annual progress report to Council on the execution of the unified strategy programme is essential.

5. Action by the NACC/DCA/2 Meeting

5.1 The Meeting is invited to:

- a) note the information in the paper;
- b) note and comply with the additional information in the safety oversight documentation presented in the ICAO-NET (See **Appendix B**);
- c) take note of the selected PowerPoint images on the unified strategy implementation plan presented in **Appendix C**;
- d) take note of the dates for the audits of the States of the CAR Region (**Appendix D**); and
- e) participate in the unified strategy implementation plan for the resolution of safety-related deficiencies, as appropriate.

APPENDIX A

A35-7: Unified strategy to resolve safety-related deficiencies

Whereas a primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas ensuring the safety of international civil aviation is also the responsibility of Contracting States both collectively and individually;

Whereas in accordance with Article 37 of the Convention on International Civil Aviation each Contracting State undertakes to collaborate in securing the highest practicable degree of uniformity in regulation, standards, procedures and organization in relation to aircraft, personnel, airports, airways and auxiliary services in all matters in which uniformity will facilitate and improve air navigation;

Whereas the improvement of the safety of international civil aviation on a worldwide basis requires the active collaboration of all stakeholders;

Whereas the Convention and its Annexes provide the legal and operational framework for Contracting States to build a civil aviation safety system based on mutual trust and recognition, requiring that all Contracting States implement the SARPs as far as practicable and adequately perform safety oversight;

Whereas the results of the Universal Safety Oversight Audit Programme (USOAP) indicate that several Contracting States have not yet been able to establish a satisfactory national safety oversight system;

Whereas the ICAO Technical Cooperation Bureau (TCB) can provide the required assistance to States in need;

Whereas the International Financial Facility for Aviation Safety (IFFAS) has been established to assist Contracting States in financing safety-related projects to correct deficiencies primarily identified through USOAP and for which they cannot otherwise provide or obtain necessary financial resources;

Recognizing that not all Contracting States have the requisite human, technical and financial resources to adequately perform safety oversight;

Recognizing that the establishment of regional and sub-regional safety oversight organizations has great potential to assist States in complying with their obligations under the Chicago Convention through economies of scale and promotion of uniformity on a larger scale;

Recognizing that the assistance available to Contracting States experiencing difficulties in correcting deficiencies identified through the safety oversight audits would be greatly enhanced by a unified strategy involving all Contracting States, ICAO and other concerned parties in civil aviation operations;

Recognizing the safety enhancement contributions resulting from audits conducted by international and regional organizations such as the IATA Operational Safety Audit (IOSA) Programme and Eurocontrol ESARR Implementation Monitoring and Support (ESIMS) Programme;

Recognizing that transparency and sharing of safety information is one of the fundamental tenets of a safe air transportation system;

The Assembly:

1. *Urges* all Contracting States to share with other Contracting States critical safety information which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information;
2. *Encourages* Contracting States to make full use of available safety information when performing their safety oversight functions, including during inspections as provided for in Article 16 of the Convention;
3. *Directs* the Council to further develop practical means to facilitate the sharing of such safety information among Contracting States;
4. *Reminds* Contracting States of the need for surveillance of all aircraft operations, including foreign aircraft within their territory and to take appropriate action when necessary to preserve safety;
5. *Directs* the Council to develop a procedure to inform all Contracting States, within the scope of Article 54 j) of the Chicago Convention, in the case of a State having significant compliance shortcomings with respect to ICAO safety-related SARPs;
6. *Directs* the Council to promote the concept of regional or sub-regional safety oversight organizations;
7. *Requests* the Secretary General to continue to foster coordination and cooperation between USOAP and audit programmes of other organizations related to aviation safety, and specifically with IATA and Eurocontrol;
8. *Urges* Contracting States to further develop regional and sub-regional cooperation and, whenever feasible, partnership initiatives with other States, industry, air navigation service providers, financial institutions and other stake holders to strengthen safety oversight capabilities in order to foster a safer international civil aviation system and to better discharge their individual responsibilities;
9. *Encourages* States to foster the creation of regional or sub-regional partnerships to collaborate in the development of solutions to common problems to build their individual safety oversight capability;
10. *Encourages* all States able to do so to participate in, or provide tangible support for, the strengthening and furtherance of regional safety oversight organizations;

11. *Invites* Contracting States to use the services of the ICAO Technical Cooperation Bureau (TCB) to resolve deficiencies identified by the USOAP;
12. *Invites* Contracting States experiencing difficulties in financing measures necessary to correct safety-related deficiencies identified through USOAP to take advantage of the funding opportunity offered by the International Financial Facility for Aviation Safety (IFFAS);
13. *Requests* the Council to implement a unified strategy based on the principles of increased transparency, cooperation and assistance and to foster, where appropriate, partnership among States, users, air navigation service providers, industry, financial institutions and other stake holders to analyze causes, establish and implement sustainable solutions in order to assist States in resolving safety-related deficiencies;
14. *Directs* the Council to adopt a flexible approach for the provision of assistance through the ICAO Regional Offices to support regional and sub-regional organizations responsible for safety oversight tasks and to implement an efficient system to monitor implementation of the unified strategy.
15. *Requests* the Secretary General to investigate ways in which the identification of measures may be undertaken at national and regional levels to support States' development of ATM safety oversight capabilities and procedures.

Associated practice

1. The Council should develop ways in which all relevant information from the Audit Findings and Differences Database (AFDD) could be made available to all Contracting States through the use of the ICAO secure website.

APPENDIX B

SAFETY OVERSIGHT DOCUMENTATION ON THE ICAO-NET

Doc. 9734 Part A and B - Safety Oversight Manual

Doc. 9735 - Draft Safety Oversight Audit Manual

Audit Protocols for Air Navigation Areas

State Aviation Activity Questionnaire (SAAQ 2005)

Compliance checklists for all Annexes

State Audit feedback form

State Follow-up feedback form.



Objectives of Unified Strategy

- Res A35-7 Oct, 2004
- Two main pillars:
 - 1) Assistance to groups of States
 - a) Foster Partnership and
 - b) Create Regional Safety Oversight Organizations (RSOOs)
 - 2) Availability of safety information
 - a) Exchange between States
 - b) ICAO to facilitate
 - c) Procedure for transparency and disclosure

Data Sources

- **USOAP audit reports /AFDD**
- **TCB/COSCAPs**
- **Regional Offices**
- **Other institutions, eg. IATA,
EUROCONTROL, UNITED NATIONS**
- **Existing regional organizations**

Data Analysis

- **Current level of compliance with SARPs by
groups of States**
- **Possibilities of regulation harmonization in the
regions**
- **Political relationships among States**
- **Financial institutions available in short term**
- **Regional Organizations available to back up the
project**

Data Analysis (Cont'd)

- **Status of existing TCB assistance to States in regions**
- **If COSCAPs are already in place, that facilitates initial project(s)**
- **Physical location for future RSOOs**
- **Political commitment by member States to establish partnerships**

Implementation

- **Local Project implementation manager**
- **Allocate manager at Regional Office or**
- **Physical location for the future RSOO**
- **Facilitator(s) from HQ visits**
- **Doc. 9734, Part B**
- **WE HAVE TO ENSURE A CONTINUOUS POLITICAL SUPPORT IN THE REGION!**

Risk Management

- Monitor to ensure functionality
- Follow up - Part of the regional agreement
- Reports and meetings with high level authorities of all Countries involved in RSOO, on regular basis
- Involving ICAO in the initial recruitment of technical personnel for RSOO
- Monitor Terms of Reference of projects coming from international financial institutions

Promotion of regional/sub-regional Partnerships

- Global Summit on Regional Safety Oversight (Washington D.C. 1-3 Feb. 05)
A35-7
- TCB existing COSCAPs, and three new approved (UEMOA, BAG, Balkan States)
Operative Clauses 6,8,9,10
- Unified Strategy Seminar in Mexico (IQ 2005)
- Cooperation with regional initiatives
(ACSA) - Central America
(RASOS) - Caribbean

Promotion of regional/sub-regional Partnerships – cont.	
<ul style="list-style-type: none">▪ Publication of Part B of the Safety Oversight Manual on the Establishment and Management of a Regional Safety Oversight System (Doc 9734)	A35-7 Operative Clauses 6,8,9,10

Foster and monitor the Implementation of the Unified Strategy	
<ul style="list-style-type: none">▪ Workshops in all Regional Offices – Paris (1Q05)▪ Meetings with COSCAP-Steering Groups (1Q05)	A35-7 Operative Clauses 13,14

Financing

SOURCES

- Limited ICAO Funds
- IFFAS
- Boeing, Airbus Industrie
(Funding secured for
(COSCAP-SA, NA, SEA,
CIS)
- Others (World Bank,
regional development
banks, EC, etc.)

A35-7
Operative Clauses
12

Conclusions

UNIFIED STRATEGY

- Stems from the need to help on the implementation phase of Safety Oversight Activities
- Foster partnerships to help groups of States
- ICAO plays the main role for the coordination of Unified Strategy among external contributors
- Within ICAO, Unified Strategy does not belong to a single unit or section
- ANB as a leader will gather all inputs to pursue the Strategy
- THE IMPLEMENTATION OF UNIFIED STRATEGY IS A JOINT EFFORT
 - Data Gathering
 - Data Analysis
 - Project management
 - Risk management
 - Implementation

APPENDIX D

**ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME
TENTATIVE AUDIT MISSION PLAN UNDER THE COMPREHENSIVE SYSTEMS
APPROACH**

APRIL 2005 TO DECEMBER 2006

Second Quarter 2005 (April to June)	
April	Canada - Completed 22 April 2005
May	Germany (EASA and EUROCONTROL) - Completed 27 May 2005
June	Thailand and Malaysia
Third Quarter 2005 (July to September)	
July	_____
August	_____
September	Gambia
Fourth Quarter 2005 (October to December)	
October	Panama, Trinidad and Tobago
November	Bulgaria, Egypt, Kuwait
December	Czech Republic
First Quarter 2006 (January to March)	
January	Costa Rica (ACSA and COCESNA) , Fiji, Vanuatu (PASO)
February	Belgium, Luxembourg, Colombia
March	New Zealand, Niger, Peru, Senegal (ASECNA), Solomon Islands
Second Quarter 2006 (April to June)	
April	Namibia
May	Greece, Norway, Austria, Botswana, Cameroon, Cyprus, Italy
June	Armenia, Democratic Republic of the Congo, El Salvador , Israel, Mexico
Third Quarter 2006 (July to September)	
July	_____
August	_____
September	Benin, Russian Federation (IAC (MAK)), Togo
Fourth Quarter 2006 (October to December)	
October	Bhutan, India, Lebanon
November	Ghana, Jordan, Nigeria, Sudan
December	Ethiopia