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**Agenda Item 2: Safety Oversight**

**2.3 Unified Strategy to resolve Safety related Deficiencies**

**THE PRIMARY OF THE TWO MAIN ELEMENTS FOR THE UNIFIED STRATEGY IMPLEMENTATION PLAN**

(Presented by Cuba)

**SUMMARY**

This paper states key elements of a unified strategy implementation plan for the provision of assistance to States in resolving safety-related deficiencies. Additional information, promoting partnerships, establishing regional and sub-regional safety oversight organizations in order to assist States to resolve their safety-related deficiencies.

**References:**

1. Assembly Resolution A35-7: Unified strategy to resolve safety-related deficiencies.
2. ICAO Document 9735. Safety Oversight Audit Manual.

**1. Introduction**

1.1 The Assembly, in 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 partnership initiatives, where appropriate.

1.2 This working paper supports WP/06 presented by the secretary and additionally discusses the primary of the two main 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.

## 2. Discussion

2.1 In adopting Resolution A35-7, the Assembly strongly supported a Unified Strategy to resolve safety related deficiencies, and requested the Council to implement a strategy based on the principles of increased transparency, cooperation and assistance and to foster, where appropriate partnership among the States, users and air navigation service providers, industry financial institutions and other stakeholders in order to assist States in resolving safety-related deficiencies. (See Reference WP/06 and WP/24).

2.2 The findings of the Universal Safety Oversight Audit Programme (USOAP) reveal that many States are experiencing difficulties in implementing Standards and Recommended Practices (SARPs) and 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 also lack of political commitment in some cases.

2.3 The USOAP audits, have demonstrated to be of great practical value, they revealed faulty aspects of operational surveillance systems, which can be solved with appropriate measures. However, the difficulty of many States to comply with the standards and recommended practices (SARPS) and to accomplish the action plans driven as result of passed audit recommendations, also determines their possibilities for an adequate preparedness to meet upcoming audits.

2.4 The continuity of the USOAP and the introduction of the comprehensive systems approach, covering 16 of the 18 Annexes to the Convention, reinforce the importance of the previous preparation process to the audits. Preparation of previous documentation (SAAQs and Check Lists) enables the revision, reevaluation and correction of documents, procedures and practices regarding the safety oversight system of each State.. A proactive approach could be, to assist the States during this previous stage, addressing also the causes that condition its low capacity to exercise safety oversight obligations.

2.5 The Memorandum of Understanding - Art. 11 (MOU), subscribed by the States, in its Article 11 states:

The safety oversight audit team will review:

- Compliance with the safety-related Standards and Recommended Practices (SARPs) in all safety-related Annexes as well as with related Procedures for Air Navigation Services (PANS).
- Adherence to guidance material and relevant safety-related practices in general use in the aviation industry.
- The ability to effectively implement the critical elements of a safety oversight system.

2.6 The third aspect previously stated and subject to revision by means of the audit, refers to the eight elements that summarize the internal aspects that define the capacity of Aeronautical Authorities to exercise safety oversight responsibilities:

- Primary Aviation Legislation.
- Availability of Specific Operating Regulations.
- CAA Structure and Safety Oversight Functions.
- Technical Personnel Qualifications.
- Technical Guidance Material.
- Compliance with Licensing and Certification Obligations.
- Continued Surveillance Obligations.
- Resolution of Safety Issues.

2.7 In our region, the weakest element could be the fourth element the lack of adequate CAA staff for reasons of permanency and experience. This lack regarding experienced personnel, affects directly the last three elements and indirectly all the rest. Identification of our strengths and weaknesses could be important in order to implement a regional response with our potentialities.

2.8 The Latin American Commission of Civil Aviation (LACAC) which constitution and current activity supports the purpose of Resolution A35-7 of The Assembly, includes States of the Region with qualified human resources, trained under the regional ICAO Projects RLA 95 and RLA 99, with specialized knowledge in legislation, CAA structures required to sustain the aeronautical activity, in the development of regulations, procedures and necessary practice to comply with the technical requirements for safety oversight functions.

2.9 The unified strategy to resolve safety-related deficiencies as Resolution A35-7 states, comprises two main elements. It aims, primarily, to provide assistance to States, or groups of States, in resolving safety-related deficiencies. It is necessary to reinforce the preparatory activities for the USOAP under the comprehensive systems approach and to provide assistance to the States in this initial critical stage. The inadequacies in this initial stage of preparation for the audits, will impact in their final results and in the further execution of the Action Plans by the respective States.

### **3. Suggested action**

3.1 The Meeting is invited to:

- a) take note of the information of the present and support WP/04 and WP/24 presented by the Secretariat;
- b) request to the Secretary of ICAO, the implementation of the pilot projects stated in the Conclusions of WP/06 of the Secretary, also in order to assist the preparatory stage for the audits, and
- c) request the support of the Regional Offices of the ICAO, of the LACAC and other institutions of the region in the immediate activation of their systems for assistance to the States that could need it.