



**GCAA**

دولة الإمارات العربية المتحدة  
الهيئة العامة للطيران المدني  
UAE General Civil Aviation Authority

## **GAPS IN GLOBAL EFFECTIVENESS**

سماء الإمارات في أيدي أمينة...

UAE sky in safe hands...



## ICAO's AUDIT PROGRAM

- ICAO's SARPs are developed to create uniform standards and be adopted universally - but many States do not comply.
- A conflict developed between the developed and less developed States. Powerful States wanted to take punitive action to "bring other States into line". Less developed states argued that an international approach was more appropriate.
- **1993:** Consensus was achieved that States should comply with SARPs and oversight auditing and facilitation of States' compliance should be managed by ICAO.
- **However:**
  - The SOP was voluntary, under-funded and confidential;
  - ICAO was reluctant to publicize the names of States that were delinquent in satisfying the SARPs.

# ICAO USOAP

- **1999:** ICAO's Universal Safety Oversight Audit Program [USOAP] replaced the SOP with audits that were mandatory, systematic, harmonized and transparent – **a significant improvement**;
- The USOAP initially performed audits to verify State compliance in 3 Annexes: Annex 1 (Personnel licensing), Annex 6 (Flight operations), Annex 8 (Aircraft airworthiness);
- **By 2004,** ICAO had audited 181 States and 5 territories for safety compliance and performed 120 audit follow-up missions. There were many cases of aviation safety deficiencies resulting from States' non-compliance with the SARPs;
- **Hmmm!** Not happy results necessarily but more effective insight into reality.

# Critical Elements of a State's Safety Oversight System



# ICAO USOAP

## EFFECTS OF THE USOAP AUDITS

- States responsible for non-compliance with SARPs are deemed to have notified ICAO of differences - more accurate understanding of shortcomings;
- ICAO has a large database of most Contracting States respecting their compliance with Annexes 1 6 and 8 (AFDD);
- The USOAP now is applied to the other safety-related Annexes including Annex 11 (Air Traffic Services), **Annex 12 (Search and Rescue)**, Annex 13 (Accident Investigation) and Annex 14 (Aerodromes) – **further positive steps**;
- The results of the audits must be posted on the secure portions of ICAO's Web site and are available to all Member States;
- Evolutionary transition from CSA to CMA whereby States accept greater responsibility for safety provisions, notably through SSP and SMS – **significant change in strategy – the game is sharpening!**

# ICAO USOAP

## EFFECTS OF THE USOAP AUDITS

**Impressive distance covered but a ways to go!**

**USOAP discovered many aviation safety deficiencies relating to States' non-compliance with the SARPs including:**

- absence of basic aviation legislation and regulations, or
- failure of national laws to conform to ICAO SARPs.
- failure of States [i.e. their governments] to enforce aviation safety laws and regulations that do exist.

# ICAO USOAP

## EFFECTS OF THE USOAP AUDITS

**Impressive distance covered but a ways to go!**

The deficiencies related to the SARPs included

- improper and insufficient inspections by State authorities,
- licenses and certificates improperly issued, validated and renewed,
- procedures and documents improperly approved .

**Overall: insufficient follow-up on identified safety deficiencies and remedial action to resolve concerns**

## REFINEMENTS TO ICAO OVERSIGHT

- **2008:** All but 2 of the ICAO's 190 Member States have agreed that ICAO may publish the results of audits showing their level of compliance;
- The principle has been established that as soon as audit summaries are prepared, they are published on the web.

# CONCLUSION to GAP ANALYSIS

The ICAO audit program (and other initiatives by the EU, FAA and IATA) have resulted in:

- Many States – mainly the more developed States but including many developing States – have remedied their non-compliance; but
- Other States have failed to remedy their safety deficiencies due to a lack of will, means or ability and “require assistance to do so.” [Annual Report of the ICAO Council];
- **DESPITE EVERY PROGRESSIVE AND INCREMENTAL STEP, THE GAPS CONTINUE TO EXIST!**
- The serious difficulties in fulfilling safety oversight obligations apply to specific States & regions disproportionately.

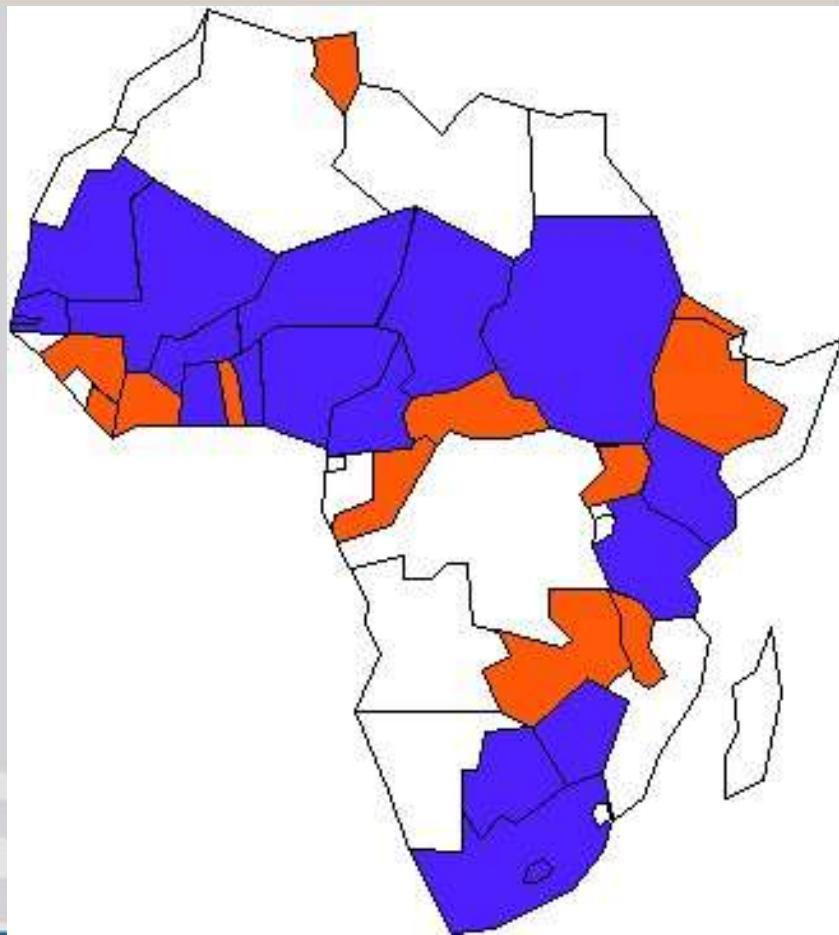
# CONCLUSION to GAP ANALYSIS

THERE IS A DIRECT RELATIONSHIP BETWEEN NON-COMPLIANCE AND ACCIDENT RATES:

- the higher States' non-compliance with SARPs
- the higher the aviation accident and incident rates in that region



## ICAO / AFCAC SAR evaluation findings



- 1 – Not implemented
- 2 – Initial implementation
- 3 – Meets Annex 12 requirements (or other relevant ICAO / IMO provisions) in some areas
- 4 – Meets Annex 12 requirements (or other relevant ICAO / IMO provisions) in most areas
- 5 – Fully meets Annex 12 requirements (or other relevant ICAO / IMO provisions).



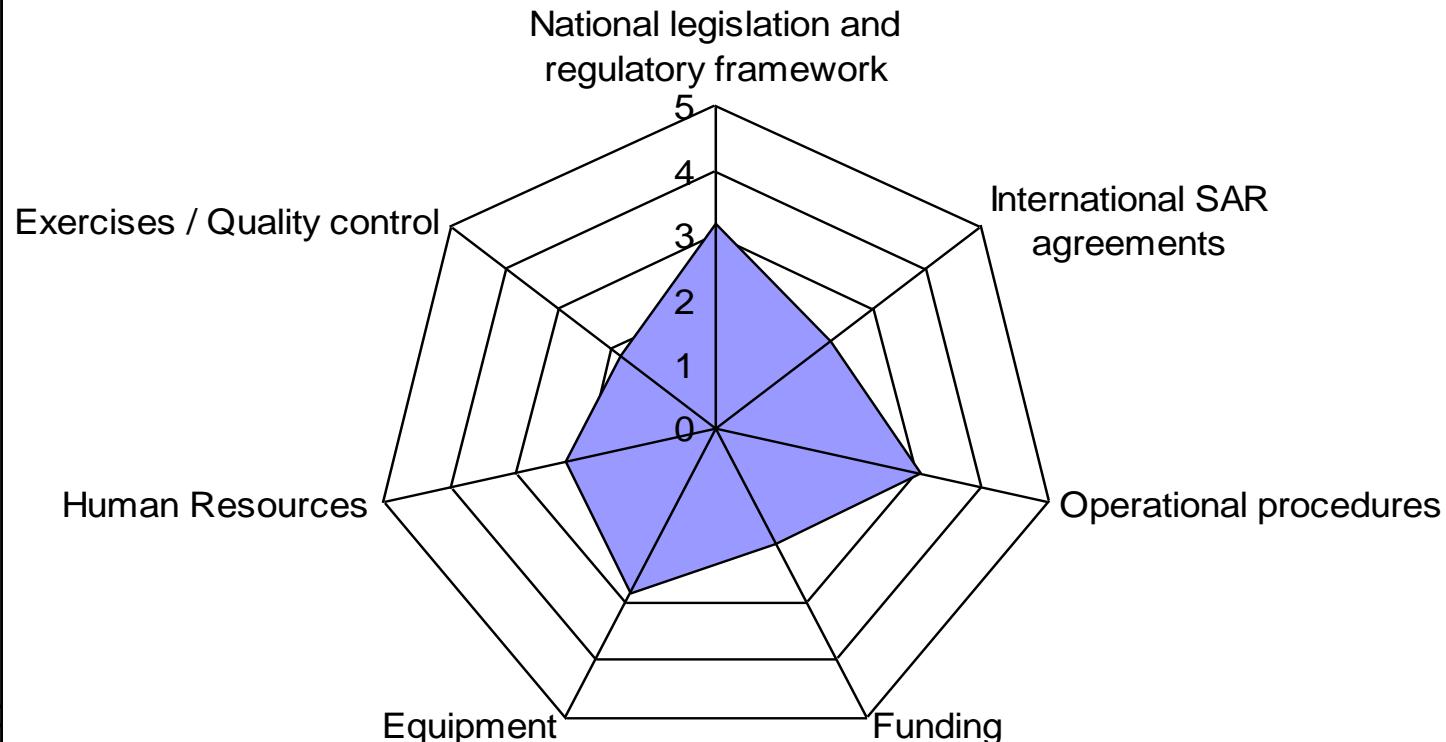
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# ICAO / AFCAC SAR evaluation findings

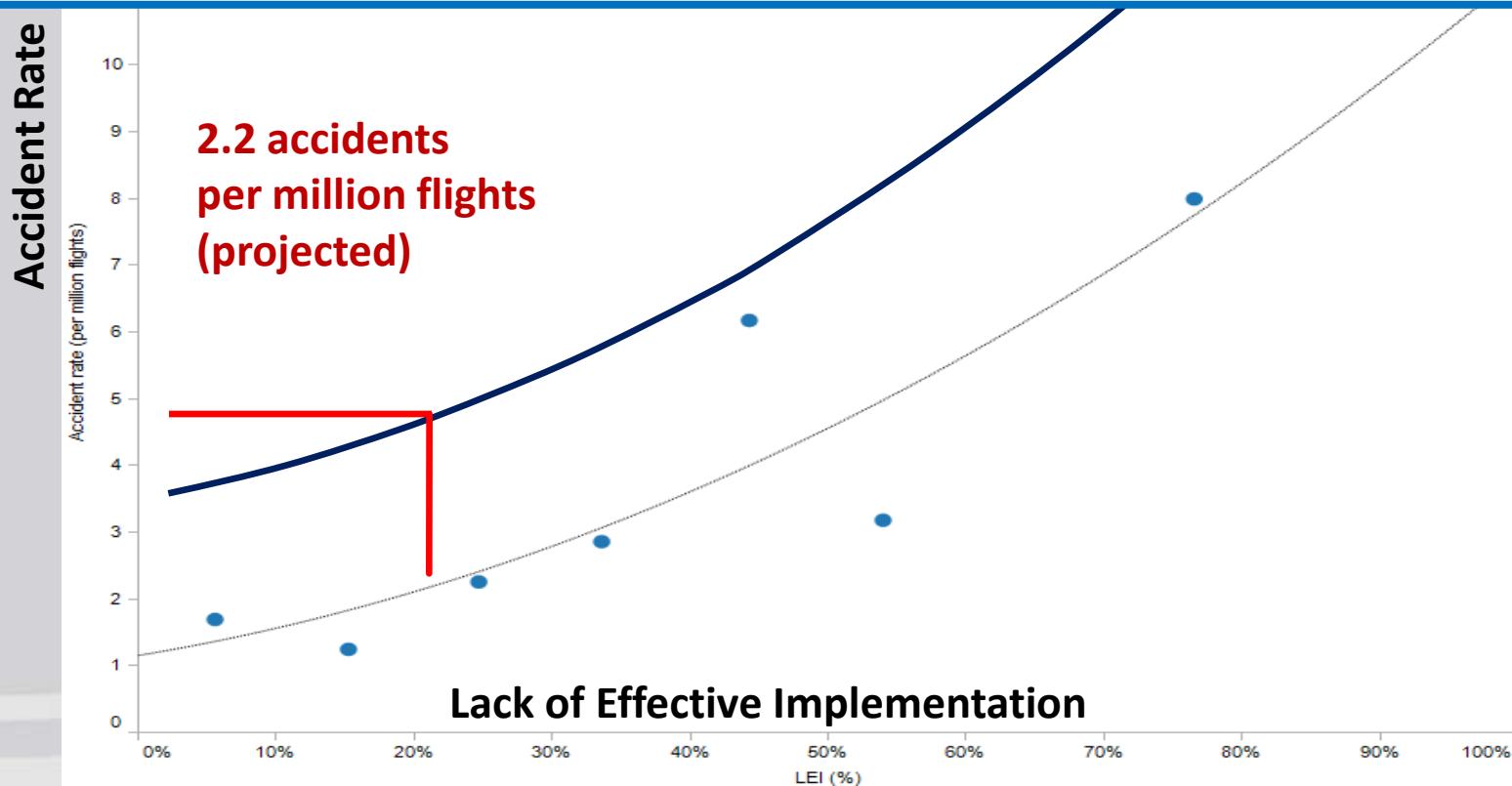
## Trend - All States





## Relationship between non-compliance and accident rate

77% correlation factor at the State level



# CONCLUSION to GAP ANALYSIS

## THE IMPLICATIONS FOR SAR ARE THREEFOLD:

- **Areas of non-compliant States' SAR jurisdictions are the areas most in need of effective SAR services;**
- **The SAR services in these States are likely to be the least effective;**
- **The SAR services in these States are likely to be the least safe.**



## CONCLUSION to GAP ANALYSIS

- Civil aviation safety is an **indivisible, global regime** such that any recognized aviation safety deficiency in one country threatens the safety of the entire global civil aviation system.

## CONCLUSION to GAP ANALYSIS

- Safety deficiencies of developing States may result in potential victims [and litigants] worldwide
  - Passengers and third parties on the ground, irrespective of nationality, are at risk of death or injury through aircraft accidents anywhere in the world;
  - Developed States' aircraft operators and citizens fly internationally to developing State destinations are exposed, and
  - Developed States' airspace and airports that receive flights from developing States' operators are obversely exposed.

## Comprehensive Regional Implementation Plan for Aviation Safety in Africa

- ***Enabling States to establish and maintain a sustainable safety oversight system*** ..... the establishment of **Regional Safety Oversight Organizations** on the basis of existing platforms and regional organizations....
- ***Enhancing aviation safety culture of African aviation service providers*** ..... promote and encourage a **regional cooperation** based on existing regional platforms, such as the COSCAPs, to assist States within their respective regions to resolve identified deficiencies.....
- ***Assisting States to resolve identified deficiencies within a reasonable time*** .....provide assistance to African aviation service providers with the aim of enhancing safety cultures.....seminars and workshops.....



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**THANK YOU**

