



International Civil Aviation Organization

Regional Seminar/Workshop on USOAP CMA and SAST Tools

Name

Title, Section, Bureau

Date

Critical Elements of a State's Safety Oversight System

Module 3

Module Objective

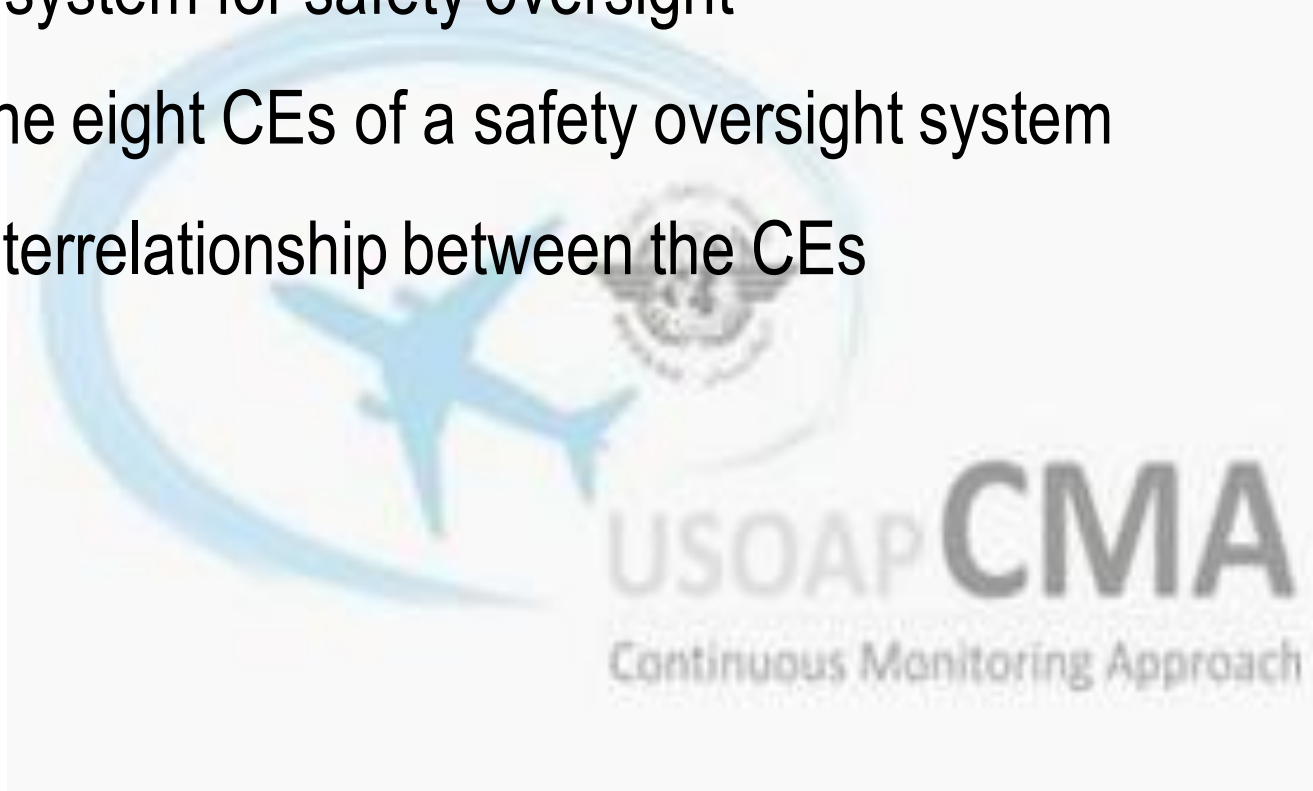
At the end of this module, the participants will be able to:

- ❑ Describe a safety oversight system;
- ❑ Explain the critical elements (CEs) of a safety oversight system;
- ❑ Identify their respective CE number; and
- ❑ Recognize the interrelationship(s) between the CEs.

Outline



- ❑ A system for safety oversight
- ❑ The eight CEs of a safety oversight system
- ❑ Interrelationship between the CEs



What is Safety Oversight?



A function by which States ensure effective implementation of the safety-related Standards and Recommended Practices (SARPs) and associated procedures contained in the Annexes to the Convention on International Civil Aviation and related ICAO documents

An individual State's responsibility for safety oversight is the foundation upon which safe global aircraft operations are built

Lack of appropriate safety oversight in one Contracting State therefore threatens the health of international civil aircraft operations

Effective Safety Oversight System?



What is meant by an effective safety oversight system?

What are the elements that you would consider essential for a State to establish and maintain an effective safety oversight system?



PRIMARY AVIATION LEGISLATION

- The provision of a comprehensive and effective aviation law consistent with the environment and complexity of the State's aviation activity, and compliant with the requirements contained in the *Convention on International Civil Aviation*.

SPECIFIC OPERATING REGULATIONS

- The provision of adequate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation and providing for standardized operational procedures, equipment and infrastructures (including safety management and training systems), in conformance with the SARPs contained in the Annexes to the Convention on International Civil Aviation.

The term “regulations” is used in a generic sense to include instructions, rules, edicts, directives, set of laws, requirements, policies and orders.

STATE CIVIL AVIATION SYSTEM AND SAFETY OVERSIGHT FUNCTIONS

- The establishment of a civil aviation authority (CAA) and/or other relevant authorities or government agencies, headed by a Chief Executive Officer, supported by the appropriate and adequate technical and non-technical staff and provided with adequate financial resources.
- The State authority must have stated safety regulatory functions, objectives and safety policies.

TECHNICAL PERSONNEL QUALIFICATION AND TRAINING

- The establishment of minimum knowledge and experience requirements for the technical personnel performing safety oversight functions and the provision of appropriate training to maintain and enhance their competence at the desired level.
- The training should include initial and recurrent (periodic) training.

TECHNICAL GUIDANCE, TOOLS AND THE PROVISION OF SAFETY CRITICAL INFORMATION

- The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and safety-critical information, as applicable, to the technical personnel to enable them to perform their safety oversight functions in accordance with established requirements and in a standardized manner.
- This includes the provision of technical guidance by the oversight authority to the aviation industry on the implementation of applicable regulations and instructions.

LICENSING, CERTIFICATION, AUTHORIZATION AND APPROVAL OBLIGATIONS

- The implementation of processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization and/or approval to conduct the relevant aviation activity.

SURVEILLANCE OBLIGATIONS

- The implementation of processes (such as inspections and audits) to proactively ensure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State to undertake an aviation-related activity for which they have been licensed, certified, authorized and/or approved to perform.
- This includes the surveillance of designated personnel who perform safety oversight functions on behalf of the CAA.

RESOLUTION OF SAFETY CONCERNS

- The implementation of processes and procedures to resolve identified deficiencies impacting aviation safety, which may have been residing in the system and have been detected by the regulatory authority or other appropriate bodies.

This would include the ability to:

- *analyse safety deficiencies,*
- *forward recommendations,*
- *support the resolution of identified deficiencies, as well as*
- *take enforcement action when appropriate.*

Critical Elements of an Effective Safety Oversight System



CEs are essentially the safety defense tools of a safety oversight system.

They are required for the effective implementation of safety-related international standards and associated procedures.

They cover the whole spectrum of civil aviation activities.

The level of effective implementation of the CEs is an indication of a State's capability for safety oversight.

CEs of an Effective Safety Oversight System (cont'd)



Taking into account the shared responsibility of the State and the aviation community for safety oversight, States benefit from implementing the CEs.

Assembly Resolution A35-6 required that the safety oversight reports be restructured to reflect the CEs.

All protocol questions used in safety oversight audits are associated with a specific CE and, together, they are used to assess the overall “health” of a safety oversight system.

Interrelationship of the CEs



- CEs 1+2 \Leftrightarrow CE 6
- CE 7 \Leftrightarrow CE 8
- CE 4 \Leftrightarrow CEs 6, 7 and 8



Can you think of other interrelationships?

Review



- ❑ A system for safety oversight
- ❑ The eight CEs of an effective safety oversight system
- ❑ Interrelationship between the CEs



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