



THIRTEENTH AIR NAVIGATION CONFERENCE

Montréal, Canada, 9 to 19 October 2018

COMMITTEE B

- Agenda Item 6: Organizational safety issues**
Agenda Item 6.3 Monitoring and oversight
6.3.2 Support and the USOAP CMA Online Framework (OLF)

REINFORCING THE USOAP CMA MECHANISM THROUGH THE CONDUCT OF AUDITS, ICVMS AND OTHER APPROACHES

(Presented by 54 Contracting States, Members of the African Civil Aviation Commission (AFCAC)²)

EXECUTIVE SUMMARY

This working paper proposes a regionally harmonized approach to strengthen the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) mechanism within the African Civil Aviation Commission (AFCAC) Member States by facilitating sharing of experiences in the conduct of safety oversight. The proposed approach takes into account the sharing of personnel, tools and approaches, best practices for the attainment of enhanced outcomes in safety oversight.

This paper also highlights some challenges faced by African States in the implementation of USOAP CMA and outlines some proposals in order to reinforce the use of the USOAP CMA system

Action: The Conference is invited to:

- a) take note of the information contained in this paper;
- b) request ICAO to allocate enough resources to support USOAP CMA;
- c) endorse the initiative by AFCAC member States in reinforcing the USOAP CMA mechanisms as a method of enhancing the safety levels in Africa.

¹ English and French versions provided by AFCAC.

² Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cap Verde, Central African Republic, Chad, Comoros, Congo, Cote D'Ivoire, Democratic Republic of The Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Republic of Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome And Principe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Togo, Tunisia, Uganda, United Republic Of Tanzania, Zambia, Zimbabwe.

1. INTRODUCTION

1.1 The International Civil Aviation Organization Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) provides a mechanism for the collection and analysis of safety information from Member States and other stakeholders to identify and prioritize appropriate oversight and monitoring activities to be carried out by ICAO. It is a strategy that uses a risk-based approach for measuring and monitoring the safety oversight capabilities and improving safety performance of States and global aviation on a continuous basis. ICAO has a pro-active system of conducting audits for all its member states depending on the outcomes of the data analysis received from the states.

1.2 The ICAO USOAP CMA activities include audits, ICAO coordinated validation missions (ICVMs), off-site validations, mandatory information requests (MIRs), State safety programme (SSP) implementation assessments (voluntary) and workshops. The organization issues an annual activity plan, which is issued as an electronic bulletin and posted on ICAO secure portal.

2. DISCUSSION:

2.1 Challenges

2.1.1 African States have been facing challenges in the area of safety oversight and hence there is a need to have the same resolved in a coordinated and well planned approach. This can be achieved through partner member states sharing expertise in their Civil Aviation Authorities.

2.1.2 Many States expecting to be audited by ICAO have not been audited, however ICAO has not scheduled audits in a timely manner due to lack of adequate resources, subsequent to that the Effective Implementation (EI) of several States does not reflect the factual and accurate EI status.

2.1.3 In some instances ICAO does not issue the final report within the stipulated timelines.

2.1.4 The Comprehensive Regional Implementation Plan for Aviation Safety in Africa identifies the following as key challenges facing the AFI Region. That many contracting States:

- a) do not have effective safety oversight systems within the respective Civil Aviation Administrations (CAAs);
- b) lack adequate expertise, empowerment, appropriate delegation and authority to the operational level within the civil aviation administrations;
- c) do not have adequate funding as they are still dependent exclusively on their state budget. As a consequence, many administrations lack the necessary qualified technical and administrative staff to carry out their safety oversight obligations;
- d) do not have an adequate, appropriate system for the certification and continued surveillance of air operators resulting in the conduct of air transport operations without the existence of an operations manual, a training programme or an accident prevention programme;
- e) have made slow progress in the implementation of action plans to resolve the ICAO Universal Safety Oversight Audit Programme (USOAP) audit findings; and
- f) need to commit to the implementation of ICAO provisions.

2.1.5 The International Civil Aviation Organization has indicated that the world average effective implementation of the Standards and Recommended Practices (SARPs) is at 66.05% whereas majority of the States whose EI is at 60% or less are from the AFI Region.

3. STATUS OF IMPLEMENTATION

3.1 It is worth noting that a number of states in the AFI Region have consolidated their efforts to form Regional Safety Oversight Organizations. As identified by USOAP audits, the most common reason a State may fail to establish an effective safety oversight system is its inability to provide the required financial and human resources. There is often an insufficient number of qualified personnel available for States to fulfil their safety oversight functions. In addition, due to a lack of financial resources, training may not be adequate to ensure the currency and competency of technical personnel.

3.2 To have an improved compliance level to the ICAO SARPs by the AFI Region states there is need to continuously fulfil obligations under the USOAP CMA. Specific actions are needed for example up-to-date information on their safety oversight systems. The following activities are considered necessary for implementation by AFI States:-

- a) cooperation with the established regional safety organizations (bodies) will enable the harmonization and standardization of safety oversight requirements and practices;
- b) sharing of best practices in USOAP CMA between states that have a higher EI with those with lower EI. This will involve exchange programs between states especially in weak areas;
- c) holding of joint forums whereby states will be given opportunities to update information on the online framework (OLF) forum. This will only affect states that have taken time to update their online safety information;
- d) increased activities by ICAO through audits and ICVMs; and
- e) ensure that there is enhanced inspector competence, objectivity and independence.

4. CONCLUSION

4.1 The current International Civil Aviation Organization world average effective implementation (EI) of the SARPs is at 66.05% whereas majority of the States whose EI is at 60% or less are from the AFI Region. In order to improve the situation prevailing situation, the following recommendations are made:

- a) enhanced expertise sharing of experience among States through the AFI-CIS programme;
- b) ICAO to increase budgetary allocation for USOAP CMA;
- c) cooperation between all States; and
- d) assistance from ICAO Regional offices for the OLF activities e.g. evidence collection and presentation

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