



| ICAO

# INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY

AIM RBIS Project assistance  
Organizational framework

QMS Go-team



# Organizational framework of CAA for Safety oversight of Air navigation Services

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# Outline

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**01** State system and functions

**02** Qualified technical personnel

**03** Technical guidance and tools

**04** Organizational structure

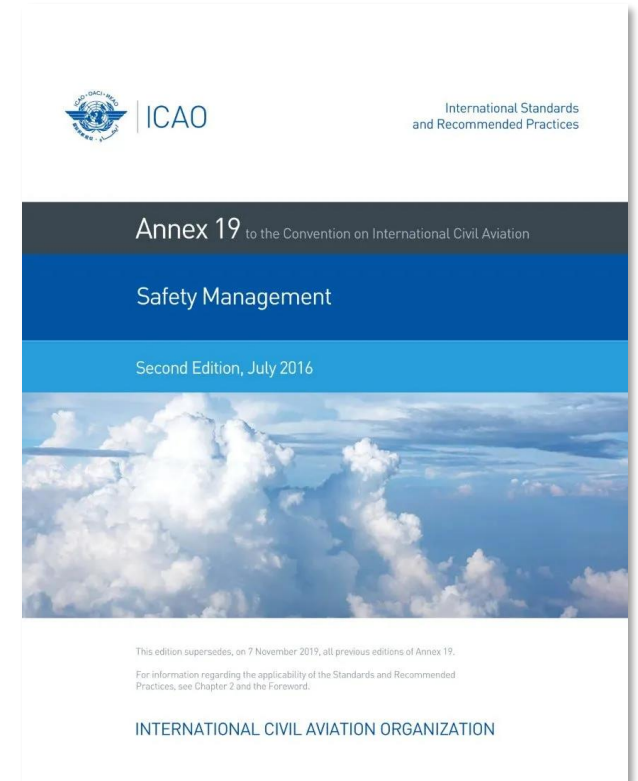
**05** Procedures, guidelines and tools

**06** Technical guidance materials

## Annex 19

### 3.2.3 - State system and functions

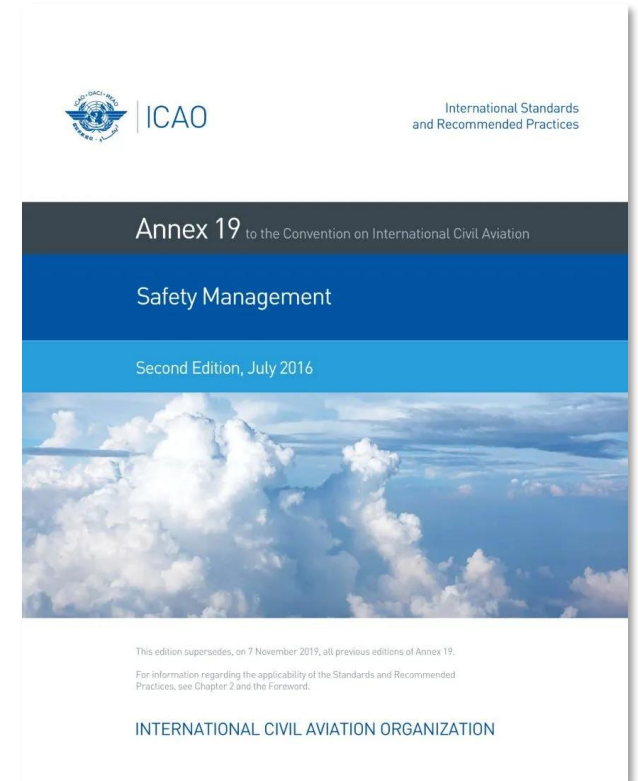
- States shall establish **State system** and **functions** in accordance with section 3 of Appendix 1.
- States shall establish **relevant authorities** or **agencies**, as appropriate, supported by **sufficient** and **qualified personnel** and provided with adequate **financial resources** for the **management** of **safety**.
- Recommendation: States should use a **methodology** to determine their **staffing requirements** for personnel performing **safety oversight functions**, taking into account the **size** and **complexity** of the aviation activities in their State.



## Annex 19

### 3.2.4 - Qualified technical personnel

- States shall establish **requirements** for the **qualification** of **technical personnel** in accordance with section 4 of Appendix 1.
- States shall establish **minimum qualification requirements** for the **technical personnel** performing **safety-related functions** and provide for appropriate **initial** and **recurrent training** to maintain and enhance their **competence** at the desired level.
- States shall implement a **system** for the **maintenance** of **training records** for technical personnel.



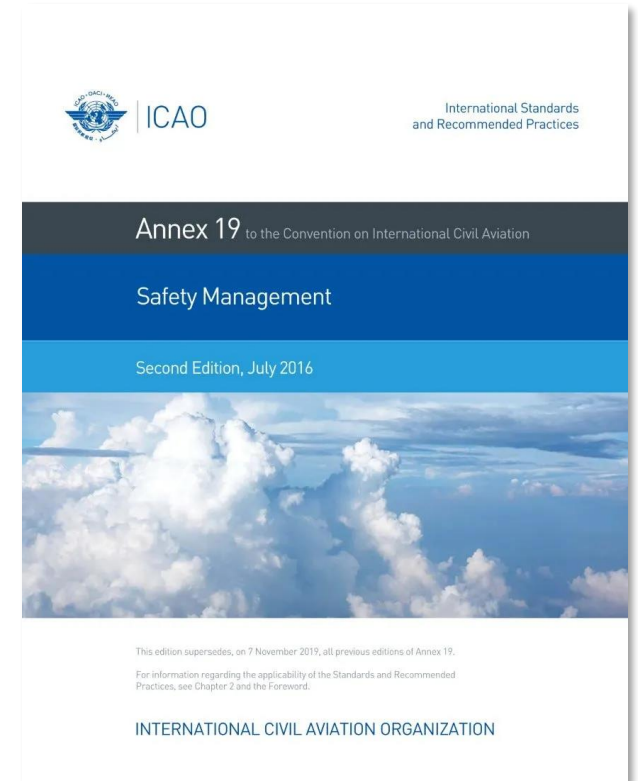
# Requirements for Technical guidance and tools

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## Annex 19

### 3.2.5 - Technical guidance, tools and provision of safety-critical information

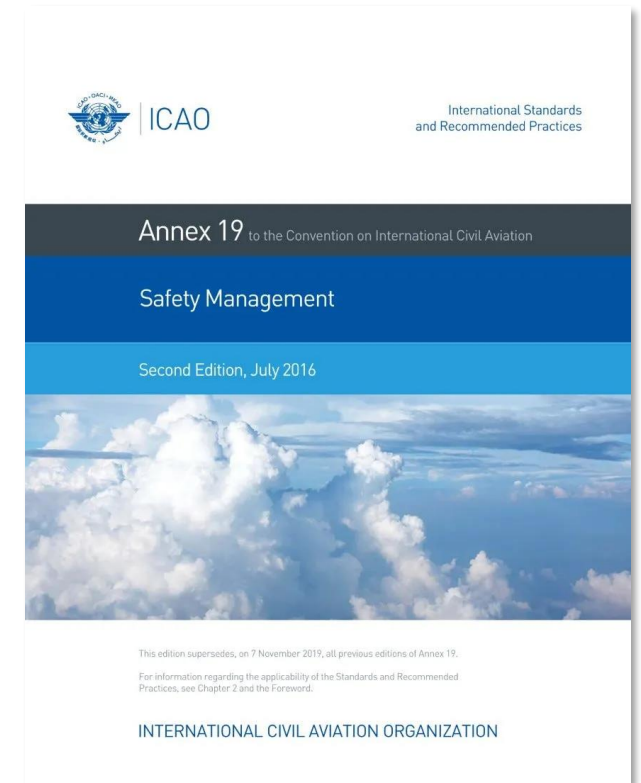
- ➔ States shall establish **technical guidance** and **tools** and provide **safety-critical information** in accordance with section 5 of Appendix 1.
- ➔ States shall provide **appropriate facilities**, comprehensive and up-to-date **technical guidance material** and **procedures**, **safety-critical information**, **tools** and **equipment**, and **transportation means**, as applicable, to the technical personnel to enable them to perform their **safety oversight functions** effectively and in accordance with established procedures in a **standardized manner**.



## Annex 19

### 3.2.5 - Technical guidance, tools and provision of safety-critical information

→ States shall provide **technical guidance** to the **aviation industry** on the implementation of **relevant regulations**.

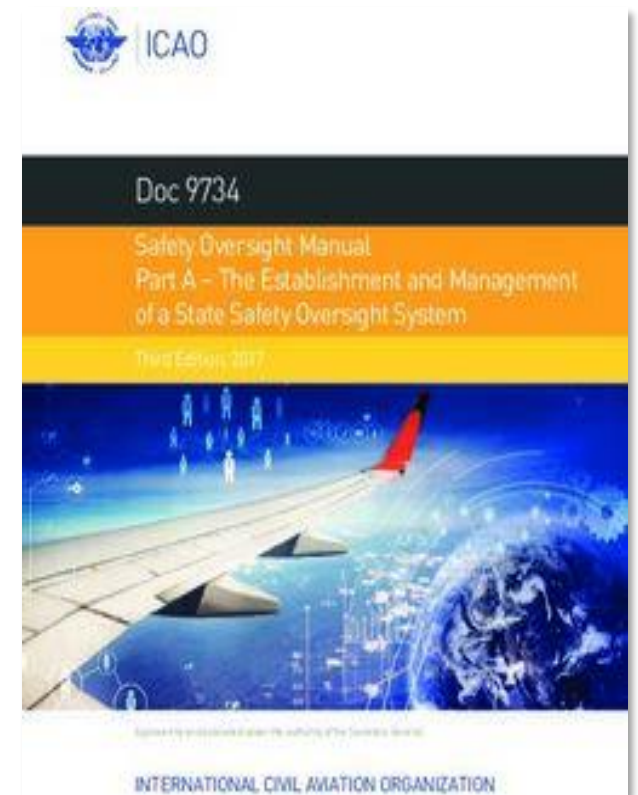


- ➔ Establish an **entity** within the CAA, responsible for **ANS regulation** and safety oversight, including **AIS**. The **ANS regulatory authority** should have:
- an **approved organizational structure**
  - defined **functions** and **responsibilities**
  - defined **minimum qualification** and **experience** criteria for ANS regulatory **staff/inspectors** and key **management** personnel
  - Complete **job descriptions** for ANS regulatory staff and inspectors to cover all the Entity functions/responsibilities

## Doc 9734 - Safety Oversight Manual Part A

### 3.3.1 Establishing a State civil aviation system

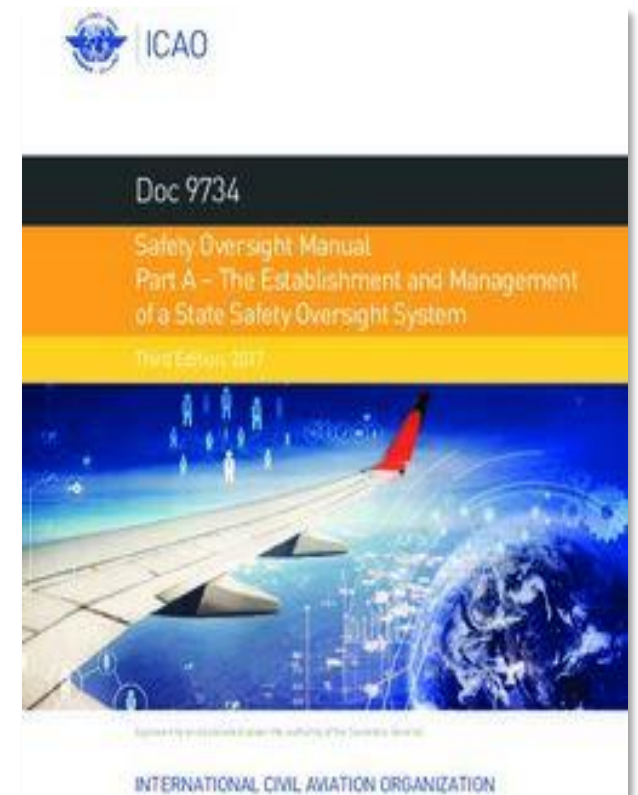
- ➔ For a State to fulfil its obligations as outlined in the Chicago Convention, the **national legislation** should provide for an **appropriately organized, funded and empowered** civil aviation system, **structured to effectively** fulfil the tasks that it is expected to undertake.
- ➔ ...it is necessary that the State establish an **appropriate and practical organization** and employ the **needed personnel**, including **technical personnel** and **support staff**, to carry out its safety oversight functions and duties.



## Doc 9734 - Safety Oversight Manual Part A

### 3.3.1 Establishing a State civil aviation system

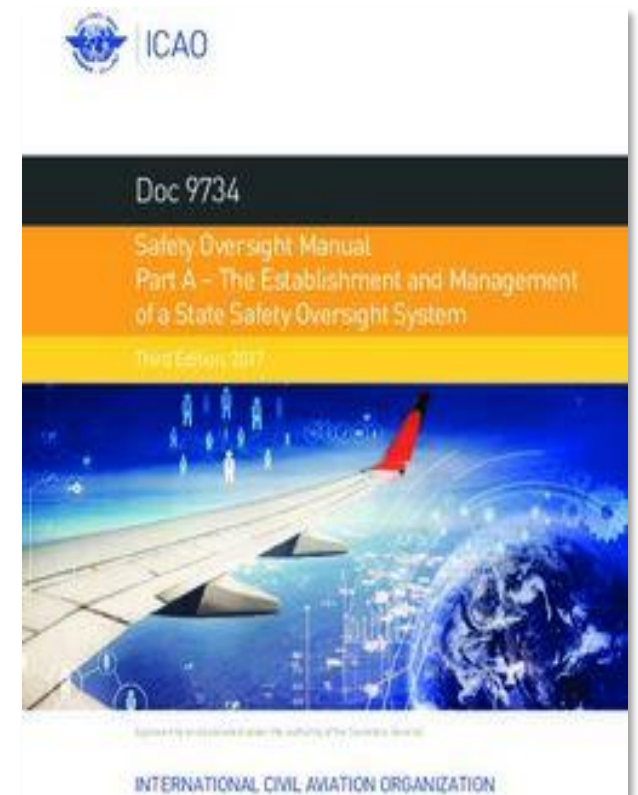
- ➔ Since aviation activities and requirements differ from State to State, it is therefore **not appropriate** to suggest a **one-size-fits-all model** of civil **aviation systems** and **organizations** as guidance for States.
- ➔ In deciding upon the **required organizational structure** of the civil aviation system, a State should **assess** its **requirements** as outlined in **several Annexes** to the Convention and associated **guidance material**, keeping in view the **size** and **complexity** of **aviation activity** in the State.



## Doc 9734 - Safety Oversight Manual Part A

### 3.3.1 Establishing a State civil aviation system

- ➔ The State should ensure that the **established structure** addresses all the **technical areas applicable**, with respect to functions related to **safety oversight, safety data collection** and **processing**, and **accident and incident investigation**.
- ➔ In States where the **size** of the aviation industry is **relatively small** and the level of **complexity relatively low**, the State may be able to fulfil its responsibilities in a **cost-effective manner** through **arrangements** with **other States** or an **RSOO**.





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Thank You!