



**WORKING PAPER**

**ASSEMBLY — 40TH SESSION**

**EXECUTIVE COMMITTEE**

**Agenda Item 13: Audit Programmes – Continuous Monitoring Approach**

**FOLLOW-UP AND CONTROL OF AVIATION OCCURRENCES  
RELATED TO ATS AND AERIAL WORKS (AGRICULTURAL AVIATION)  
PRESENTED TO ECCAIRS, CONTRIBUTING TO USOAP SAFETY OVERSIGHT AUDITS**

(Presented by Venezuela (Bolivarian Republic of))

**EXECUTIVE SUMMARY**

This working paper reflects the experiences gained by the Venezuelan State through the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP), taking as starting point, the audits carried out since 2009, and progressively, as of 2013.

The Venezuelan State recognizes the importance of the process for verifying and ensuring compliance with Standards and Recommended Practices (SARPs) carried out by the USOAP in countries signatory to the Chicago Convention, as well as the assistance thereby provided to civil aviation.

This working paper presents improvements for strengthening the aforementioned process, bringing closer the results from air traffic services (ATS) and aerial work (agricultural) occurrences to the reality of the States and for directly and immediately guiding the actions to be taken to address the findings from the audits related to compliance with and handling of protocol questions (PQs), as well as the impact that could be generated within regional safety oversight organizations (RSOOs) in order to address the safety deficiencies within member States.

**Action:** The Assembly is invited to recognize the importance of the follow-up and control of aviation occurrences related to ATS and aerial works (agricultural aviation) through the use of the European Co-ordination Centre for Aviation Incident Reporting System (ECCAIRS) platform, contributing to the USOAP Continuous Monitoring Approach (CMA), beyond the audit process, which should account for improvements in increased safety levels for States.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	Not applicable
<i>References:</i>	Annex 6 — <i>Operation of Aircraft</i> Annex 11 — <i>Air Traffic Services</i> Annex 13 — <i>Aircraft Accident and Incident Investigation</i> Annex 19 — <i>Safety Management</i> Dec 4444, <i>Procedures for Air Navigation Services — Air Traffic Management</i> (PANS – ATM)

<sup>1</sup> Spanish version provided by Venezuela (Bolivarian Republic of).

## 1. INTRODUCTION

1.1 The experience along the different USOAP audit processes carried out in the Venezuelan State and the development of all the accident investigation and prevention (AIG) tasks have enabled us to identify a number of improvement opportunities to support the audit process related to the investigation of aviation occurrence cases regarding ATS and aerial works (agricultural aviation). It involves the inclusion of two independent options, one for each case, within the European Co-ordination Centre for Aviation Incident Reporting System (ECCAIRS) platform, by integrating an option entitled “**ATS NOTIFICATION and AGRICULTURAL NOTIFICATION**” into the “**Occurrence>New**” Menu bar, similar to the existing option entitled “**BIRD**” used for bird hazard cases.

1.2 Furthermore, like any audit process which involves a continuous improvement process, there is a lack of a mechanism or process that enables the control, follow-up and continuous oversight of the investigation and metrics of the aforementioned aviation occurrences, due to the following:

- a) In the case of ATS occurrences, it is essential that the ECCAIRS platform be used both by the civil aviation authority (CAA) and the aircraft accident and incident investigation (AIG) authority, allowing timely information crossover.
- b) Regarding aerial work (agricultural aviation) occurrences, it is required to centralise and automate the follow-up and control of these cases through the ECCAIRS platform in order to optimize their identification processes and to mitigate the hazard margins that affect safety.

1.3 This suggests that the management of these cases must be systematically centralised, based on metrics and indicators, in order to identify the improvements achieved by the States thanks to the audits conducted and the appropriate guidance by ICAO. The purpose of this being the development of an adequate plan of corrective actions, and the implementation thereof, which make it possible to mitigate the hazards associated with these occurrences and which affect a high percentage of safety.

## 2. BACKGROUND

2.1 In compliance with the ICAO USOAP which has the mandate of carrying out regular, mandatory, systematic and harmonized audits that have addressed all the Annexes to the Chicago Convention.

2.2 In the case of the Bolivarian Republic of Venezuela, ICAO carried out an audit of the safety oversight of the AIG Authority from 26 January to 4 February 2009.

2.3 The Organization carried out the ICAO Coordinated Validation Mission (ICVM) from 22 May to 28 May 2013, resulting in 92.93 percent effective implementation (EI).

2.4 The Meeting of the AIG Regional Cooperation Mechanism (ARCM) in November 2018 in Medellin, Colombia, where the topic of aerial work (agricultural aviation) occurrences was discussed.

### 3. ANALYSIS

3.1 As a result of the aforementioned USOAP audits in the Venezuelan State and the meetings of AIG authorities, the following improvement opportunities have been identified:

- a) Improvement in the follow-up and control of aviation occurrences related to ATS and aerial works (agricultural aviation), contributing to auditor objectivity:

By using the ECCAIRS platform as a tool for automating the aforementioned occurrences, subject of this working paper, and by including independent options for each case, it will be possible to ensure the follow-up, control and metrics thereof. In this regard, it is considered important that the Headquarters adopt this measure, which will ensure that the States possess relevant unified criteria to yield satisfactory results through the USOAP audits.

- b) Improvement in mitigating the unsafe conditions generated by these occurrences:

The ECCAIRS platform will make it possible to generate an adequate plan of action, thus contributing to the possibility for States to obtain optimum safety indicators by reducing the margins in the existing gaps or shortcomings.

- c) Improvement in the exchange, follow-up and control of information between the CAA and AIG:

With the adoption of this working paper, the information exchange margins between these authorities will be optimized for the aforementioned cases, minimising the time for case closure and contributing to compliance with the USOAP findings.

3.2 In terms of results, this mechanism will yield, essentially, metrics and indicators that will ensure heightened State safety levels. Similarly, it should generate statistics for the safety management system within the USOAP framework.

### 4. CONCLUSION

4.1 The Bolivarian Republic of Venezuela recognizes the importance of the USOAP programme and considers that this programme would be strengthened through the implementation of the mechanism proposed in this working paper, capable of self-assessment based on metrics and indicators, in order to assess the contribution of audits to the increased safety of the audited States.

4.2 The adoption of this working paper will allow States to systematise the processes related to the specified type of occurrence, obtain appropriate and acceptable metric results that will justify safety guarantees and performance.