

**Regional Seminar on the Safe Transport of Dangerous Goods**  
Lima, Peru, 29 September – 3 October 2008

**Overview of the ICAO Universal Safety Oversight Audit Programme (USOAP)**



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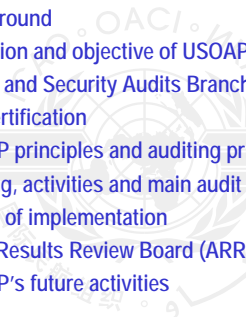
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**Outline**

- Background
- Evolution and objective of USOAP
- Safety and Security Audits Branch (SSA)
- ISO certification
- USOAP principles and auditing principles
- Staffing, activities and main audit tools
- Status of implementation
- Audit Results Review Board (ARRB)
- USOAP's future activities

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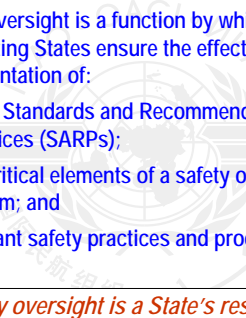

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**What is safety oversight ?**

- Safety oversight is a function by which Contracting States ensure the effective implementation of:
  - ICAO Standards and Recommended Practices (SARPs);
  - the critical elements of a safety oversight system; and
  - relevant safety practices and procedures.

*Safety oversight is a State's responsibility*



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## Two complementary roles



**ICAO**



**STATES**

- Develops principles and techniques to be adopted in the Annexes.
- Approves regional air navigation plans.
- Implement Annex SARPs.
- Carry out their safety oversight responsibilities by implementing the eight critical elements.
- Establish aviation infrastructure according to regional plans.

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## Why an ICAO Programme?

- Various reports in the early 1990s on the lack of implementation by States of ICAO SARPs.
- Accidents indicating insufficient safety oversight by States.
- Increased concern over the level of aviation safety worldwide.
- Need to reduce accident rates to off-set the rapid increase in traffic.



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## Evolution of USOAP

Voluntary Assessment Programme

1995 – 1998

Annexes 1, 6, 8

88 Requests

67 Assessments

Annex-by-Annex Approach

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Mandatory Audit Programme (USOAP)

A-32/11

1999 – 2004

181 Audits

162 Follow-ups

Annexes 1, 6, 8

Annex-by-Annex Approach

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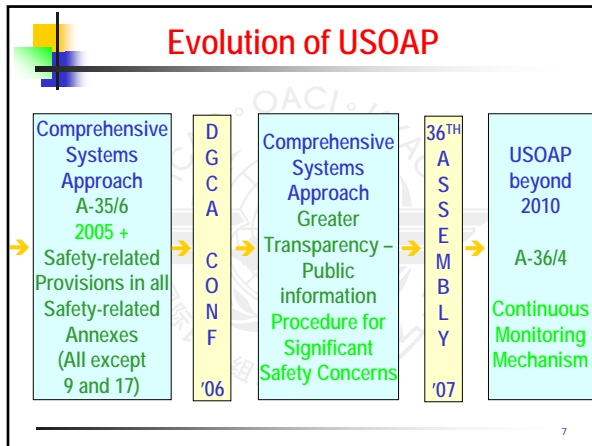
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### Objective of the Programme

The objective of USOAP is to **promote** global aviation safety through **auditing** Contracting States, on a regular basis, to determine **States' capability for safety oversight** by assessing the effective implementation of the critical elements of a safety oversight system and the status of States' implementation of safety-relevant ICAO Standards and Recommended Practices (SARPs), associated procedures, guidance material and safety-related practices.

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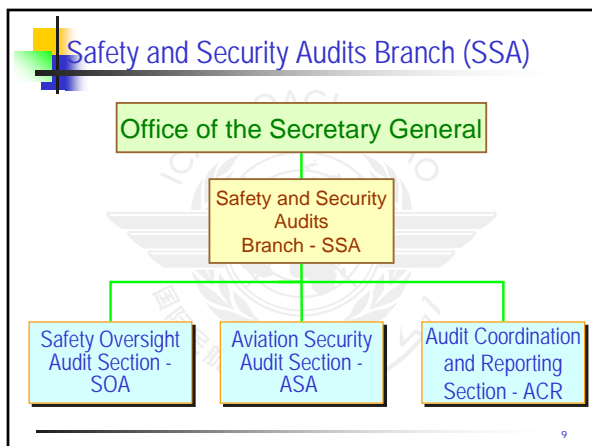
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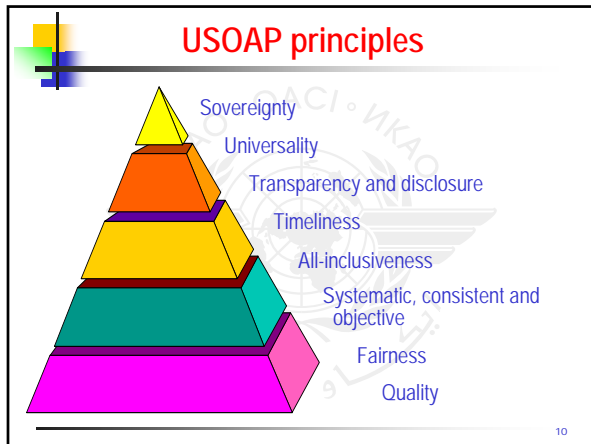
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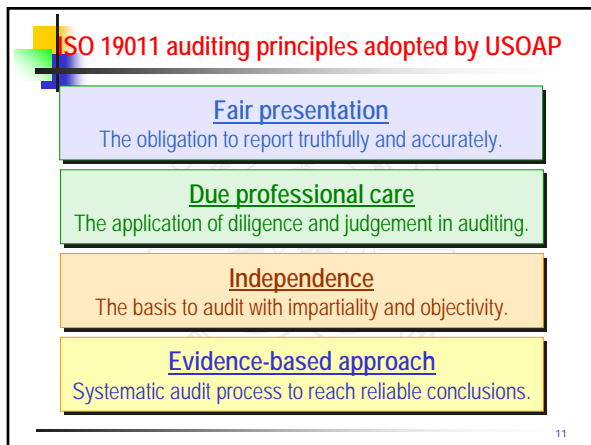
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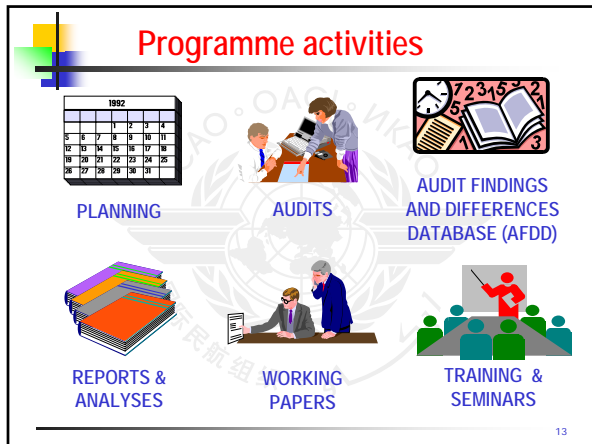
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- ### Main audit tools
- State Aviation Activity Questionnaire (SAAQ)
  - Compliance Checklists (CCs)
  - Audit Protocols
  - ICAO documentation and guidance material
  - SPO / Team leader / Team member checklists
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- An illustration of a mechanic in a green uniform, holding a wrench and a screwdriver, standing next to a blue circular background.

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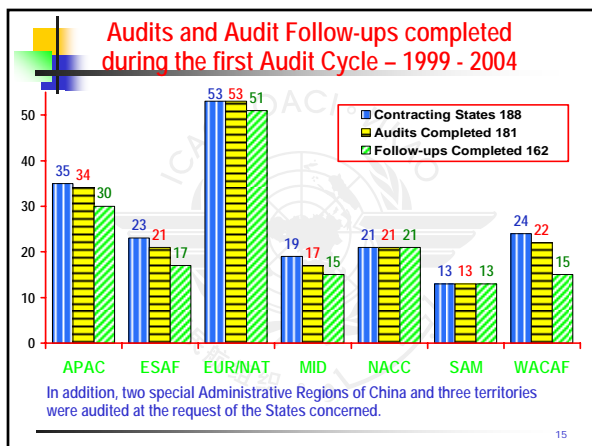
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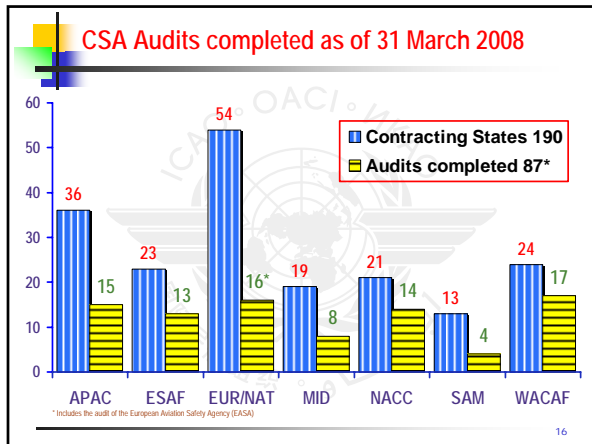
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### Audit Results Review Board (ARRB)

States not responding effectively to ICAO's audit processes:

- Failure to submit a corrective action plan
- Little or no progress at the time of the follow-up visit

**AUDIT RESULTS REVIEW BOARD**

- High-level Secretariat team
- Safety and security issues
- Propose a specific course of action and strategy for each State referred

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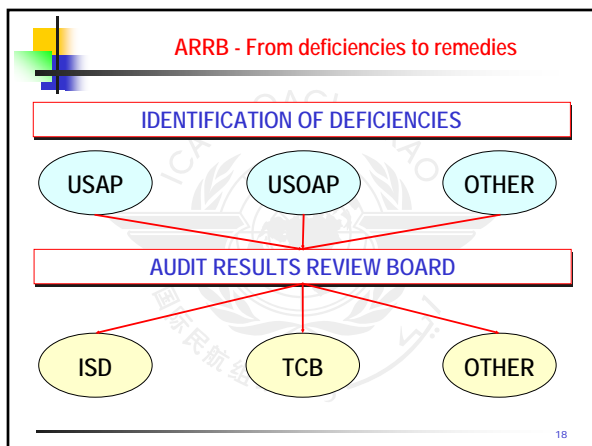
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### USOAP's future activities

- An average of 40 audits per year
- Two seminars per year
- Auditor training courses as required
- Analysis of audit results
- Deployment of selected SOA staff to the regions
- Expansion of the ISO certified Quality Management System to the entire SSA Branch

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### Beyond 2010

- The current six-year cycle of audits under the comprehensive system approach extends thru 2010.
- The Secretariat has started looking at the future of the Programme beyond 2010, in consultation with States and international organizations.
- Several options will be considered, including the transition from the conduct of audits to the implementation of a **continuous monitoring mechanism** regarding States' safety oversight capabilities (A36-20).

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### Review

- Background
- Evolution and objective of USOAP
- Safety and Security Audits Branch (SSA)
- USOAP principles and auditing principles
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## Critical Elements of a State's Safety Oversight System

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### A national system for safety oversight

#### Safety oversight

Safety oversight is defined as a function by means of which States ensure the 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.

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### A national system for safety oversight

#### Safety oversight

- 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.

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## A national system for safety oversight

### 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?

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## Critical elements of a State's safety oversight system



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## CE-1

### 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*.

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## CE-2

### 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 Standards and Recommended Practices (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, policy, orders, etc.*

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## CE-3

### 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.

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## CE-3

### STATE CIVIL AVIATION SYSTEM AND SAFETY OVERSIGHT FUNCTIONS

The term "State civil aviation system" is used in a generic sense to include all authorities with aviation safety oversight responsibility which may be established by the State as separate entities, such as: CAA, Airport Authorities, Air Traffic Service Authorities, Accident Investigation Authority, Meteorological Authority, etc.

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**CE-4**

**TECHNICAL PERSONNEL QUALIFICATION AND TRAINING**

The establishment of minimum requirements for **knowledge and experience of 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.

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**CE-5**

**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.

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**CE-6**

**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.

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## CE-7

### 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.

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## CE-8

### 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.*

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### Critical elements of an effective safety oversight system

- Addressing the critical elements enables the effective implementation of safety-related policies and associated procedures.
- They encompass, and are relevant to, the whole spectrum of civil aviation activities.
- The critical elements serve, essentially, as **safety defence tools** of a State's safety oversight system.

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**Critical elements of an effective safety oversight system**

- States can benefit from implementing the critical elements, taking into account the shared responsibility of the State and the aviation community for safety oversight.
- Assembly Resolution A35-6 requires that the safety oversight audit reports be structured on the basis of the critical elements.
- All protocol questions used in safety oversight audits have an associated critical element, and together aim at assessing the overall "health" of those critical elements.

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**Interrelationship of the critical elements**

- Let us talk about critical element interrelationships!
  - Between CEs 1+2 and CE 6
  - CE 7 and CE 8
  - CE 4 and CEs 6, 7 and 8
- Can you think of other interrelationships?

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**Review**

- A national system for safety oversight
- The eight critical elements of an effective safety oversight system
- Interrelationship of the critical elements

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Regional Seminar on the Safe Transport of Dangerous Goods



**Thank you!**

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