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Safety Oversight – SAR Protocol Questions

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Outline

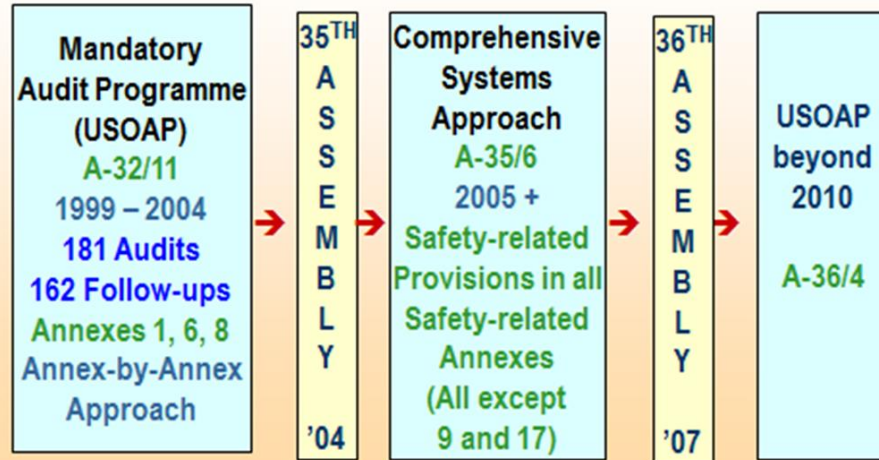
- ICAO USOAP Audits – background
- Objectives and Mission of USOAP
- Safety Oversight Critical Elements
- ICAO USOAP CMA Protocol Questions
- SAR related PQs – oversight
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ICAO USOAP Audits – background

Background – Evolution of the USOAP





Objectives of USOAP

- Promote global aviation safety through continuously monitoring States' safety oversight capabilities and measuring State safety performance levels at the appropriate time.



Mission of USOAP

- Enhance States' safety oversight and safety management capabilities by:
 - ✓ Identifying safety deficiencies,
 - ✓ Assessing associated safety risks,
 - ✓ Developing strategies for mitigation,
 - ✓ Re-evaluating States' safety performance levels achieved (at the appropriate time).



Safety Oversight Concept and Definition

- Safety oversight is an obligation
- Implementation of international Standards and Recommended Practices by an ICAO Contracting State must normally be effected under the rule of law promulgated in that State. Thus, as a first step towards discharging its obligations and responsibilities, a State will require an enactment of a legislative framework referred to as the primary aviation legislation.



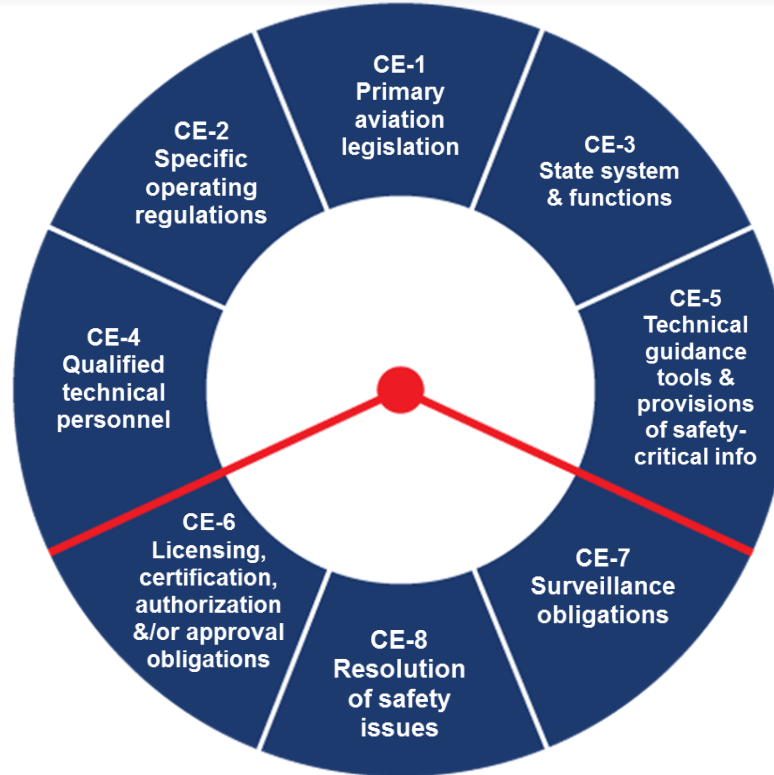
Safety Oversight Critical Elements

- ICAO has determined that effective safety oversight systems basically require an adequate setting up of 8 Critical Elements.
- The first 5 Critical Elements (CEs) are related to the establishment of the system.
- The remaining 3 Critical Elements are related to implementing the system.



Safety Oversight Critical Elements

- **CE 1:** Primary aviation legislation.
- **CE 2:** Specific operating regulations.
- **CE 3:** State civil aviation system and safety oversight functions.
- **CE 4:** Technical personnel qualification and training.
- **CE 5:** Technical guidance, tools and the provision of safety-critical information.
- **CE 6:** Licensing, certification, authorization and approval obligations.
- **CE 7:** Surveillance obligations.
- **CE 8:** Resolution of safety concerns





Safety Oversight Critical Elements

- **CE1:** Concerns Primary Aviation Legislation. It is a set of Laws that address all aviation activities. It is the provision of a comprehensive and effective aviation law consistent with the environment and complexity of the State's aviation activity and compliance with the requirements contained in the Chicago Convention.



Safety Oversight Critical Elements

- **CE2:** It is 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, in conformance with SARPs.
- *Note 1:* The term 'Regulations' is used to include 'instructions, rules, directives, set of laws, requirements, policy, orders, etc.'
- *Note 2:* CE2 covers all means by which the State ensures compliance with ICAO SARPs.



Safety Oversight Critical Elements

- **CE3:** Focuses on the State's Civil Aviation system and safety oversight. It directs the establishment of a CAA or other authorities (Met Authority, ATS Authority, etc.), and headed by a CEO/DGCA and supported by appropriate and adequate technical and non-technical staff, plus financial resources. Such an entity should act as a regulatory agency, rather than a service provider.



Safety Oversight Critical Elements

- **CE4:** Addresses minimum requirements for knowledge/experience/skills of technical personnel; performing safety oversight functions.
- **CE5:** Covers technical guidance, tools and provision of safety-critical information. It includes the provision of technical guidance by the oversight authority to the aviation industry.



Safety Oversight Critical Elements

- **CE6:** How the State performs its licences, certification, authorization and approval obligations. It promotes the implementation of processes and procedures to ensure personnel and organization meet established requirements before they are allowed to exercise the privileges of a licence.
- **CE7:** Pertains to surveillance obligations and contains inspections and audits.
- **CE8:** Resolution of safety concerns. CAAs to take enforcement action where appropriate.



ICAO USOAP CMA PQs

- The main purpose of the protocol questions (PQs) is to standardize the conduct of activities under the ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA).
- The PQs may also be used by States to conduct internal audits as a way of preparing for ICAO USOAP CMA activities and to monitor their own civil aviation oversight system.
- PQs will be subject to periodic revision by ICAO in order to reflect amendments made to the reference documents



ICAO USOAP CMA PQs

- The column entitled ‘Guidance for review of protocol questions’ provides examples of the evidence to be reviewed. States should use this information to prepare supporting documentation for the audit/validation activity.
- Counterparts participating in the activity on behalf of the State should be familiar with the PQs to be used during the USOAP CMA activity, so that responses and evidences to be provided to the ICAO team can be prepared in advance.



ICAO USOAP CMA PQs

- USOAP CMA activities in the ANS area address legislative and regulatory provisions, including operational and oversight activities in seven (7) fields, namely:
 - Air Traffic Management
 - Procedures for Air Navigation Services-Aircraft Operations
 - Aeronautical Information Services
 - Aeronautical Charts
 - Communications, Navigation and Surveillance
 - Aeronautical Meteorology
 - Search and Rescue



SAR Related PQs

ICAO Ref	Search and Rescue (SAR)— Oversight					
STD A12 2.1.1	ANS 7.481 Has the State established an entity which provides, on a 24-hour basis, SAR services within its territory and the areas where the State has accepted responsibility to provide SAR to ensure that assistance is rendered to persons in distress?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> ➤ Review documented evidence of the establishment of the service which includes a legal framework ➤ Review organizational structure 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable		3



SAR Related PQs

STD A12 2.1.1	ANS 7.483 If the State has not established a SAR entity to provide 24-hour services, has the State arranged with another Contracting State or group of States to provide such SAR services?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Verify how the responsibility or authority has been delegated to another Contracting State or group of States	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable		3
STD A12 2.1.1.2	ANS 7.485 Do the basic elements of SAR services include: a) a legal framework, b) a responsible authority, c) organized available resources, d) communication facilities, and e) a workforce skilled in coordination and operational functions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Review existence of the basic elements for SAR	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		3



SAR Related PQs

<p>GM Doc 9734 Part A 3.4</p>	<p>ANS 7.487 Does the State employ a sufficient number of qualified technical staff to carry out its safety oversight tasks over the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> > Review methodology established for determining staffing needs > Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years > Review ability to carry out all safety oversight related tasks including review and revision of regulations, training of technical staff, development of guidance material, issuance of approvals, conducting of surveillance and resolution of identified safety concerns > This PQ is linked to ORG 2.053 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>3</p>
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SAR Related PQs

<p>GM Doc 9734 Part A 3.4</p>	<p>ANS 7.489 Are all the functions and responsibilities of the SAR inspectorate clearly defined?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review document detailing functions and responsibilities of the SAR inspectorate > This PQ is linked to the ORG 2.011</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>3</p>
<p>GM Doc 9734 Part A 3.4</p>	<p>ANS 7.491 Have job descriptions been developed for SAR inspectorate staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review job descriptions of SAR inspectorate staff</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>3</p>
<p>GM Doc 9734 Part A 3.5</p>	<p>ANS 7.493 Has the State established minimum qualifications and experience requirements for SAR inspectorate personnel?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review qualifications and experience criteria established for technical and managerial posts</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>



SAR Related PQs

<p>GM Doc 9734 Part A 3.5</p>	<p>ANS 7.494 Does the State ensure that the established minimum qualification and experience requirements are met by all SAR inspectorate personnel?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Sample recruitment files > Cross-check with established requirements</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>
<p>GM Doc 9734 Part A 3.5</p>	<p>ANS 7.495 Has the State developed a formal training programme detailing the type of training to be provided to its SAR inspectorate staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review contents of training programme > Confirm inclusion of initial, on-the-job, recurrent and specialized training including timelines to be provided, as applicable.</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>



SAR Related PQs

<p>GM Doc 9734 Part A 3.5</p>	<p>ANS 7.497 Does the State develop a periodic training plan detailing and prioritizing the type of training to be provided during a specified period?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review most recent training plan</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>
<p>GM Doc 9734 Part A 3.5</p>	<p>ANS 7.499 Is the training programme appropriately implemented for SAR inspectorate staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>



SAR Related PQs

<p>GM Doc 9734 Part A 3.5.2</p>	<p>ANS 7.501 Are SAR inspectorate staff required to satisfactorily complete OJT before being assigned their tasks and responsibilities?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review requirement for the provision of OJT ➤ Verify that OJT is provided by an experienced, senior inspector 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>
<p>GM Doc 9734 Part A 3.5</p>	<p>ANS 7.503 Does the SAR inspectorate have a system for the maintenance of training records for its technical staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review instruction or requirement for the establishment and maintenance of training records ➤ Verify training records are systematically retained 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>4</p>



SAR Related PQs

<p>ANS 7.505 Does the State effectively conduct safety oversight over the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none">➤ Confirm inspection procedures and inspection reports➤ Review checklist used by inspectorate staff➤ Review inspection schedules	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>7</p>
<p>ANS 7.507 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by SAR inspectorate staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none">➤ Review list of deficiencies which have been identified by inspection and remedial action planned/taken➤ Review problems encountered	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>8</p>



SAR Related PQs

<p>STD A12 2.1.4</p> <p>RP 2.1.5 & 2.1.6</p>	<p>ANS 7.511 Has the State established a joint rescue coordinator centre (RCC) to coordinate aeronautical and maritime SAR operations, or otherwise, when separate aeronautical and maritime RCCs serve the same area, does the State ensure that there is closest practicable coordination between the centres?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review the legislation which establishes a joint RCC ➤ Review the SAR organization ➤ When applicable, review the coordination process between the aeronautical and maritime RCCs 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>3</p>
<p>STD A12 2.3.1</p> <p>RP 2.3.2</p>	<p>ANS 7.513 Has the State established a RCC in each search and rescue region (SRR)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review the documentation to ensure that each SRR has a RCC 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable</p>		<p>3</p>



SAR Related PQs

STD A12 2.5.1 & 2.6.1	ANS 7.515 Has the State designated, as SAR units, elements of public or private services suitably located and equipped for SAR operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none">> Review letters of designation/agreement and terms and conditions of SAR unit involvement> Review list of equipment for SAR	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		3
STD A12 3.1.1 RP A12, 3.1.5	ANS 7.517 Does the State coordinate its SAR organization with those of neighbouring States?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none">> Review international letters of agreement and national SAR plans	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		3



SAR Related PQs

STD A12 3.1.3	ANS 7.519 Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors of such accidents?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Review international letters of agreement	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		2
RP A12 3.1.7	ANS 7.521 Does the State authorize its rescue coordination centres (RCCs) to provide, when requested, assistance to other RCCs, including assistance in the form of aircraft, vessels, persons or equipment?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Review standing orders to RCCs	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		3



SAR Related PQs

<p>STD A12 3.2.1</p>	<p>ANS 7.523 Has the State arranged for all aircraft, vessels and local services and facilities which do not form part of the SAR organization to cooperate fully with the latter in SAR and to extend any possible assistance to the survivors of aircraft accidents?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>➤ Review national SAR plan to confirm cooperation</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>3</p>
<p>STD A12 3.2.5</p>	<p>ANS 7.525 Has the State designated a SAR point of contact for the receipt of COSPAS-SARSAT distress data?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>➤ Review AIP GEN 3.6</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>3</p>
<p>STD A12 2.3.3</p>	<p>ANS 7.527 Does the State ensure that each rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC), is staffed 24 hours a day by trained and qualified personnel proficient in the use of the language used for radiotelephony communications?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>➤ Review mechanism established to ensure effective implementation ➤ Review the training policy which confirms language proficiency</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>7</p>



SAR Related PQs

<p>STD A12 2.1.1.2</p>	<p>ANS 7.529 Has the State ensured that each rescue coordination centre (RCC) and rescue sub-centre (RSC) employ sufficient workforce skilled in coordination and operational functions?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review mechanism established to ensure effective implementation ➤ Review documented evidence 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>7</p>
<p>GM Doc 9734 Part A 3.7</p>	<p>ANS 7.531 Does the State ensure that each rescue coordination centre (RCC) and, if appropriate, rescue sub-centre (RSC), develops written job descriptions for each of their technical staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review mechanism established to ensure effective implementation ➤ Review job descriptions and confirm rational application 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>6</p>
<p>GM Doc 9734 Part A 3.7</p>	<p>ANS 7.533 Does the State ensure that each rescue coordination centre (RCC) and, if appropriate, rescue sub-centre (RSC), establishes a training programme for their staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review mechanism established to ensure effective implementation ➤ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>6</p>



SAR Related PQs

<p>GM Doc 9734 Part A 3.7</p>	<p>ANS 7.535 Does the State ensure that each rescue coordination centre (RCC) and, if appropriate, rescue sub-centre (RSC), maintains training records for their technical staff?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review method used by State to confirm that training records are maintained</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>	<p>7</p>
<p>RP A12 2.3.4</p>	<p>ANS 7.537 Does the State ensure that rescue coordination centre (RCC) personnel involved in the conduct of radiotelephony communications are proficient in the use of the English language?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review mechanism established to ensure effective implementation > Review the policy that the English language proficiency is required in radiotelephony communications</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>	<p>6</p>
<p>STD A12 2.1.3</p>	<p>ANS 7.539 Has the State made arrangements for the use of SAR units and other available facilities to assist any aircraft or its occupants who are or appear to be in a state of emergency?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>> Review documented evidence, such as letters of agreement and terms and conditions of SAR unit involvement</p>	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>	<p>3</p>



SAR Related PQs

RP A12 3.2.2	ANS 7.541 Has the State ensured the closest practicable coordination between the relevant aeronautical and maritime authorities to provide for the most effective and efficient SAR services?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Review national SAR plan and letters of agreement for indication of degree of cooperation established	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		3
STD A12 4.2.1	ANS 7.543 Does the State ensure that each rescue coordination centre (RCC) has prepared detailed plans of operation for the conduct of SAR operations within its search and rescue region (SRR)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Review RCC plans of operation	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		7



SAR Related PQs

<p>STD A12 4.4 IAMSAR Manual (Doc 9731), Volume I, Chapter 3.3</p>	<p>ANS 7.545 Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<ul style="list-style-type: none"> ➤ Review mechanism established to ensure effective implementation ➤ Review training schedule, SAR training syllabus, lesson plans and results of training 	<p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory</p>		<p>7</p>
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North Atlantic
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Paris

Middle East
(MID) Office
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