ICAO SAFETY

Considerations for SARPs Implementation and Improvement of the State's Safety Oversight System

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Agenda

- ICAO STRATEGIC OBJECTIVES
- STATE MASTER PLAN
- STATE MECHANISM TO COMPLY WITH ICAO SARPs
- Implementation & Monitoring
- State ICAO SARPs Implementation Processes
- STATE SYSTEM AND FUNCTIONS
- MONITORING PRINCIPLES
- PERIODIC REVIEW OF ICAO SARPS COMPLIANCE
- DATA ANALYSIS

ICAO STRATEGIC OBJECTIVES

A. Safety: Enhance global civil aviation safety.

B. Air Navigation Capacity and Efficiency: Increase the capacity and improve the efficiency of the global civil aviation system.

C. Security & Facilitation: Enhance global civil aviation security and facilitation.

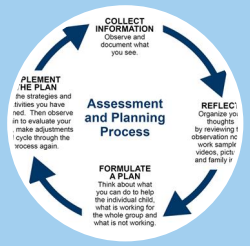
D. Economic Development of Air Transport: Foster the development of a sound and economically-viable civil aviation system.

E. Environmental Protection: Minimize the adverse environmental effects of civil aviation activities.

STATE MASTER PLAN

- List of existing aviation activities carried out in the State;
- List of planned activities in short-term;
- List of planned activities in mid-/long-term (up to 10 years, if possible);
- Existing aviation infrastructure;
- Existing aviation service providers;
- Planned changes in aviation infrastructure;
- Planned changes in the aviation market;
- Institutional system of the State;
- Expected changes affecting the institutional system of the State;
- State's aviation strategies;
- State's aviation development plans; and;
- State's performance targets (safety, security, environment, state's objectives, etc.)

STATE MECHANISM TO COMPLY WITH ICAO SARPs



Assessment & Planning

Implementation & Monitoring

Human Resources Management

Financial Management

Legal Support

Data Collection & Analysis

Evaluation & Adjustment

Implementation & Monitoring

Implementation & Monitoring

Human Resources Management

Financial Management

Legal Support

Data Collection & Analysis

Operational Processes

State ICAO SARPs Implementation Processes

Other Establishment and Implementation Processes and Procedures

Monitoring Activities

State ICAO SARPs Implementation Processes

- Rule-making process
- Process for determining the needs to amend specific operating regulations and primary legislation (if necessary)
- Procedures for identifying and notifying differences to ICAO (AIP GEN 1-7 publication)
- Enforcement policy and associated procedures
- Procedures to ensure that all areas related to safety oversight or aircraft accident and incident investigation are covered and that there is no overlap of different authority's responsibilities
- Mechanism to ensure sufficient personnel to meet national and international obligations
- Mechanism to avoid perceived or potential conflict of interest of inspectorate staff
- Human resources development and training process
- Mechanism to ensure sufficient financial resources to meet national and international obligations

STATE SYSTEM AND FUNCTIONS

- Establishing a State civil aviation system
- Staffing requirements
- Delegation of safety-security oversight functions and activities
- Establishment of service providers

CE3 State System & Functions

"El establecimiento de autoridades o agencias gubernamentales relevantes, según sea el caso, apoyadas por personal suficiente y calificado y con adecuados recursos financieros para la gestión de la seguridad operacional y la seguridad de la aviación. Las autoridades del Estado o las agencias deberían haber iniciado funciones y objetivos para satisfacer sus responsabilidades de gestión."

Number of Personnel

- States shall be provided with a sufficient number of qualified and experienced technical and administrative staff. The necessary and adequate number of personnel depends on elements, such as:
  - number of assigned tasks;
  - average turnover rate; the level of aviation activities
  - completion rate of assigned tasks;
  - current vacancies;
  - monthly overtime.

- Each safety oversight entity/investigation authority shall have an active role in the selection and recruitment process of inspectorate staff and other technical personnel.

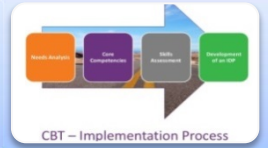
Technical Personnel

An effective training system comprises:

Technical personnel are required to have appropriate knowledge, experience and skills to perform safety oversight functions.

A training policy

for each safety oversight/investigation entity, indicating a commitment from the management to provide initial, recurrent and specialized training to all technical personnel.



Comprehensive training programmes

defining the details for initial, on-the-job training (OJT), recurrent and specialized training. Training programmes are not specifically linked to one individual but to a job position.

Periodic training plans

established on the basis of the training programmes and implemented for each technical personnel.

Record keeping

Financial Management

- Financial plan:

The purpose of the financing plan is to provide, inter alia, the following basic information:

- estimate of the cost elements (labour, materials, equipment, etc.)
- the currencies in which payments are to be made
- the funds required to make disbursements at various deadlines, including investment costs (premises, equipment, etc.) and payments on debt obligations
- the sources of funds selected, including information on the applicable conditions (interest rates, repayment period, etc.).

Identification of Stakeholders

- **Stakeholders**: anyone whose actions can affect an organization or is affected by the organization's actions

MONITORING PRINCIPLES

Why to monitor?

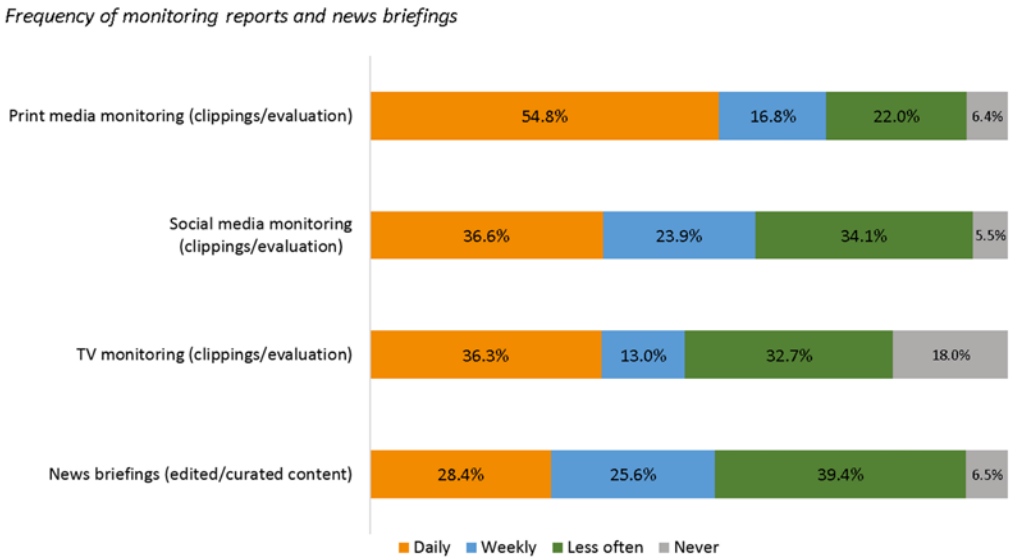
- It is important to observe a process or activity to check that it is carried out fairly or correctly, especially in an official capacity.
- The advantage of monitoring and evaluating is to ensure that the organization is following the direction established during strategic planning.

Responsiblities of Monitoring Activities

- Specify **who** is responsible for the overall implementation of the plan.
- **Who** is responsible for achieving each goal and objective?

Frequency of Monitoring

The frequency of reviews depends on the nature of the organization and the environment in which it's operating.



PERIODIC REVIEW OF ICAO SARPS COMPLIANCE

Risk Assessment in Safety

Frequency of Occurrence (or Likelihood)	Consequences (Severity of Accident)				
	Incidental (1)	Minor (2)	Serious (3)	Major (4)	Catastrophic (5)
Frequent (5)	M	H	VH	VH	VH
Occasional (4)	M	M	H	VH	VH
Seldom (3)	L	M	H	H	VH
Remote (2)	L	L	M	H	H
Unlikely (1)	L	L	M	M	H

HIGH RISK

LOW RISK

Benefits of Risk Management

- Provides a systematic approach to examine the key components of risk and produce a risk assessment;
- Informs the effective allocation of limited resources;
- Provides basis for prioritizing mitigation strategy alternatives; Assesses your safety-security environment focusing on keeping vulnerabilities at an acceptable level; Establishes a common frame of reference for analysing aviation security, communicating issues, and determining priorities;
- Provides the basis for compliance with Annexes.

General Approach

- Establishment of Action plan
- Implementation of improvements
- Re-evaluation
- Continuous implementation

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THANK YOU