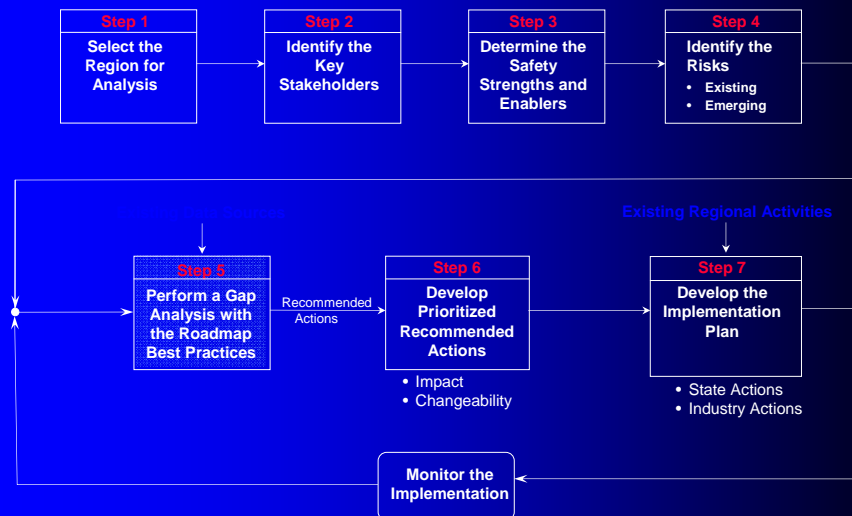# Global Aviation Safety Workshop
Abuja Nigeria

Group A Road 2
Inconsistent Regulatory Oversight

Group A Road 2
Gap Analysis and Recommended Actions

Step 1
Select the Region for Analysis

Step 2
Identify the Key Stakeholders

Step 3
Determine the Safety Strengths and Enablers

Step 4
Identify the Risks
- Existing
- Emerging

Existing Regional Activities

Step 5
Perform a Gap Analysis with the Roadmap Best Practices

Recommended Actions

Step 6
Develop Prioritized Recommended Actions
- Impact
- Changeability

Step 7
Develop the Implementation Plan
- State Actions
- Industry Actions

Monitor the Implementation

Focus Area 2 –
Best Practice Implementation

Best Practices	Metrics	Implementation

BP 2a-1 – **State utilizes/implements the 8 critical elements of the safety oversight system.**
 	
  a. Primary aviation legislation
  b. Specific operating regulations
  c. CAA structure and safety oversight functions
  d. Qualified technical personnel
  e. Technical guidance
  f. Licensing and certification obligations
  g. Continued surveillance obligations
  h. Resolution of safety issues
	a. State implements in accordance with ICAO Doc 9734 Part A Chapter 3	☐ Complete
		X Somewhat
		☐ Little/None
		☐ Not Applicable
		
		Discussion: **Inconsistent implementation of the 8 critical elements among States. Some States are at the high end while others have not implemented these elements at all.**

Focus Area 2 –
Best Practice Implementation

Best Practices	Metrics	Implementation
BP 2a-2 – **State provides a mechanism for sufficient funding of safety oversight activities.**	a. USOAP ORG 2.051	☐ Complete X Somewhat X Little/None ☐ Not Applicable Discussion: Wide range of funding and autonomy within the region. Need for **reliable and sustainable source** of funding, rather than reactive action to events, such as accidents, black listing and audit reports. Aviation should not subsidize activities other than civil aviation.

Focus Area 2 –
Best Practice Implementation

Best Practices	Metrics	Implementation
BP 2a-3 – <u>**State applies the principles of risk management to its safety related activities.**</u> a. Hazards and risks are assessed and prioritized on a regular basis. b. Risk mitigation strategies are developed and implemented. c. Results are assessed and corrective action taken as needed.	a. ICAO Doc. 9859 Para. 3.3 b. Attendance at <u>ICAO SMS Training Course</u>	☐ Complete ☐ Somewhat X Little/None ☐ Not Applicable Discussion: Limited implementation of a **State Safety Program** to include SMS. SMS is only implemented in 3 BAG States. The State Safety Program needs to be developed to define the service provider SMS process in order for Corrective Actions to mature beyond the reactive processes.

Focus Area 2 –
Best Practice Implementation

Best Practices	Metrics	Implementation
BP 2a-4 – <u>**The Regulatory Authority acts independently where safety issues are implicated in its actions.**</u> a. The individuals responsible for such action must be given appropriate authority to exercise their responsibilities. b. Accountability for the exercise of regulatory authority must be in accordance with the principles of a "just culture" (see Objective 3a for a discussion of "just culture").	a. USOAP LEG 1.109; USOAP LEG 1.111 b. Annex 13 Attachment E; i.e. USOAP AIG 6.505	☐ Complete X Somewhat ☐ Little/None ☐ Not Applicable Discussion: **Most states have independence or autonomy and use of accident information for strictly safety purposes.**

Focus Area 2 – Best Practice Implementation

Best Practices	Metrics	Implementation
BP 2a-5 – <u>Regional oversight organizations or equivalent means are in place to perform those functions which cannot be performed by the State acting on its own.</u> a. States may also decide to use Regional oversight organization as a matter of convenience (e.g. Agencia Centroamericana de Seguridad Aeronáutica (ACSA)). b. Outsourcing the technical and administrative tasks associated with oversight to another Regulatory Authority or a private contractor is an example of a means equivalent to a regional oversight organization.	a. USOAP ORG 2.017	☐ Complete ☐ Somewhat X Little/None ☐ Not Applicable Discussion: **This is a work in progress with the initiation of development of a regional flight safety inspectorate through the BAGRAST. A draft resolution will be presented 18 April 2008.**

Focus Area 2 – Best Practice Implementation

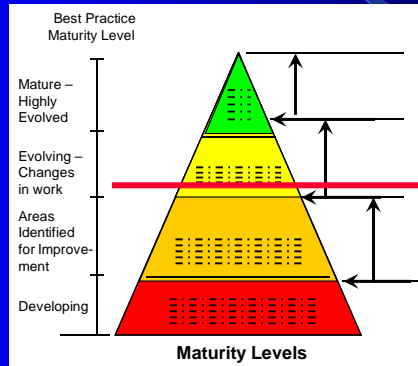| Best Practices	Metrics	Implementation
BP 2a-6 – <u>Periodic assessments are conducted.</u>	a. FSIX - ICAO Doc. 9735 Para 6.1.1e b. Structures exist and are utilized to facilitate the sharing of the results of periodic assessments	☐ Complete X Somewhat ☐ Little/None ☐ Not Applicable Discussion: **All COSCAP-BAG members have authorized the release of USOAP and/or CSA audit information. COSCAP-BAG has launched a website for transparency of critical safety information.** **www.icao.int/coscaps/bag**

Focus Area 2 –
Other Best Practices

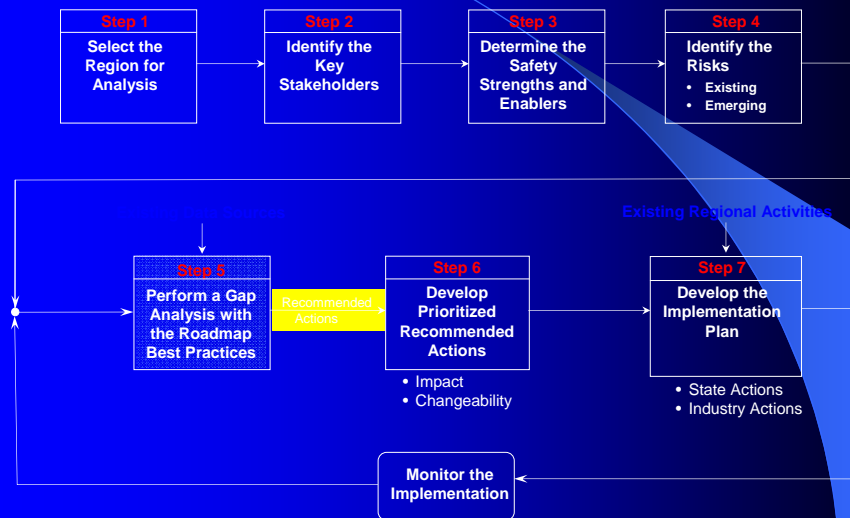| Best Practices	Metrics	Implementation
Other Best Practices O Regional agreement for state-to-state assessments of airports, atc and airlines O Effective communication among States for training optimization within the region O Periodic evaluation of safety certificates (AOC, CofA, etc.) O Regional coordination for BAG State safety groups O Development of Regional maintenance capability		☐ Complete ☐ Somewhat X Little/None ☐ Not Applicable Discussion:

Focus Area 2 – Inconsistent Regulatory Oversight
Maturity Model

Maturity Level	Capability
Level 1 – Developing	• Low level of implementation of SARPs and little or no attempt to correct the situation is in progress • State unable or unwilling to exercise oversight. [Added significance if a large part of the aviation activity under the oversight of the State occurs in other States.]
Level 2 – Areas Identified for Improvement	• State aware of and attempting to correct deficiencies, but has not completed implementation of corrective action. • There is no certainty that the State is able to provide proper oversight for existing level of activity.

Level 3 – Evolving – Changes in work	• State has the capacity to exercise oversight on the type of operation for which it has responsibility.
	• State has limited ability to continue oversight if there are:
	  o A significant increase in the volume or scope of activities;
	  o Improvements in technology.

Level 4 – Highly Evolved	• State aware of its level of compliance, has implemented appropriate SARPs and has access to the resources necessary to support the existing activities. • State has process in place and access to the necessary resources to continually reassess and maintain its level of compliance in light of modifications to SARPs and changes in activity within its jurisdiction.

Regional Maturity Level

Best Practice
Maturity Level

Mature –
Highly
Evolved

Evolving –
Changes
in work

Areas
Identified
for Improve-
ment

Developing

Maturity Levels

Step 5 Output – Recommended Actions

Step 1
Select the
Region for
Analysis

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Key
Stakeholders

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Safety
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Implementation
Plan

• State Actions
• Industry Actions

**Monitor the
Implementation**

Identify Potential Recommended Actions

Recommended Actions

- Proper user charges mechanism is implemented according to ICAO policy (Doc 9082) and the funds are appropriated to aviation. States should, where aviation activities are insufficient, provide a sufficient and sustainable source of funds for required aviation activities and infrastructure.

- An inter-State group is created to support accident investigation for the BAG area

- SMS is implemented at airports, ATC and airlines as per the proposed changes to ICAO Annexes 6, 11 and 14

- BAG proceeds with the development of BAGASOO

- A regional procedure is established for periodic assessment of safety related certificates, taking into account IOSA and other established audit systems, with an automated tracking process.

Identify Potential Recommended Actions

Recommended Actions from Risk Assessment exercise:

- An assessment is conducted to identify deficiencies in the the following areas:
  - air navigation infrastructure
  - Airports
  - ATC
  - communications

  and an action plan is established to resolve these deficiencies.

- For the continuation of the roadmap process, all Bag States should be fully represented.
- A State Safety Program be implemented in each BAG State.
- Joint training programs are established for BAG States.
- A follow up process is developed for this exercise including:
  - an action plan with milestones
  - a progress measurement matrix