ICAO Universal Safety
Oversight Audit Programme

Overview of the ICAO Universal Safety
Oversight Audit Programme
- USOAP -
Outline

- The National Safety Oversight System
- The Universal Safety Oversight Audit Programme (USOAP) evolution, objective and principles
- The Comprehensive Systems Approach (CSA)
- Safety and Security Audits Branch (SSA), staffing and activities
- USOAP’s status of implementation
- USOAP’s future activities
A National System for Safety Oversight

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_
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.
A National System for Safety Oversight

**Effective safety oversight system**

- There are eight critical elements that ICAO considers essential for a State to establish, implement and maintain in order to have an effective safety oversight system.
Critical Elements (CEs) of a State’s safety oversight system

1. Primary Legislation
2. Operating Regulations
3. Organization & Safety Oversight Functions
4. Technical Experts Training
5. Guidance, Procedures & Information
6. Licensing & Certification Obligations
7. Surveillance & Inspection Obligations
8. Resolution of Safety Concerns
Establishing CEs

**PRIMARY AVIATION LEGISLATION**
The establishment of a civil aviation legislation that supports the State’s civil aviation system and regulatory functions, in compliance with the *Convention on International Civil Aviation (Chicago Convention)*.

**SPECIFIC OPERATING REGULATIONS**
The establishment of aeronautical regulations (rules) addressing all aviation activities, and implementing applicable ICAO provisions and SARPs.
Establishing CEs

STATE’S CIVIL AVIATION SYSTEM AND SAFETY OVERSIGHT FUNCTIONS
The establishment of a Civil Aviation Authority or Authorities with safety regulatory functions, objectives and safety policies, provided with sufficient financial resources and qualified staff.

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 competency at the desired level.
Establishing CEs

TECHNICAL GUIDANCE, TOOLS AND THE PROVISION OF SAFETY CRITICAL INFORMATION

The provision of procedures and guidelines, adequate facilities and equipment, and safety critical information to the technical personnel to enable them to perform their safety oversight functions; this includes the provision of technical guidance to the aviation industry on the implementation of regulations and instructions.
Implementing CEs

**LICENSING, CERTIFICATION, AUTHORIZATION AND APPROVAL OBLIGATIONS**

The implementation of systems 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.

**SURVEILLANCE OBLIGATIONS**

The implementation of a continuous surveillance programme consisting of inspections and audits to ensure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and functions at the level of competency and safety required by the State.
Implementing CEs

RESOLUTION OF SAFETY CONCERNS
The implementation of processes and procedures to resolve identified deficiencies impacting on aviation safety, which may have been residing in the system and have been detected by the regulatory authority or other appropriate bodies.
The objective of the 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 SARPs, associated procedures, guidance material and safety-related practices.
Evolution of the USOAP

Voluntary Assessment Programme
1995 – 1998
Annexes 1, 6, 8
88 Requests
67 Assessments
Annex-by-Annex Approach

Mandatory Audit Programme (USOAP)
A-32/11
1999 – 2004
181 Audits
162 Follow-ups
Annexes 1, 6, 8
Annex-by-Annex Approach

35th Assembly
’04
### Evolution of the USOAP

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<thead>
<tr>
<th>Year</th>
<th>Event</th>
<th>Description</th>
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<tbody>
<tr>
<td>2005+</td>
<td>Comprehensive Systems Approach A-35/6</td>
<td>2005 + Safety-related Provisions in all Safety-related Annexes (All except 9 and 17)</td>
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<td>'06</td>
<td>DGCA CONF</td>
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<td>'07</td>
<td>36th Assembly</td>
<td>Comprehensive Systems Approach Greater Transparency – Public Information Procedure for Significant Safety Concerns</td>
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<td>36th Assembly ’07</td>
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<td>A-36/4</td>
<td>USOAP beyond 2010 Continuous Monitoring Mechanism</td>
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The Comprehensive Systems Approach (CSA) refers to the implementation of a structured process and methodology for the planning, preparation, conduct, reporting, follow-up and evaluation of ICAO safety oversight audits.

It is designed to determine States’ capability for safety oversight through the effective implementation of the critical elements of a safety oversight system.
Comprehensive systems approach

- The CSA:
  - Looks at States’ safety oversight systems from a process perspective.
  - Provides a timely picture of the overall health of a State’s safety oversight system and its effectiveness.
  - Focuses attention on critical safety areas.
  - Allows for flexibility depending on the size and complexity of the aviation system established in a State.
Comprehensive Systems Approach – Eight Areas

- **Legislation and Regulations**: Chicago Convention
  - [Annex 1]

- **Personnel Licensing**: [Annex 1]

- **Aircraft Operations**: Annexes 6, 18 & PANS-OPS
  - [Annexes 6, 7, 8 & 16]

- **Airworthiness of Aircraft**: Annexes 6, 7, 8 & 16

- **Organization & Safety Oversight Functions**: SAAQ*
  - [Annex 14]

- **Aerodromes**: [Annex 14]

- **Air Navigation System**: Annexes 2, 3, 4, 5, 10, 11, 12, 15 & PANS-ATM

- **Accident & Incident Investigation**: Annex 13

* State Aviation Activity Questionnaire
Comprehensive systems approach

Audit processes and procedures:

- A three-phase audit process has been established.
- The process and procedures are highly transparent and available to all Contracting States.
- The entire process, from initial planning and scheduling of an audit to the publication of a final safety oversight audit report, takes approximately two years to complete.
Safety oversight audit process (3 phases)

Location
- Pre-audit: Montreal
- Audit: On-site
- Post-audit: Montreal

Activities
- Pre-audit: Secretary General letter to State, Update SAAQ & Compliance Checklists, Portfolio holder handover to Team Leader
- Audit: Audit team briefing, Opening meeting, Closing meeting
- Post-audit: Final report

Time Frame
- Pre-audit: 12 months
- Audit: 8 days
- Post-audit: 9 months+
Comprehensive systems approach

Audit Protocols Questions (PQs):

- Developed by the ICAO Secretariat
- Used for the conduct of the on-site audit
- Enable auditing against the critical elements of a safety oversight system
- Provide guidelines to the auditor on what evidence should be requested and reviewed
- Can be used by States to conduct internal audits
Appointment of the National Safety Oversight Coordinator

- The scope of safety oversight audits under the comprehensive systems approach has expanded to 16 of the 18 Annexes to the Chicago Convention.

- As a result, in many States, ICAO has to deal with several entities besides the Civil Aviation Authority responsible for safety oversight (and investigation) tasks.
Appointment of the National Safety Oversight Coordinator

- To facilitate the audit process, and to ensure proper communication and coordination with Contracting States, the Safety Oversight Audit Section requested all States to appoint a National Safety Oversight Coordinator (NSOC).

- The NSOC serves as focal point between the Safety Oversight Audit Section and the State concerning safety oversight matters.

- The NSOC plays an active role during the three phases of the audit process: pre-audit, on-site and post-audit.
Safety and Security Audits Branch (SSA)

Office of the Secretary General

Safety and Security Audits Branch - SSA

- Safety Oversight Audit Section - SOA
- Aviation Security Audit Section - ASA
- Audit Coordination and Reporting Section - ACR
Audit staff

ICAO  
REGIONAL OFFICES

ANB AND OTHER ICAO  
BUREAUX (HQs)

CONTRACTING  
STATES

REGIONAL  
ORGANIZATIONS

SSA
Programme activities

- **PLANNING**
- **AUDITS**
- **REPORTS & ANALYSES**
- **WORKING PAPERS**
- **AUDIT FINDINGS AND DIFFERENCES DATABASE (AFDD)**
- **TRAINING & SEMINARS**
ICAO and its Regional Offices

ICAO Contracting States are divided into seven regions.
Audits and Audit Follow-ups Completed
First Audit Cycle – 1999 - 2004

In addition, two special Administrative Regions of China and three territories were audited at the request of the States concerned.
CSA Audits completed as of 31 January 2009

ICAPO Regional Offices and accredited States

Contracting States 190
Audits Completed 115
Beyond 2010

- The current six-year cycle of audits under the Comprehensive System Approach (CSA) extends through 2010 (Assembly Resolution A-36/20).

- The Secretariat has started looking at the future of the Programme beyond 2010, in consultation with States and international organizations.

- Options to consider: transition from the conduct of audits to the implementation of a continuous monitoring mechanism regarding States’ safety oversight capabilities.
Review

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THANK YOU