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SAFETY

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# PROPOSED GLOBAL AVIATION SAFETY OVERSIGHT SYSTEM

Catalin Radu

*Deputy Director, Aviation Safety  
ICAO Air Navigation Bureau*

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## The Challenges

- Air traffic will double in 15 years; aircraft ownership, registration and user business model is changing.
- Safety oversight systems need to adapt to the future demands of a rapidly expanding aviation industry, new technologies and processes.
- Different regulatory systems, inefficient overlapping auditing and re-certification programmes require a rethink of current safety oversight programmes.
- Alternative safety oversight models should be developed to resolve current inefficiencies and cater for future challenges.
- States should have access to practical and affordable options in the area of safety oversight.



## The Solution

- Explore the establishment and implementation of an integrated global system for the delivery of aviation safety oversight, as an alternative to the current safety oversight model.
- Suitably empowered and strengthened Regional Safety Oversight Organizations (RSOOs) and other safety oversight providers would constitute the building blocks of a global safety oversight system.
- ICAO would maintain an inventory of competent safety oversight providers, and the tasks and functions that they provide.
- RSOOs (and other safety oversight providers) would have to demonstrate competence in the tasks and functions that they provide, qualify as an ICAO recognized safety oversight provider.



## The Solution (Cont'd)

- An **ICAO Recognized Safety Oversight Provider** would be any international, regional or sub-regional aviation safety oversight body that carries out tasks and functions on behalf of a State or group of States.
- Such safety oversight bodies could include:
  - civil aviation authority of a State that provides assistance to another State;
  - corporatized service provider that carries out safety oversight tasks and functions; and an
  - RSOO.



## ICAO Recognition

- Recognition would be granted in respect to the specific tasks and functions carried out by the safety oversight provider.
- Each task and function would be mapped to a USOAP CMA Protocol Question (PQ) or set of PQs.
- Provider's tasks and functions would be classified in accordance with the level of empowerment granted by a State or group of States.



## ICAO Recognition (Cont'd)

- The following three levels of delegation/ empowerment are defined based on the complexity of tasks and functions performed:

**Level 1** – advisory, consultancy and coordinating tasks and functions.

**Level 2** – operational assistance tasks and functions.

**Level 3** – certifying agency tasks and functions.



## ICAO Recognition (Cont'd)

- For Levels 1 and 2 tasks and functions, ICAO recognition would be based on an initial assessment to evaluate the capabilities of the provider.
- For a provider to receive ICAO recognition for Level 3 tasks and functions, it would have to first undergo an activity under the ICAO USOAP CMA.
- For Levels 1 and 2, ICAO recognition would be renewed at a determined frequency, on the basis of a re-assessment.
- For Level 3, ICAO recognition would be dependent on USOAP CMA results.



## Level 1 – Basic advisory and consultancy assistance

- A safety oversight provider may provide consultancy and advisory assistance to a State or a group of States.
- No agreement is established directly between the provider and the State for the delegation of tasks and functions for regulating, certifying or supervising industry entities.
- Inspectors employed by a provider (or working under a coordinated inspector sharing scheme) can carry out inspections or audits for a State's CAA in their own individual capacity.
- The State grants all required authorizations; the provider only coordinates the use of the inspector.



## Level 2 – Operational assistance

- The safety oversight provider can carry out all Level 1 activities.
- The provider can also provide operational assistance to a State or group of States on the basis of a formal and binding delegation agreement.
- The operational assistance may include harmonization of standards and audits, inspections and other investigations conducted on industry entities.
- The State issues certificates, licences and approvals on the basis of the operational assistance provided.
- These services can also include surveillance over the respective document holders.



## Level 3 – Certifying Agency

- The safety oversight provider can carry out both Level 1 and 2 activities.
- In addition, under Level 3, both the conduct of the technical services and the issuance of certificates, licences and approvals are formally delegated to the provider in a legally binding manner.
- The State retains responsibility under the Chicago Convention for safety oversight and for any certificates, licences and approvals issued on its behalf.
- The State exercises this responsibility by monitoring a provider's capabilities.



## Level 3 – Certifying Agency (Cont'd)

- A certifying agency must be empowered to take legally binding decisions and accept legally binding delegations from States.
- Each State that has formally delegated tasks and functions to a safety oversight provider would have to provide written notification to ICAO.
- The scope of the activity under the USOAP CMA would be determined by the specific tasks and functions delegated by a State or group of States, which entail the direct oversight of industry entities.



## Level 3 – Certifying Agency (Cont'd)

- An MOU established between ICAO and the safety oversight provider, would govern the conduct of all activities under the USOAP CMA.
- Effective implementation (EI) of the USOAP Critical Elements (CEs) of the applicable tasks and functions would be monitored under the USOAP CMA.



## Level 3 – Certifying Agency (Cont'd)

- Failure of the safety oversight provider to maintain a satisfactory EI level with respect to delegated tasks and functions, could result in an overall low EI or even an SSC for the State concerned.
- Where a group of States has formally delegated tasks and functions to a provider, failure of the provider to maintain a satisfactory EI level in any of the delegated tasks and functions could result in an overall low EI or even an SSC for all the States concerned.



## Level 1 - Delegation/Empowerment Levels

Level of Delegation	Area of Activity	Typical Tasks and Functions
Level 1 Advisory		
	LEG	<p>Develop a set of harmonized legislation and/or regulations for transposition into the national legislation/regulation of the State.</p> <p><u>Track amendments and identifying differences to the ICAO SARPs and assist States to notify ICAO of the differences.</u></p>
	AIR, OPS, PEL, AGA, ANS, AIG	<p>Training of inspectors.</p> <p>Develop inspector manuals, checklists and other guidance material.</p> <p>Establish and maintain a regional roster of qualified inspectors and implement a regional inspector sharing scheme.</p> <p>Provide expert advisory services to States in the areas of certification, surveillance and enforcement.</p> <p>Coordinate the use of OPAS inspectors by the States for certification and surveillance activities.</p> <p>Carry out audits on States in preparation for ICAO USOAOP CMA activities.</p> <p>Advise States on the establishment and implementation of their State Safety Programmes (SSPs).</p> <p>Contribute to ICAO regional programmes in support of the GASP.</p>



## Level 2 - Delegation/Empowerment Levels

Level of Delegation	Area of Activity	Typical Tasks and Functions
Level 2 Operational Assistance		
	LEG	<p>Develop a set of harmonized legislation and/or regulations for transposition into the national legislation/regulation of the State.</p> <p>Track amendments and identifying differences to the ICAO SARPs and assist States to notify ICAO of the differences.</p>
	AIR, OPS, PEL, AGA, ANS, AIG	<p>The regional aviation safety oversight body can carry out all Level 1 activities in the areas of OPS, AIR, PEL, AGA and ANS. The regional aviation safety oversight body is mandated by its membership to carry out specific technical tasks and functions to include:</p> <ul style="list-style-type: none"> <li>• <u>Carry out certification tasks and functions for all member States.</u></li> <li>• Provide direct assistance to all member in the areas of certification and surveillance States, to include the carryout of inspections required to support the issuance of certificates, licences and approvals by the States.</li> <li>• Establish and implement regional ramp and foreign aircraft inspection programmes</li> <li>• Collection and analysis of aviation safety and accident data to support the States' SSPs.</li> </ul>



## Level 3 - Delegation/Empowerment Levels

Level of Delegation	Area of Activity	Typical Tasks and Functions
Level 3 Certifying Agency		
	LEG	<p>Develop a set of common legislation and/or regulations, promulgated/adopted through a regional legislative mechanism and directly binding on States.</p> <p>Track amendments and identifying differences to the ICAO SARPs and assisting States to notify ICAO of the differences.</p>
	AIR, OPS, PEL, AGA, ANS, AIG	<p>The regional aviation safety oversight body can carry out all Level 1 and 2 activities in the areas of OPS, AIR, PEL, AGA and ANS.</p> <p>Issue certificates, licences and approvals on mandate from all member States or by delegation from an individual State. The regional body must be empowered to take legally binding certification decisions.</p> <p>Carry out enforcement action on delegation from member States.</p>



## RSOO Improvements through a Global Aviation Safety Oversight System

- RSOOs would be empowered and strengthened to effectively carry out tasks and functions on behalf of States.
- RSOOs would be fully integrated within the safety oversight safety management programmes and activities of their member States.
- RSOOs would be fully aligned with ICAO's regional and global programmes, to include the GASP and the safety management and USOAP CMA programmes.
- Efficiencies would be realized with respect to current regulatory systems and safety oversight audit and recertification programmes.



## Benefits to States of the Global Aviation Safety Oversight System

- Provides an alternative to having all safety oversight functions in-house with the required staffing.
- Ability to maintain a more cost-efficient and effective CAA
- Flexibility to choose and combine from different safety oversight provider options for the various tasks and functions.
- Access to services beyond the conventional RSOOs, from outside of the State's sub-region to more global best practices.



## Benefits to States of the Global Aviation Safety Oversight System (Cont'd)

- Enhanced compliance by States with international safety requirements and enhanced uniformity in the implementation of safety requirements.
- Industry would no longer be subject to overlapping and duplicate audit and monitoring programmes and certifications.
- Enhanced and sustained compliance with international safety oversight requirements and effective implementation of the ICAO SARPs.
- Economic benefits derived from having safety compliant aviation industry.



## Next Steps

**Step 1:** Global strategy and action plan – March 2017

**Step 2:** AFI Ministerial Declaration and roadmap – March 2017

**Step 3:** Agreement on the conduct of a feasibility study on the implementation of an integrated global system for the delivery of aviation safety oversight – RSOO Forum – March 2017

**Step 4:** Establish a working group of stakeholder experts – May 2017

**Step 5:** Conduct of a feasibility study into the establishment and implementation of an integrated global system for the delivery of safety oversight – October 2017

**Step 6:** State consultation at DGCA meetings May – November 2017

**Step 7:** Community awareness at SANIS – December 2017



## Next Steps (cont'd)

- Step 8:** Develop Global Aviation Safety Oversight System mechanism – 2018 - 2019
- Step 9:** Recommendation at AN-Conf/13 (ANC) – November 2018
- Step 10:** Inclusion in ICAO Business Plan and Budget for the next triennium – January 2019
- Step 11:** Prepare for launch – December 2018 – December 2019
- Step 12:** Endorsement at A40 (Council) – October 2019
- Step 13:** State Letter – November 2019
- Step 14:** Launch – January 2020

