



International Civil Aviation Organization

WORKING PAPER

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ASSEMBLY — 36TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Progress report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach

THE CONTRIBUTIONS OF ICAO SAFETY AND SECURITY AUDITS OF STATES AFTER 2008

(Presented by Antigua and Barbuda, Barbados, Dominica, Grenada, Guyana, Haiti, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname and Trinidad and Tobago)

EXECUTIVE SUMMARY

This paper seeks to recognize the existence of Regional Safety and Security Entities and to provide the utilization of such entities to assist ICAO in ensuring that States meet and maintain ICAO Standards in safety and security.

Action: The Assembly is invited to:

- consider the contents of this working paper and to implement as necessary; and
- take the necessary action that would create the legal framework that would provide the Regional Safety Oversight Entities with the desired responsibility and authority to conduct Safety Oversight Audits on States within their area of responsibility.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A — <i>Enhance global civil aviation safety.</i>
<i>Financial implications:</i>	Not applicable.

1. INTRODUCTION

1.1 As a result of budget constraints it has become increasingly difficult for ICAO to effectively sustain its Global Safety Oversight Programme. Further, the limited resources are not adequate to provide all Member States with safety audits within a reasonable time frame. Some States are also finding it difficult to release experts to assist ICAO with the Audit Programme. The ICAO Assembly at its 32nd Session held in Montreal, Canada in 1998 undertook a critical analysis of ICAO's finances and funding and found that in an environment of scarce resources measures needed to be taken to provide a higher level of service but at a much reduced cost. In keeping with this aim, ICAO's Programmes are being critically examined to determine priorities and to eliminate wastage wherever possible. The Safety and Security Audits of States have been very successful in helping to improve both these elements and have contributed significantly to the reduction of aviation incidents and accidents.

2. DISCUSSION

2.1 This paper seeks to promote an efficient and cost-effective method of satisfying the safety oversight requirements of States. There are a number of Regional Safety Oversight Entities that are capable of assisting ICAO in this regard. RASOS is of the view that in keeping with ICAO's expressed objectives, ICAO could be well served by empowering these Regional Safety Oversight Entities to carry out audits on States in their area of responsibility under ICAO's supervision. To accomplish this, ICAO should first audit these Regional Safety Oversight Entities to establish credibility. After the initial audit, which may include a random auditing of States served by that entity, periodic audits may be mounted to ensure that the required standards are maintained. It would be the responsibility of the regional entities to continually assess States to ensure compliance. The recommendation provided below is presented to assist ICAO in accomplishing this objective and at the same time reducing the operating expenses of the Organization.

3. RECOMMENDATION

3.1 It is recommended that ICAO:

- a) conducts initial Safety Oversight Audits on all Regional Safety Oversight Entities to establish their capability of monitoring Member States' conformity with ICAO Standards and Recommended Practices;
- b) conducts, at two year intervals, Safety Oversight Audits on all Regional Safety Oversight Entities aimed at verifying their continued integrity and credibility;
- c) on a case by case basis, provides Regional Safety Oversight Entities with the responsibility and authority for auditing States within their span of responsibility and reporting the audit results to ICAO; and

- d) conducts random Safety Oversight Audits on States as ICAO deems necessary to provide feedback on the effectiveness of the operation of the Regional Safety Oversight Entities.

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