



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**  
**AFI PLANNING AND IMPLEMENTATION REGIONAL GROUP**  
**FIFTEENTH MEETING (APIRG/15)**

(Nairobi, Kenya, 26 – 30 September 2005)

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**Agenda Item 5.1: Deficiencies in the Air Navigation fields**  
**5.1 Unified Strategy for resolving safety-related deficiencies**

**PROGRESS REPORT ON THE UNIFIED STRATEGY IMPLEMENTATION PLAN**

(Presented by the Secretariat)

**SUMMARY**

This paper discusses key elements of a unified strategy implementation plan for the provision of assistance to States in resolving safety-related deficiencies.

Action by APIRG is in paragraph 4.

**1. INTRODUCTION**

1.1 The Assembly, at its 35th Session (Montreal, 28 September - 8 October 2004), adopted Resolution A35-7: Unified strategy to resolve safety-related deficiencies (Appendix A to this working paper refers). The resolution recognizes the challenges faced by States in the implementation of their safety oversight systems, and endorses the concept of a unified strategy to resolve safety-related deficiencies based on the principles of increased transparency, cooperation, assistance and partnerships, where appropriate. By State letter AN 11/41-05/34, dated 24 March 2005, the resolution was circulated to all Contracting States.

1.2 This working paper, which was presented to the Council in June 2005, discusses elements of the unified strategy implementation plan towards the provision of assistance to States in resolving their safety-related deficiencies in accordance with Operative Clause 13 of Assembly Resolution A35-7. Additional information, in the form of PowerPoint presentation, outlining the tools and mechanisms for data collection and analysis, promoting partnerships, and establishing regional and sub-regional safety oversight organizations is available in Appendix B to this working paper.

**2. BACKGROUND**

2.1 The findings of the Universal Safety Oversight Audit Programme (USOAP) revealed that many States are experiencing difficulties in implementing Standards and Recommended Practices (SARPs) or correcting identified safety-related deficiencies, thus creating potential safety gaps and sources of risk to aviation safety. Reasons include the lack of adequate staff and financial resources, and lack of political commitment. Nevertheless, States have an obligation to meet all safety-related requirements under the *Convention on International Civil Aviation* (Doc 7300).

2.2 Keeping the strategic objectives of the Organization in mind, the unified strategy to resolve safety-related deficiencies comprises two main elements. It aims, firstly, to provide assistance to States, or groups of States, in resolving safety-related deficiencies. Secondly, it aims to ensure increased transparency and sharing of safety information for use by States when performing their safety oversight functions, including inspections as provided for in Article 16 of the Convention.

### 3. KEY ELEMENTS

3.1 Considering that the availability of safety information is of critical importance to States when performing their safety oversight functions, an additional means to facilitate the sharing of safety information is envisaged to provide access to all relevant information derived from the Audit Findings and Differences Database (AFDD); such access will be implemented in keeping with Operative Clause 3 of Resolution A35-7 and in accordance with Operative Clause 7 of Resolution A35-6: Transition to a comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme (USOAP). Accident data from the Accident/Incident Data Reporting (ADREP) database could also be of assistance in this respect, and is available on the ICAO-Net.

3.2 A key element for the unified strategy in providing assistance to groups of States is the determination of geographical areas where projects can be most effectively developed. These groups of States will be selected through the evaluation of common needs and resources. The process will include data gathering, data analysis and tailoring of appropriate solutions. The Secretariat at ICAO Headquarters has formed a core group that is currently in the process of reviewing available data with the aim of identifying specific geographic areas for implementation.

3.3 Another key element of the unified strategy is fostering partnerships among States, the industry, regional safety oversight organizations, financial institutions and other international organizations. This is expected to be achieved through the establishment and management of regional safety oversight initiatives. States will be encouraged to work together through regional safety oversight organizations (RSOOs) and Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) where applicable. In this respect, the *Safety Oversight Manual* (Doc 9734), Part B — *The Establishment and Management of a Regional Safety Oversight System*, has been developed and will provide the necessary guidance to States for the implementation of regional safety oversight initiatives. The Organization began promoting this concept through participation at several regional meetings.

3.4 An important aspect towards appropriate regional solutions in this respect could be achieved by providing groups of States with tools for the harmonization of their oversight activities. Among those tools that could be used for this purpose is the Flight Safety Enhancement database which contains a compilation of generic examples of technical procedures relevant to the safety oversight of aircraft operations and maintenance.

3.5 The establishment of the Central American Agency for Aviation Safety (ACSA) in Central America represents an example where the concepts of partnership and optimization of regional resources have been successfully implemented. An initiative aimed at enhancing the safety oversight capabilities of its member States is the Pacific Aviation Safety Office (PASO). In addition, the existing COSCAPs in various regions of the world represent a vehicle in implementing regional and sub-regional initiatives in the near term.

3.6 Encouraging regional initiatives for fostering cooperation in civil aviation safety oversight is widely supported by States and the industry. In this respect, ICAO played a prominent role at the recent

Global Summit on Regional Aviation Safety Oversight (1 to 3 February 2005, Washington D.C.) which was sponsored by the George Washington University Consortium and funded by the Federal Aviation Administration (FAA). Furthermore a unified strategy seminar on regional cooperation for safety oversight is planned for September 2005 in Cairo, Egypt, under the auspices of ICAO.

3.7 Contracting States in need of assistance will be encouraged to take advantage of the funding opportunity offered by the administration of the International Financial Facility for Aviation Safety (IFFAS). Also, due to the scope of the implementation of the unified strategy worldwide and the limited funds available through IFFAS, ICAO will also support States in their efforts to obtain assistance from various sources such as the World Bank, regional development banks, the European Commission and also from the manufacturing industry and the private sector. This assistance may come in various forms such as loans, grants or services in kind. In all cases ICAO will help States ensure that such assistance will fit into a programme plan that generates results for both States and donors.

3.8 The unified strategy, as reflected in Resolution A35-7, is considered to be a high priority for the Organization. Cooperation of Contracting States is essential towards the success of the programme. In order to provide assistance to States as called for by the Unified strategy, ICAO is in the process of gathering and analysing safety-related data from different groups of States in order to determine potential areas of application. Once a target area of implementation has been identified, a pilot project will be put in place and other stakeholders will be invited to participate. An Organization-wide framework for coordination and specific tasking among bureaux/offices/sections has been developed.

#### **4. ACTION BY APIRG**

4.1 The Meeting is invited to:

- a) note the information in the paper;
- b) implement a unified strategy based on the principles of increased transparency, cooperation and assistance;
- c) urge States to share with other Contracting States critical safety information which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information; and
- c) request States to provide tangible support for strengthening and furtherance of regional safety oversight organizations.

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## APPENDIX A

### UNIFIED STRATEGY TO RESOLVE SAFETY-RELATED DEFICIENCIES (Assembly Resolution A35-7)

#### **A35-7: Unified strategy to resolve safety-related deficiencies**

*Whereas* a primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

*Whereas* ensuring the safety of international civil aviation is also the responsibility of Contracting States both collectively and individually;

*Whereas* in accordance with Article 37 of the Convention on International Civil Aviation each Contracting State undertakes to collaborate in securing the highest practicable degree of uniformity in regulation, standards, procedures and organization in relation to aircraft, personnel, airports, airways and auxiliary services in all matters in which uniformity will facilitate and improve air navigation;

*Whereas* the improvement of the safety of international civil aviation on a worldwide basis requires the active collaboration of all stakeholders;

*Whereas* the Convention and its Annexes provide the legal and operational framework for Contracting States to build a civil aviation safety system based on mutual trust and recognition, requiring that all Contracting States implement the SARPs as far as practicable and adequately perform safety oversight;

*Whereas* the results of the Universal Safety Oversight Audit Programme (USOAP) indicate that several Contracting States have not yet been able to establish a satisfactory national safety oversight system;

*Whereas* the ICAO Technical Cooperation Bureau (TCB) can provide the required assistance to States in need;

*Whereas* the International Financial Facility for Aviation Safety (IFFAS) has been established to assist Contracting States in financing safety-related projects to correct deficiencies primarily identified through USOAP and for which they cannot otherwise provide or obtain necessary financial resources;

*Recognizing* that not all Contracting States have the requisite human, technical and financial resources to adequately perform safety oversight;

*Recognizing* that the establishment of regional and sub-regional safety oversight organizations has great potential to assist States in complying with their obligations under the Chicago Convention through economies of scale and promotion of uniformity on a larger scale;

*Recognizing* that the assistance available to Contracting States experiencing difficulties in correcting deficiencies identified through the safety oversight audits would be greatly enhanced by a unified strategy involving all Contracting States, ICAO and other concerned parties in civil aviation operations;

*Recognizing* the safety enhancement contributions resulting from audits conducted by international and regional organizations such as the IATA Operational Safety Audit (IOSA) Programme and Eurocontrol ESARR Implementation Monitoring and Support (ESIMS) Programme;

*Recognizing* that transparency and sharing of safety information is one of the fundamental tenets of a safe air transportation system;

*The Assembly:*

1. *Urges* all Contracting States to share with other Contracting States critical safety information which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information;

2. *Encourages* Contracting States to make full use of available safety information when performing their safety oversight functions, including during inspections as provided for in Article 16 of the Convention;

3. *Directs* the Council to further develop practical means to facilitate the sharing of such safety information among Contracting States;

4. *Reminds* Contracting States of the need for surveillance of all aircraft operations, including foreign aircraft within their territory and to take appropriate action when necessary to preserve safety;

5. *Directs* the Council to develop a procedure to inform all Contracting States, within the scope of Article 54 j) of the Chicago Convention, in the case of a State having significant compliance shortcomings with respect to ICAO safety-related SARPs;

6. *Directs* the Council to promote the concept of regional or sub-regional safety oversight organizations;

7. *Requests* the Secretary General to continue to foster coordination and cooperation between USOAP and audit programmes of other organizations related to aviation safety, and specifically with IATA and Eurocontrol;

8. *Urges* Contracting States to further develop regional and sub-regional cooperation and, whenever feasible, partnership initiatives with other States, industry, air navigation service providers, financial institutions and other stake holders to strengthen safety oversight capabilities in order to foster a safer international civil aviation system and to better discharge their individual responsibilities;

9. *Encourages* States to foster the creation of regional or sub-regional partnerships to collaborate in the development of solutions to common problems to build their individual safety oversight capability;

10. *Encourages* all States able to do so to participate in, or provide tangible support for, the strengthening and furtherance of regional safety oversight organizations;

11. *Invites* Contracting States to use the services of the ICAO Technical Co-operation Bureau (TCB) to resolve deficiencies identified by the USOAP;

12. *Invites* Contracting States experiencing difficulties in financing measures necessary to correct safety-related deficiencies identified through USOAP to take advantage of the funding opportunity offered by the International Financial Facility for Aviation Safety (IFFAS);

13. *Requests* the Council to implement a unified strategy based on the principles of increased transparency, cooperation and assistance and to foster, where appropriate, partnership among States, users, air navigation service providers, industry, financial institutions and other stake holders to analyse causes, establish and implement sustainable solutions in order to assist States in resolving safety-related deficiencies;

14. *Directs* the Council to adopt a flexible approach for the provision of assistance through the ICAO Regional Offices to support regional and sub-regional organizations responsible for safety oversight tasks and to implement an efficient system to monitor implementation of the unified strategy.

15. *Requests* the Secretary General to investigate ways in which the identification of measures may be undertaken at national and regional levels to support States' development of ATM safety oversight capabilities and procedures.

#### **Associated practice**

1. The Council should develop ways in which all relevant information from the Audit Findings and Differences Database (AFDD) could be made available to all Contracting States through the use of the ICAO secure website.

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**APIRG/15-WP/8**

**Appendix B**

**English only**



# Background

- **USOAP findings**
- **Lack of implementation of SARPs**
- **States with no infrastructure**
- **States with low activity**
- **Other priorities (Health, Education)**

# Background

- **No political commitment**
- **Illegal activities in place**
- **AOC business**
- **Flags of Convenience**

# Objectives of Unified Strategy

- Res A35-7 Oct, 2004
- Two main pillars:
  - 1) Assistance to groups of States
    - a) Foster Partnership and
    - b) Create Regional Safety Oversight Organizations (RSOOs)
  - 2) Availability of safety information
    - a) Exchange between States
    - b) ICAO to facilitate
    - c) Procedure for transparency and disclosure

# ICAO Strategic Objectives

- Council - Standing instructions to Sec Gen to implement the Strategic Objectives
- Where does Unified Strategy fit in?
- Strategic Objective A - Safety
  
- Help and support groups of States
- Actions 1,4,5,6,7,8,9 in Objective A
- Monitor compliance & Encourage resolution Actions 2,3 in Objective A

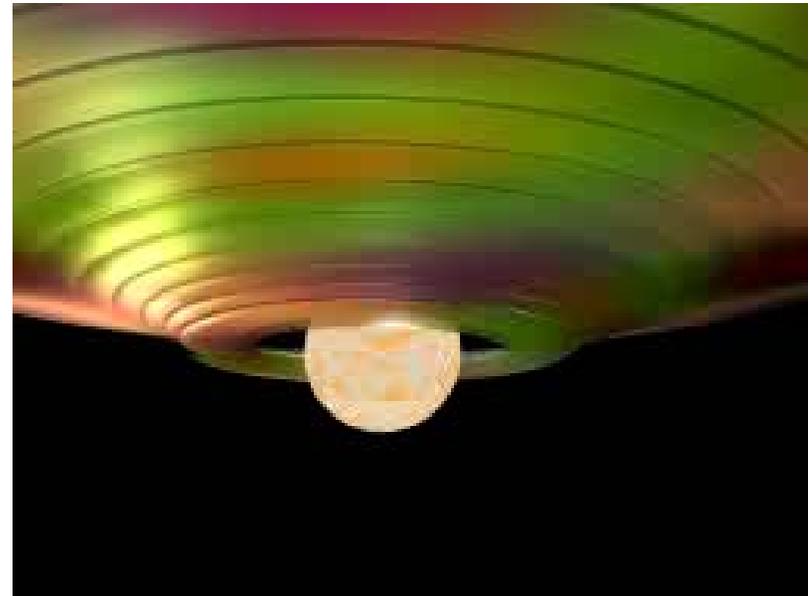
# ICAO-wide efforts

- **ANB**
- **TCB**
- **ATB**
- **LEB**
- **RAO**
- **Regional Offices**

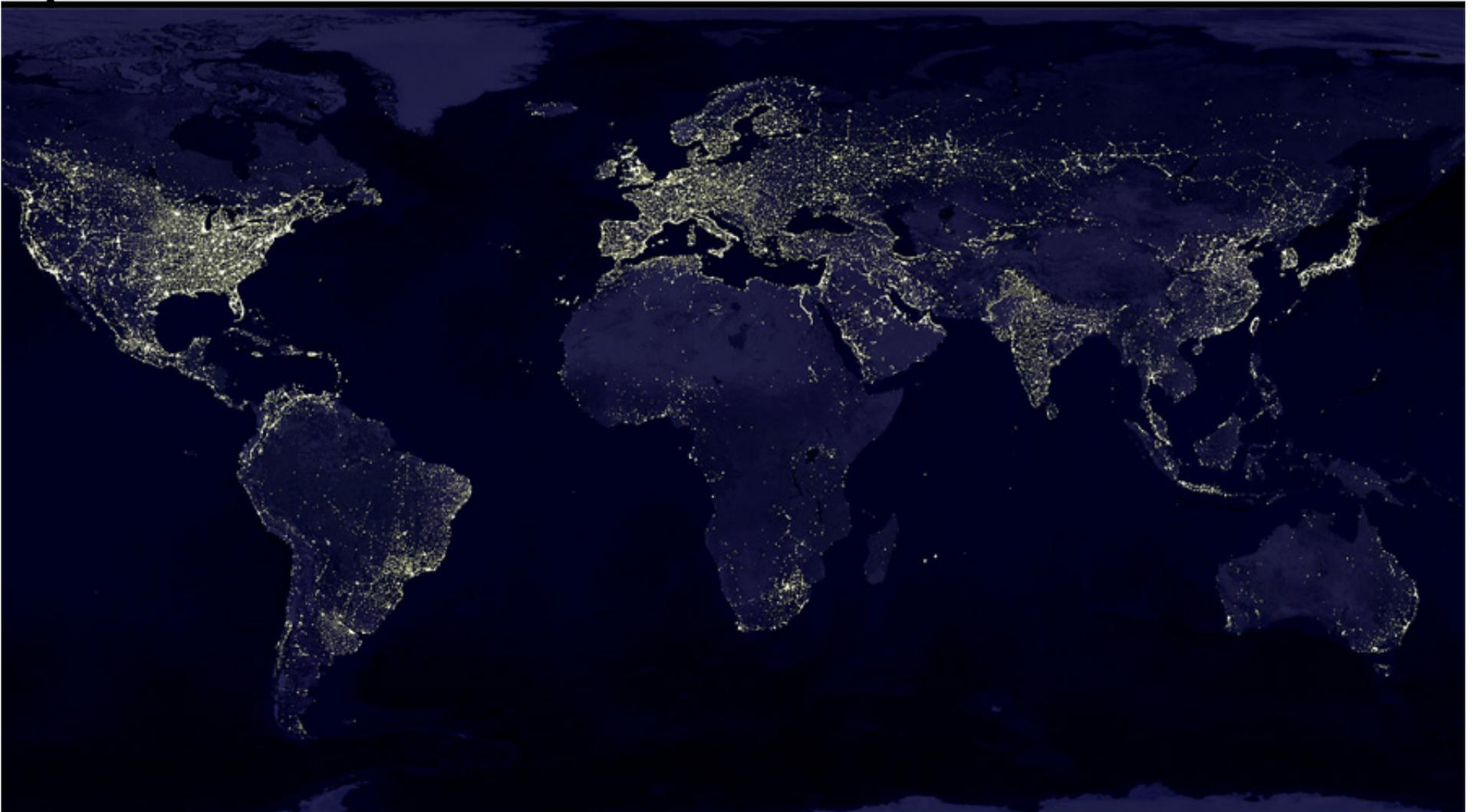


# Coordination

- **ICAO**
- **States**
- **Industry**
- **Other international organizations**
- **Financial institutions**
- **Regional organizations**



# Baseline



# Gathering Data



# Data Analysis

**Technical Area**

**Administrative**



# Data Sources

- **USOAP audit reports /AFDD**
- **TCB/COSCAPs**
- **Regional Offices**
- **Other institutions, eg. IATA,  
EUROCONTROL, UNITED NATIONS**
- **Existing regional organizations**

# Data Gathering

**Performed by a small cross-unit team**

- **SOA**
- **OPS/AIR**
- **TCB**
- **RAO**

**Supported by**

- **LEB**
- **ATB**

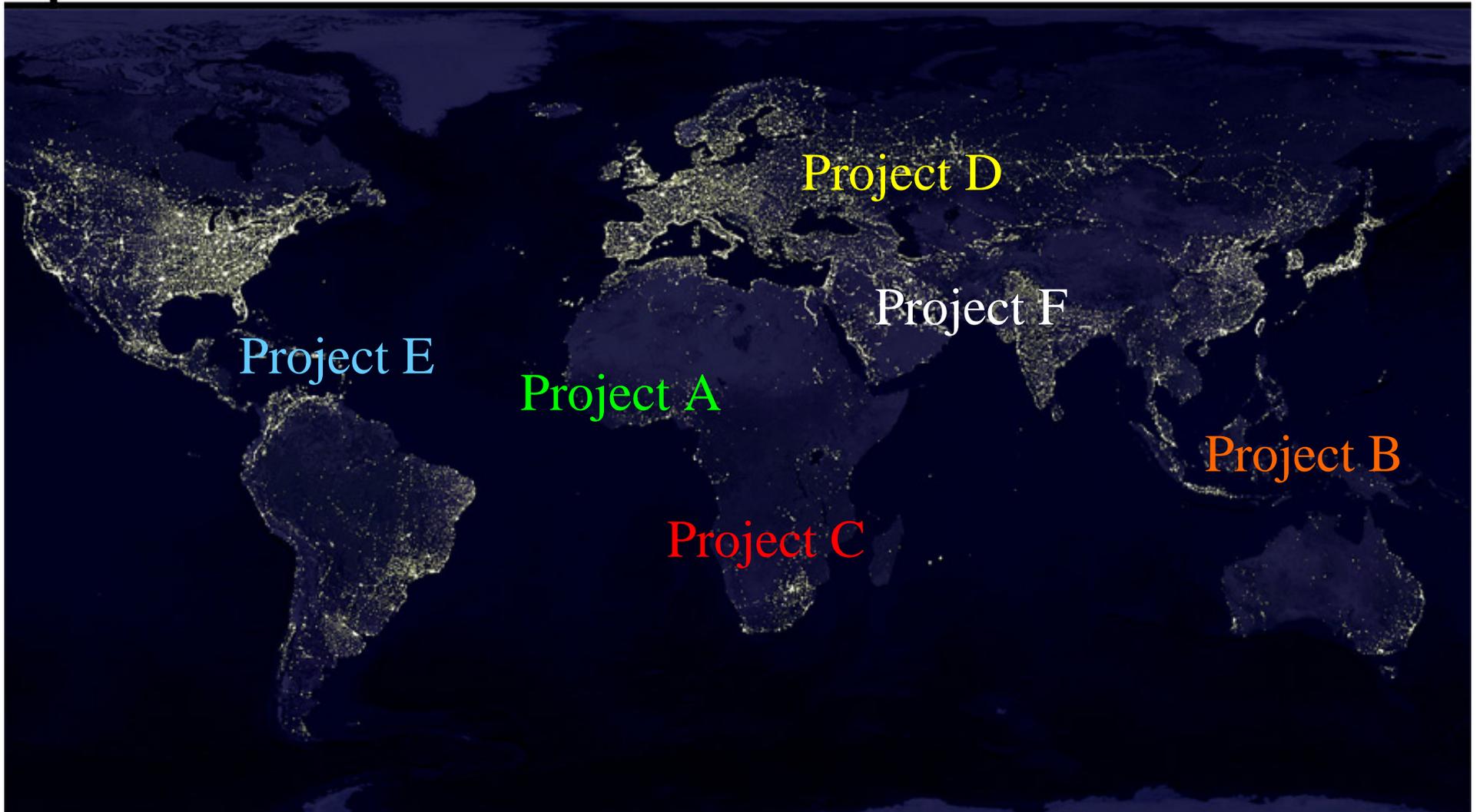
# Data Analysis

- **Current level of compliance with SARPs by groups of States**
- **Possibilities of regulation harmonization in the regions**
- **Political relationships among States**
- **Financial institutions available in short term**
- **Regional Organizations available to back up the project**

# Data Analysis (Cont'd)

- **Status of existing TCB assistance to States in regions**
- **If COSCAPs are already in place, that facilitates initial project(s)**
- **Physical location for future RSOOs**
- **Political commitment by member States to establish partnerships**

# Implementation Plan





# Implementation

- **Local Project implementation manager**
- **Allocate manager at Regional Office or**
- **Physical location for the future RSOO**
- **Facilitator(s) from HQ visits**
- **Doc. 9734, Part B**
- **WE HAVE TO ENSURE A CONTINUOUS POLITICAL SUPPORT IN THE REGION!**

# Risk Management

- **Monitor to ensure functionality**
- **Follow up - Part of the regional agreement**
- **Reports and meetings with high level authorities of all Countries involved in RSOO, on regular basis**
- **Involving ICAO in the initial recruitment of technical personnel for RSOO**
- **Monitor Terms of Reference of projects coming from international financial institutions**



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# On Going Activities

# Exchange of Safety Information

- State letter AN 11/41-05/34 dated 24 March 2005

A35-7  
Operative Clauses  
1,2,3

## DATABASES

- FSEP
- AFDD according to Assembly Resolution A35-6
- ADREP on ICAO-Net

## States responsibility in overseeing aircraft operations

- C-WP/12411 on Procedure for Transparency and Disclosure
- Letter to States informing of the procedure (Draft)

A35-7  
Operative Clauses  
4,5

# Coordination with other programmes

- ICAO/EUROCONTROL  
MOC (Mar.05) A35-7  
Operative Clauses
- USOAP/IOSA (Initiated) 7
- ICAO/FAA - IASA  
(2Q05)

# Promotion of regional/sub-regional Partnerships

- Global Summit on Regional Safety Oversight (Washington D.C. 1-3 Feb. 05)
- TCB existing COSCAPs, and three new approved (UEMOA, BAG, Balkan States)
- Unified Strategy Seminar in Cairo, 4Q05
- Cooperation with regional initiatives  
(ACSA)- Central America  
(PASO)- South Pacific

A35-7

Operative Clauses

6,8,9,10

## Promotion of regional/sub-regional Partnerships – cont.

- Publication of Part B of the Safety Oversight Manual on the Establishment and Management of a Regional Safety Oversight System (Doc 9734)

A35-7  
Operative Clauses  
6,8,9,10

## Foster and monitor the Implementation of the Unified Strategy

- Workshops in all Regional Offices – Paris (1Q05)
- Meetings with COSCAP-Steering Groups (1Q05)
- Unified Strategy Seminar in Cairo (4Q05)

A35-7  
Operative Clauses  
13,14

# Financing

## SOURCES

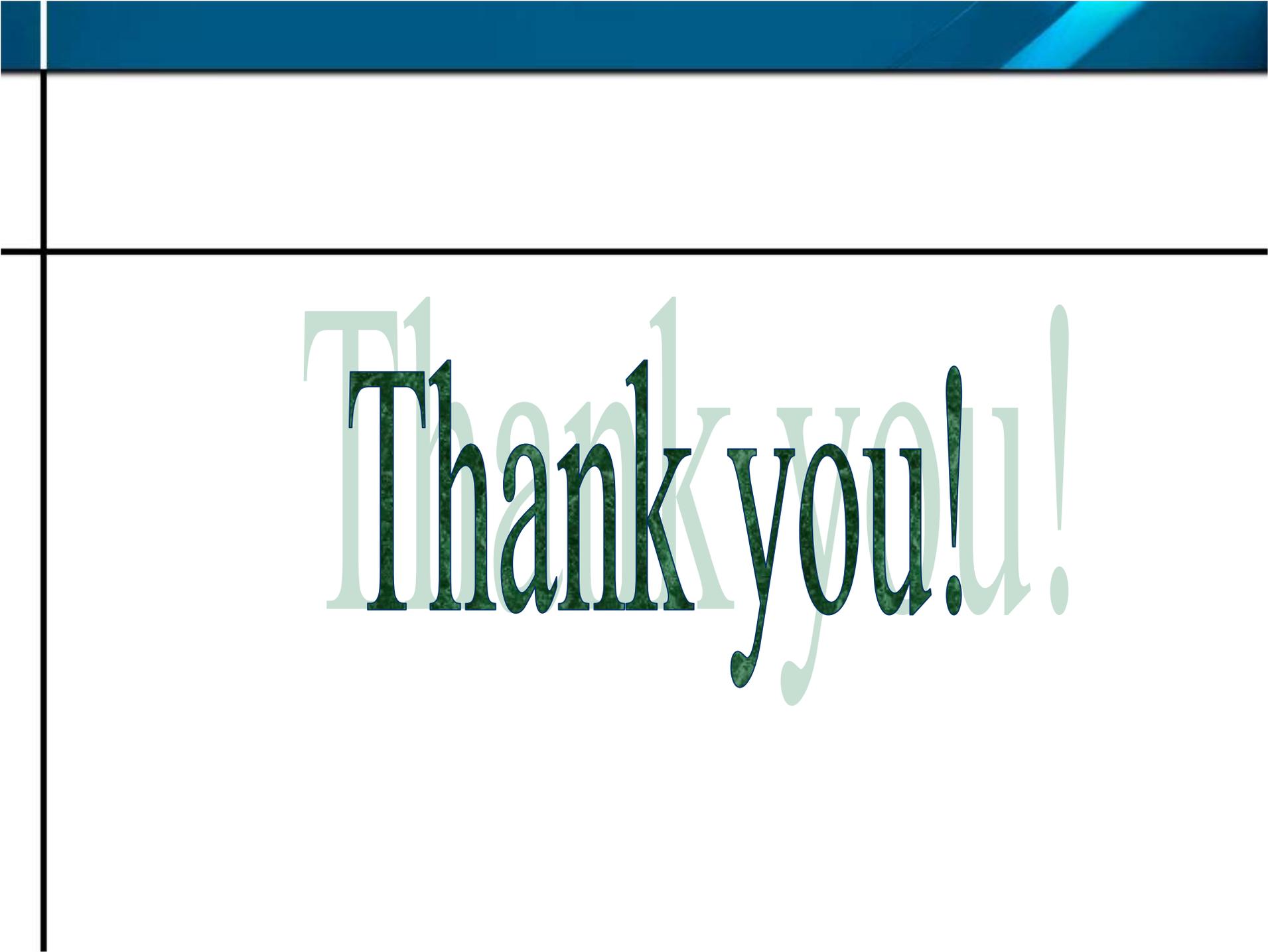
- Limited ICAO Funds
- IFFAS
- Boeing, Airbus Industrie  
(Funding secured for  
(COSCAP-SA, NA, SEA,  
CIS)
- Others (World Bank,  
regional development  
banks, EC, etc.)

A35-7  
Operative Clauses  
12

# Conclusions

## UNIFIED STRATEGY

- Stems from the need to help on the implementation phase of Safety Oversight Activities
- Foster partnerships to help groups of States
- ICAO plays the main role for the coordination of Unified Strategy among external contributors
- Within ICAO, Unified Strategy does not belong to a single unit or section
- ANB as a leader will gather all inputs to pursue the Strategy
- THE IMPLEMENTATION OF UNIFIED STRATEGY IS A JOINT EFFORT
  - Data Gathering
  - Data Analysis
  - Project management
  - Risk management
  - Implementation



Thank you!