Safety Oversight Audit Section

Regional Seminar on the Preparation, Conduct and Reporting of an ICAO Safety Oversight Audit

Beijing, China, 12 to 15 December 2006

Review of Audit Results

Module 10
Module objective

At the end of this module, the participants will be familiar with the results of safety oversight audits conducted under the comprehensive systems approach. The results will be presented and discussed by critical element sub-groups. The participants will also have an opportunity to exchange audit results.
Outline

- Areas of concern identified during CSA audits
- Analysis of audit results by critical element sub-groups
  - Primary aviation legislation
  - Specific operating regulations
  - State civil aviation system and safety oversight functions
  - Technical personnel qualification and training
  - Technical guidance, tools and the provision of safety-critical information
  - Licensing, certification, authorization and approval obligations
  - Resolution of safety concerns
- Exchange of audit experiences
Areas of concern identified during CSA audits

- Introduction of SARPs in legal framework
- Incorporation of Annex amendments and notification of differences
- Oversight of delegated tasks
- Establishment of staff qualifications and experience and development of training programmes
- Coordination amongst entities responsible for safety oversight
- Separation of the regulatory and service provision functions
Results of the CSA Audits
Lack of Effective Implementation of the Critical Elements (%)

Global – 31 States 45.1%
Percentage of Protocol Findings by Critical Element Subgroups

- CE-1 Primary Aviation Legislation
- CE-2 Specific Operating Regulations
- CE-3 State civil aviation and oversight functions
- CE-4 Technical Personnel Qualifications and experience
- CE-5 Technical guidance, tools and the provision of safety-critical information
- CE-6 Licensing, certification, authorizations and approval obligations
- CE-7 Surveillance Obligations
- CE-8 Resolution of safety concerns

- 20%
- 16%
- 14%
- 13%
- 10%
- 6%
- 2%
- 6%
Analysis of audit results

- The following graphs depict, for each critical element sub-group, the percentage of protocol questions found to be not satisfactory.
- These results are based on sample of 31 Contracting States audited under the comprehensive systems approach.
CE-1 - Primary Aviation Legislation

- Promulgation and amendment procedures: 24.42
- Compliance with the Chicago Convention: 33.87
- Establishment of a CAA: 11.83
- Delegation of authority: 25.81
- Empowerment of CAA inspectors: 27.02
CE-2 - Specific Operating Regulations

- Promulgation and amendment procedures: 55.43%
- Identification and notification procedures: 55.43%
- Delegation of authority: 32.26%
- PEL Regulations: 17.20%
- OPS Regulations: 24.37%
- AIR Regulations: 12.69%
- AIG Regulations: 44.52%
- ANS Regulations: 31.57%
- AGA Regulations: 29.32%
CE-3 - State Civil Aviation System and Safety Oversight Functions

- Organizational Structure: 33.33%
- Delegation of authority: 22.88%
- Staffing and recruitment procedures: 56.93%
- Adequate financial resources: 43.55%
CE-4 - Technical Personnel Qualification and Training

- Technical personnel qualifications and experience: 30.81%
- Training policy and programme: 54.84%
- Implementation of the training programme: 46.38%
- Training records: 38.46%

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CE-5 - Technical Guidance, Tools and The Provision of Safety-critical Information

- Licensing, certification and approval procedures and technical guidance: 38.56
- Provision of safety critical information: 28.54
- Technical Library: 25.38
- Provision of adequate tools and office equipment: 24.52
CE-6 - Licensing, Certification, Authorization and Approval Obligations

Personnel Licensing and Training
- Licensing process and validation of licenses: 20.70
- Medical assessment: 21.51
- ATO Certification: 18.43

Aircraft Operations and Dangerous Goods
- Inspection prior to certification: 29.14
- Dangerous goods: 35.19

Airworthiness
- Continuing Airworthiness: 25.68
- States of Design: 1.08
- States of Manufacture: 0.00
CE-6 - Licensing, Certification, Authorization and Approval Obligations

Air Navigation Services

- ATS: 39.21
- PANS-OPS Services: 50.00
- AIS: 37.90
- Charts and telecommunications: 33.06
- MET Services: 15.73

Aerodromes

- RCC: 32.90
- Aerodrome certification process and aerodrome manual: 33.55
- Operational Services: 25.99
- Physical facilities: 21.70
CE-7 - Surveillance Obligations

- Personnel licensing control and supervision: 19.17
- Aircraft operations surveillance programme: 38.06
- Airworthiness surveillance Programme (AOC holders AMOs, production and design organizations): 19.35
- Air Navigation Services surveillance programme: 44.80
- Aerodromes surveillance programme: 32.70
CE-8 - Resolution Of Safety Concerns

Resolution of safety issues: 28.40

Incident/accident investigation: 56.72
Review

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Thank you!