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

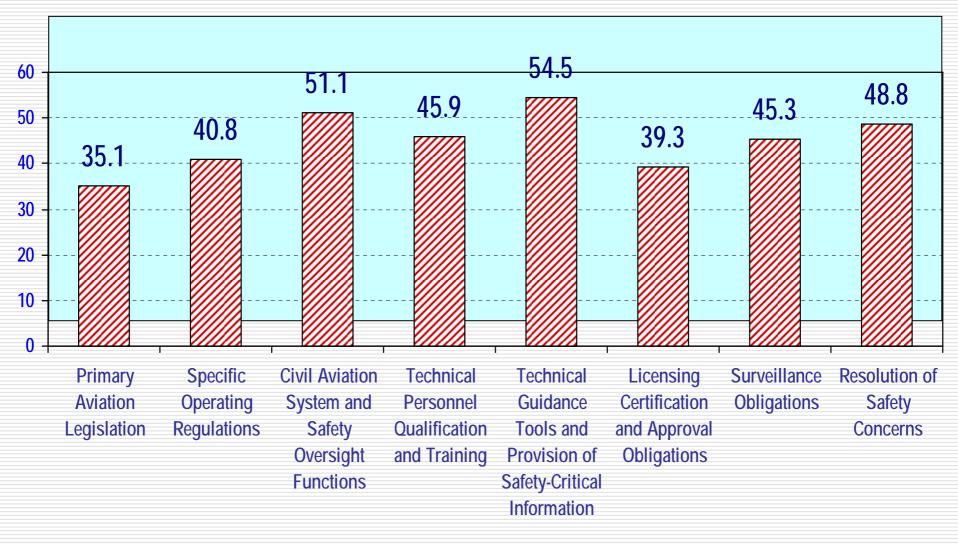❑ Analysis of audit results by critical element sub-groups

- 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
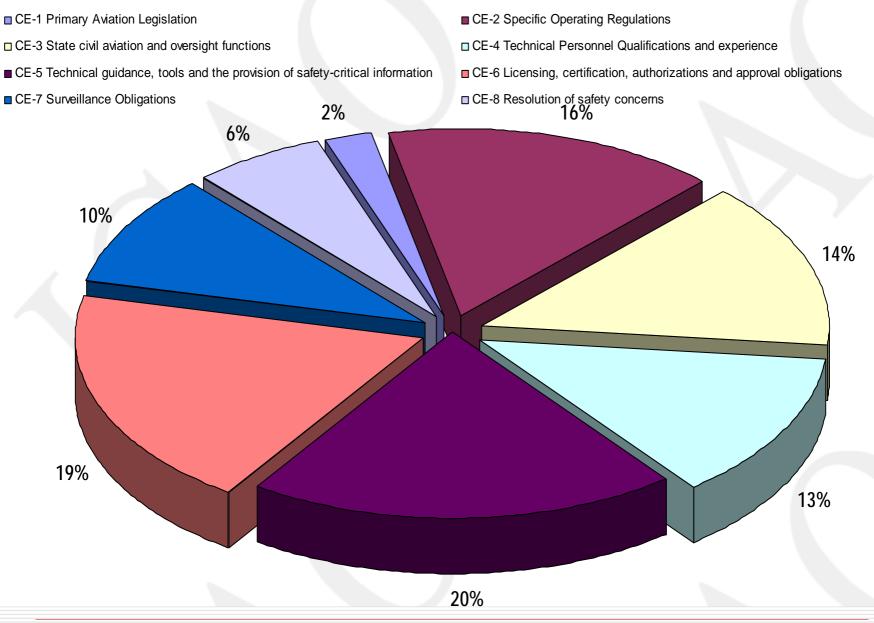
Areas of concern identified during CSA audits

❑ 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
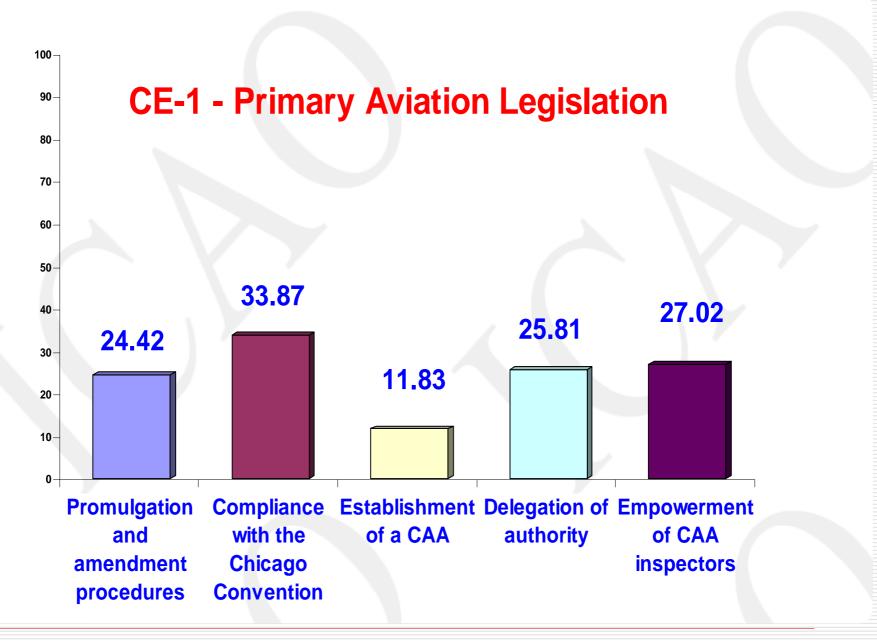# Lack of Effective Implementation of the Critical Elements (%)

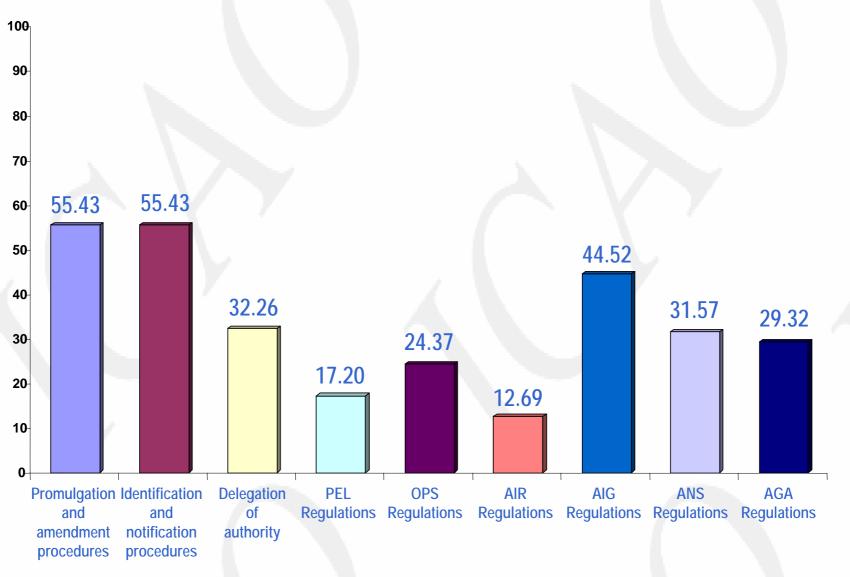# Percentage of Protocol Findings by Critical Element Subgroups

- ☐ CE-1 Primary Aviation Legislation
- ☐ CE-3 State civil aviation and oversight functions
- ■ CE-5 Technical guidance, tools and the provision of safety-critical information
- ■ CE-7 Surveillance Obligations

- ■ CE-2 Specific Operating Regulations
- ☐ CE-4 Technical Personnel Qualifications and experience
- ■ CE-6 Licensing, certification, authorizations and approval obligations
- ☐ CE-8 Resolution of safety concerns

2%
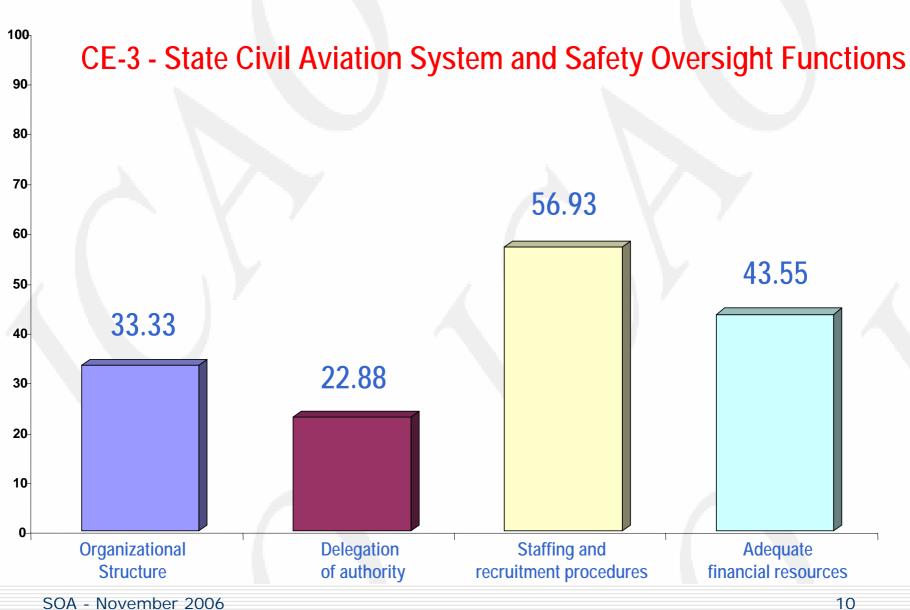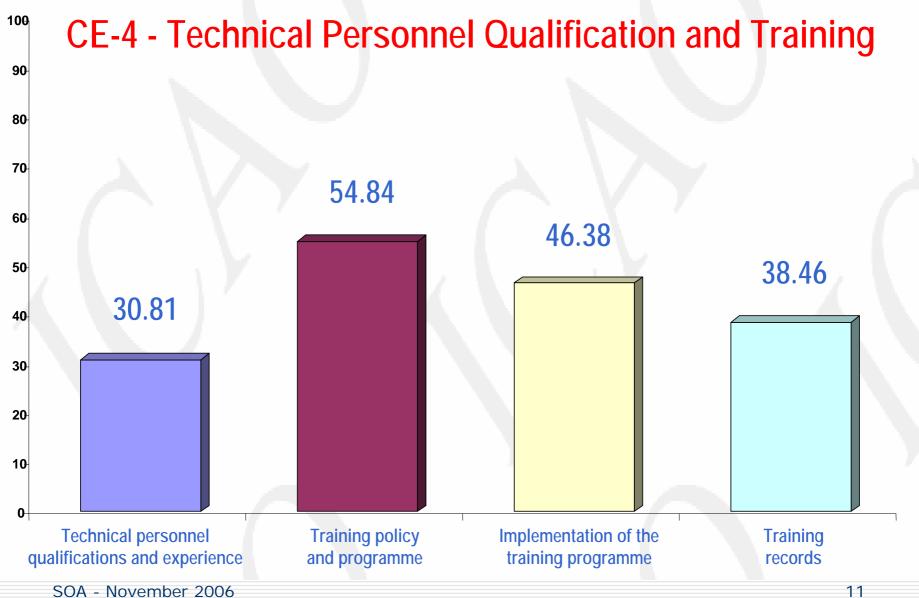16%
6%
10%
14%
19%
13%
20%

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.
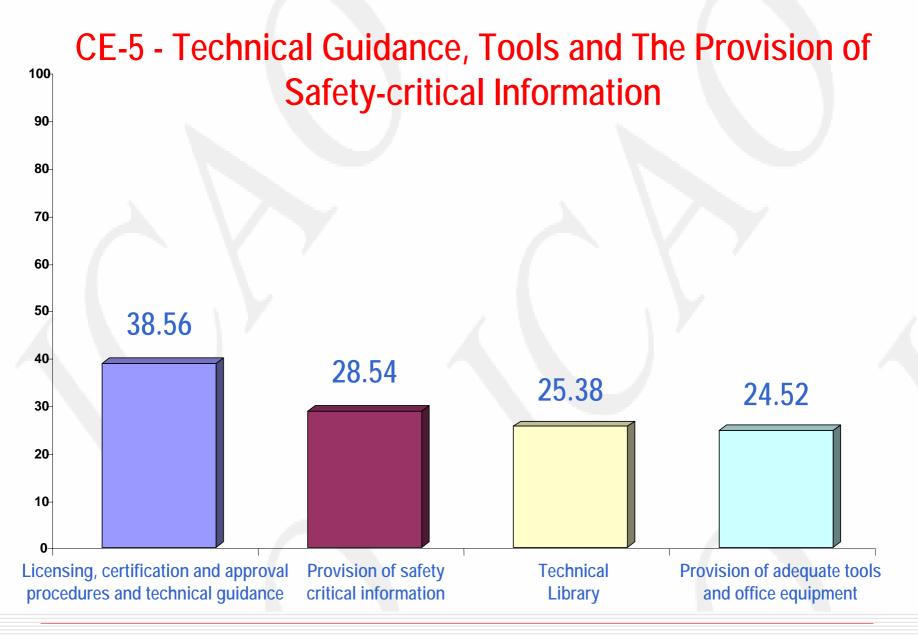
CE-1 - Primary Aviation Legislation

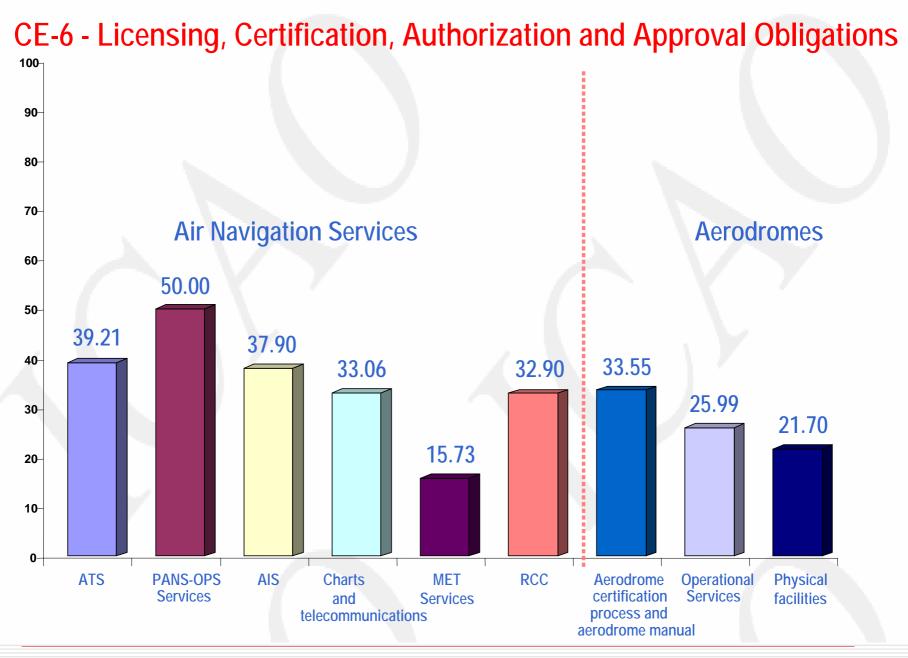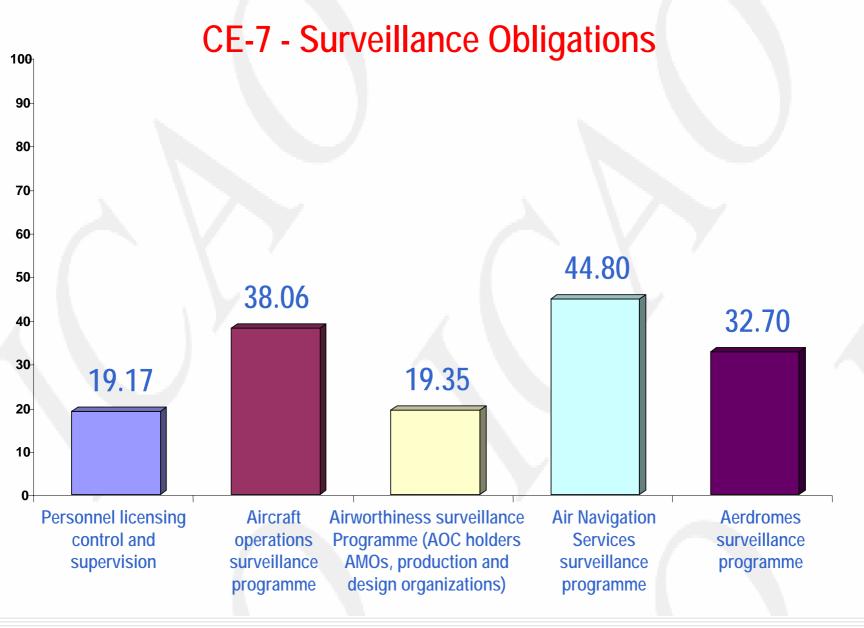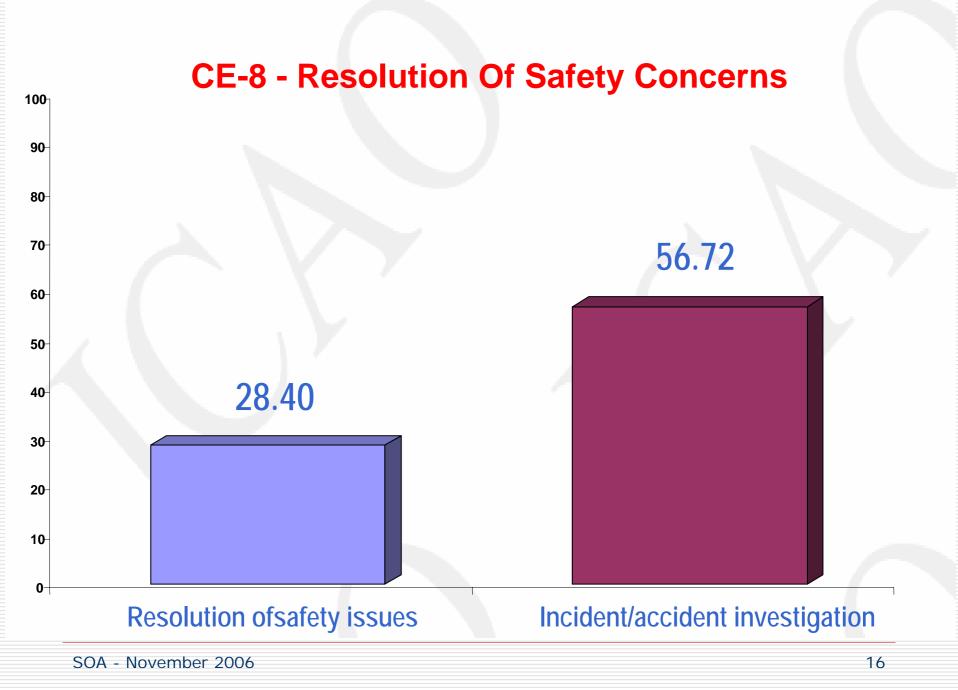# CE-2 - Specific Operating Regulations

CE-3 - State Civil Aviation System and Safety Oversight Functions

CE-4 - Technical Personnel Qualification and Training

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

CE-6 - Licensing, Certification, Authorization and Approval Obligations

Personnel Licensing and Training

Aircraft Operations and Dangerous Goods

Airworthiness

Licensing process and validation of licenses	Medical assessment	ATO Certification	Inspection prior to certification	Dangerous goods	Continuing Airworthiness	States of Design	States of Manufacture
20.70	21.51	18.43	29.14	35.19	25.68	1.08	0.00

CE-6 - Licensing, Certification, Authorization and Approval Obligations

Air Navigation Services

Aerodromes

- ATS: 39.21
- PANS-OPS Services: 50.00
- AIS: 37.90
- Charts and telecommunications: 33.06
- MET Services: 15.73
- RCC: 32.90
- Aerodrome certification process and aerodrome manual: 33.55
- Operational Services: 25.99
- Physical facilities: 21.70

CE-7 - Surveillance Obligations

CE-8 - Resolution Of Safety Concerns

Review

- 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

Safety Oversight Audit Section

Thank you!