



International Civil Aviation Organization

**FOURTEENTH MEETING OF THE
ASIA/PACIFIC AIR NAVIGATION PLANNING AND
IMPLEMENTATION REGIONAL GROUP (APANPIRG/14)
Bangkok, Thailand, 4 to 8 August 2003**

Agenda Item 2.4: Other Air Navigation Matters

**PROGRESS REPORT ON THE PREPARATORY WORK FOR THE CONDUCT
OF AUDITS IN THE AREAS OF EXPANSION**

(Presented by the Secretariat)

SUMMARY

This paper contains a progress report on the preparatory work for the conduct of audits in the areas of expansion. It provides information on the work which has already been completed and on the progress made in the other work areas.

Action by APANPIRG is proposed at paragraph 5.

1. INTRODUCTION

1.1 On 10 March 2003, the Council was presented with an action plan for the expansion of the ICAO Universal Safety Oversight Audit Programme (USOAP) to Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*. The Council, inter alia, noted the methodology proposed for the conduct of the audits. It further noted the work in progress towards the adoption of a more comprehensive approach to conduct safety oversight audits in the future, and provided guidance to the Secretariat. This paper presents a progress report on the preparatory work for the conduct of safety oversight audits in the areas of expansion scheduled for 2004. It contains information on work already completed and on work in progress.

2. WORK COMPLETED

2.1 The preparatory work has focussed initially on the development of the relevant auditing documentation, including the pre-audit questionnaires, audit protocols, auditors' training courses and related guidance material. The pre-audit questionnaire will be an essential auditing tool, designed to solicit relevant information required for audit scheduling and planning purposes, as well as to provide a user-friendly format for States to ascertain the status of implementation of Standards and Recommended Practices (SARPs) in their national framework and to identify any difference which may exist between their national regulations and relevant Annex provisions. The pre-audit questionnaire will be comprised of three parts:

- a) Part I: questions soliciting information on the organizational establishment of the relevant entities responsible for the control and supervision of the audit areas in the State;
- b) Part II: questions soliciting information on the level of aviation activities in relation to the audit areas in the State; and
- c) Part III: tables setting forth each Annex provision whereby States will be asked to identify their level of compliance with the SARPs and to provide the national legislative reference, where applicable.

2.2 The pre-audit questionnaire, called State Aviation Activity Questionnaire (SAAQ) has been prepared and dispatched to all Contracting States on 30 May 2003. Furthermore, the electronic format (Web-based) is available on Safety Oversight Audit Section's web page of the ICAO-Net to facilitate States to submit their response online to enable ICAO to conduct a thorough review for use in the planning and scheduling of audits. All information provided by States will be subject to verification during the actual audit.

2.3 After the initial submission of a completed SAAQ, the Contracting States are also requested to forward information of any change (administrative, regulatory and technical) that may have occurred since the last update was forwarded to ICAO in order to maintain the most current information on the State's civil aviation activities, regardless of whether the State has been audited or is awaiting an audit in the future. The SAAQ also solicits information on regulatory and legislative elements that were addressed during the initial ICAO safety oversight audits covering Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft* and Annex 8 — *Airworthiness of Aircraft*. This was found necessary to ensure a comprehensive approach to information collected and stored in ICAO databases and also to cover all regulations pertaining to the audit areas.

2.4 A memorandum of understanding (MOU) relating to the conduct of audits in the areas of the expansion has been prepared and was approved by the Council on 6 June 2003 (C169/10). The MOU is similar to the one that applied during the initial safety oversight audits and has been updated to incorporate some of the elements contained in the MOU developed for the Universal Security Audit Programme (USAP).

3. WORK IN PROGRESS

3.1 Work relating to the development of the compliance checklist and protocols continues. The compliance checklist will consist of all the Annex provisions in the relevant audit areas set into a table which will enable the Contracting States to cross-check the implementation status of each Annex provision in their national regulations and to indicate in which part of their national regulations a specific Annex provision is provided for. This checklist will also enable the Contracting States to identify differences that may exist between the national regulations and the relevant ICAO Annex provisions. This will make it easier for the States to meet their obligation under Article 38 of the *Convention on International Civil Aviation*, while providing ICAO the opportunity to assess the level of implementation and also to identify specific provisions against which a higher number of differences are being filed.

3.2 The draft audit protocols have been prepared and are currently under review by the appropriate Air Navigation Bureau sections, after which they will be translated and forwarded to all the Contracting States as soon as practicable. The protocols will be forwarded to the States scheduled for an audit at least six months prior to the commencement of the audit.

3.3 Doc 9734, Part A — *The Establishment and Management of a State's Safety Oversight System* will be updated as soon as the development of the draft audit protocols is completed and in parallel with the development of the audit training courses. It is to be noted that, on the advice of the Commission, the Secretariat will also develop guidance material for the establishment of regional or group of States safety oversight system. The resulting manual will be known as *Safety Oversight Manual*, Part B — *The Development and Management of Regional Safety Oversight Systems*, and is expected to be published in early 2004.

4. **FINANCING THE EXPANSION TO ANNEX 13**

4.1 The Council also addressed financing the expansion of USOAP to Annex 13. In this regard, it is to be recalled that the Council noted the need to secure the utilization of funds-in-trust remaining from the voluntary safety oversight assessment programme in order to finance the preparatory work and the initiation of audits pertaining to Annex 13. However, not all the funds-in-trust were made available by the States concerned, making it necessary to find an alternative source of financing. Consequently, it was proposed that the remaining amount, estimated at US\$ 85 000, be covered by the funds received under Assembly Resolution A33-27: Incentives for the settlement of long-standing arrears. The Council, on 6 June 2003, authorized the use of these funds to finance the expansion of the USOAP to Annex 13 as a new and unforeseen project related to aviation safety.

5. **ACTION BY APANPIRG**

5.1 The meeting is invited to:

- a) note the progress of the preparatory work for conduct of audits for Annex 11, 13 and 14; and
- b) call upon States to initiate follow-up action for responding to USOAP requirements for the conduct of audits in the areas of expansion.

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