



Agenda Item 4: Aviation Safety Matters
4.2 ICAO Universal Safety Oversight Audit Programme (USOAP)

PROGRESS REPORT ON ICAO USOAP ACTIVITIES IN THE C/CAR REGION

(Presented by the Secretariat)

SUMMARY

This working paper presents a progress report on the safety audit activities of the ICAO Universal Safety Oversight Audit Programme (USOAP) in the C/CAR Region.

The progress report on the global activities of the USOAP may be found at Appendix A. In order to provide a tool to measure the programme performance, the progress report aligns the relevant strategic objectives and expected outputs from the Organization's Business Plan with the implementation summary for the audit programme.

Besides providing an update on the implementation of the audit programme, this paper also contains information on other relevant developments.

Overall, the audit programme is being implemented on target, on budget and consistent with Assembly and Council directions.

References:

- Doc 9902, Assembly Resolutions in Force (as of 28 September 2007).
- Doc 7300, Convention on International Civil Aviation
- C-WP/13298 and C-DEC 186/5
- NACC/DCA/3 Report
- C/CAR/DCA/9 Report

**Strategic
Objectives**

This working paper relates to Strategic Objective A: Safety – Enhance global civil aviation safety.

1. Introduction

1.1 This paper provides an overview of the progress and results of the ICAO Universal Safety Oversight Audit Programme (USOAP) safety oversight audits for the States in the Central Caribbean Region.

2. Background

2.1 Assembly Resolution A35-6 resolved that the USOAP be expanded, from 1 January 2005, to include the safety related provisions contained in all safety-related Annexes to the Convention on International Civil Aviation (Doc 7300), and instructed the Secretary General to adopt a comprehensive systems approach (CSA) in conducting safety oversight audits in all Contracting States. In addition, Assembly Resolution A36-4 directed the Council to examine the feasibility, among the various options that could be considered, of a new approach based on the concept of continuous monitoring to be implemented at the end of the current audit cycle in 2010.

2.2 In order to address the implementation of the audit programme and provide Council with a tool to measure performance, progress is reported by aligning the programme's implementation with its strategic objectives and expected outputs, as contained in the Organization's Business Plan. The progress report on the global activities of the USOAP from 1 May to 31 December 2008 may be found at **Appendix A**.

2.3 Pursuant to the recommendations made by the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06), all audited Contracting States have now given their consent to ICAO for the release of audit information from either the initial audit cycle or the current cycle under the comprehensive systems approach.

2.4 During its 179th Session, the Council approved the mechanism to deal with Significant Safety Concerns (SSC) identified during the conduct of safety oversight audits under the comprehensive systems approach. The approved mechanism calls for unresolved Significant Safety Concerns to be made available to all Contracting States through posting on the secure website of ICAO (<http://soa.icao.int>). No States of the C/CAR Region have been identified due to Significant Safety Concerns.

2.5 The USOAP is being implemented on schedule and within the budget allocation. Audits conducted under the USOAP comprehensive systems approach continue to increase States' awareness of their safety oversight and responsibilities.

3. Progress in the C/CAR Region

3.1 The following table provides an overview of the progress of the USOAP in the C/CAR States in relation to State completion of State Aviation Activity Questionnaires (SAAQ) and Compliance Checklists (CC), preparation of Corrective Action Plans (CAP), and consent to post safety oversight audit results on the ICAO Flight Safety Information Exchange (FSIX), with reference to the ICAO audit dates and final audit report publication.

CSA Audits	Bahamas	Cuba	Dominican Republic	Jamaica	Haiti
Audit dates	9 – 16 February 2009	19 – 28 February 2008	13 – 22 January 2009	24 Oct – 1 Nov 2007	End 2010
SAAQ	Yes	Yes	Yes	Yes	Yes
CC	Yes	Yes	Yes	Yes	Yes
Audit report	Final report not published	Final report published	Final report not published	Final report published	N/A
Consent for publication on FSIX	Pending	Chart only	Chart only	Chart only	Pending
CAP	N/A	Yes	N/A	Yes	N/A

3.2 It can be noted that Cuba and Jamaica have completed the audit process and are presently implementing their corrective action plans. Bahamas and Dominican Republic have been audited and the ICAO final audit report and State corrective action plans are currently being prepared. Haiti has not been audited yet due to the United Nations security phase in effect. However, a tentative schedule includes for Haiti to be audited by the end of 2010.

3.3 In relation to transparency and the consent by States to post their safety oversight audit results on the ICAO Flight Safety Information Exchange (FSIX), it is noted that Bahamas has not yet given its consent and Cuba, Dominican Republic and Jamaica have only given consent for the audit result chart to be posted, but not the safety oversight audit reports.

4. Results in the C/CAR Region

4.1 The chart in **Appendix B** presents the audit results for C/CAR States compared to the average global results. The results show that C/CAR States, as a group, reflect a greater percentage of lack of effective implementation (46%) than the global average (42%), overall and in each critical element (CE), except for CE1 - primary aviation legislation and CE6 - licensing and certification obligations. The critical elements in which C/CAR States as a group have the greatest percentage of lack of effective implementation are the following:

- CE4 – Qualification and Training of Technical Staff – 70%
- CE3 – Civil Aviation System and Safety Oversight Functions – 60%
- CE8 – Resolution of Safety Concerns – 55%
- CE5 – Procedures and Technical Guidance – 54%

4.2 At the Ninth Meeting of Directors of Civil Aviation of the Central Caribbean (C/CAR/DCA/9), which was held in Aruba from 9 to 12 July 2007, C/CAR DCAs adopted the following conclusion:

CONCLUSION 9/6 *SUPPORT FOR THE IMPLEMENTATION OF USOAP AUDITS FOR THE 2007 – 2008 CYCLE*

C/CAR States/Territories are urged to:

- a) continue supporting the implementation of USOAP in accordance with ICAO Strategic Objective A-3;*
- b) take into consideration findings related to the global application of the Eight Critical Elements of the Comprehensive System Approach (CSA) presented in Appendices A and B to this part of the Report; and*
- c) take appropriate measures to correct deficiencies detected in these audits.*

The above conclusion has now been superseded by time and events, however item c) remains applicable.

5. Conclusion

5.1 The ICAO USOAP audit results demonstrate that the C/CAR States need to improve their safety oversight systems in several critical elements. The areas in which corrective actions are required are those where the following bodies are able to provide effective assistance to States:

- Regional Safety Oversight Organization (RSOO) corresponding to each State, i.e. the Caribbean Aviation Safety and Security Oversight System (CASSOS) for Jamaica and Haiti, and the Regional Safety Oversight System (SRVSOP) for Cuba;
- Regional Aviation Safety Group – Pan America (RASG-PA) for all C/CAR States, and
- ICAO Regional Office.

5.2 This assistance can be in the following forms:

- Experts to conduct educational events for staff training
- Experts to support safety oversight activities
- Experts to prepare corrective action plans
- Experts to develop procedures and guidance documentation

5.3 The options available to C/CAR States to request the above assistance from ICAO include the following:

- ICAO NACC Regional Office
- ICAO Technical Cooperation programme
- ICAO International Financial Facility For Aviation Safety (IFFAS)
- ICAO Implementation Support and Development Section (part of ICAO USOAP)

5.4 C/CAR States are encouraged to request assistance from ICAO, RASG-PA, CASSOS and SRVSOP to improve their national safety oversight systems, resolution of audit findings, preparation and implementation of corrective action plans, and the provision of training for staff, and development of documentation.

6. Suggested Action

6.1 The Meeting is invited to review the content of this paper and consider adopting the following draft conclusion:

DRAFT

CONCLUSION 10/X

IMPROVEMENT OF SAFETY OVERSIGHT SYSTEMS

That;

- a) Haiti, which has not been audited yet, should update the compliance checklist prior to the audit scheduled in 2010;
- b) Bahamas and Dominican Republic, that have been audited but the final report has not yet been published, should update their compliance checklists before the final report is published;
- c) Bahamas and Dominican Republic, that are developing their corrective action plans, should address all the concerns raised in each audit finding indicating the short term and long term corrective action proposed;
- d) C/CAR States should seek assistance from ICAO, RASG-PA, CASSOS and/or SRVSOP to improve their safety oversight systems, including the resolution of audit findings, preparation and implementation of corrective action plans, and the provision of training for staff, and development of procedures and guidance documentation;
- e) the ICAO NACC Regional Office, once the USOAP CSA audit cycle has been completed, conduct an analysis of the results of audits conducted in the C/CAR States, and submit a report to States indicating the probable reasons and possible solutions for the lack of implementation of the eight critical elements of a safety oversight system; and
- f) Bahamas should provide its consent to publish the safety oversight audit results on the ICAO Flight Safety Information Exchange (FSIX).

APPENDIX A

PROGRESS REPORT ON ICAO AUDIT ACTIVITIES: USOAP

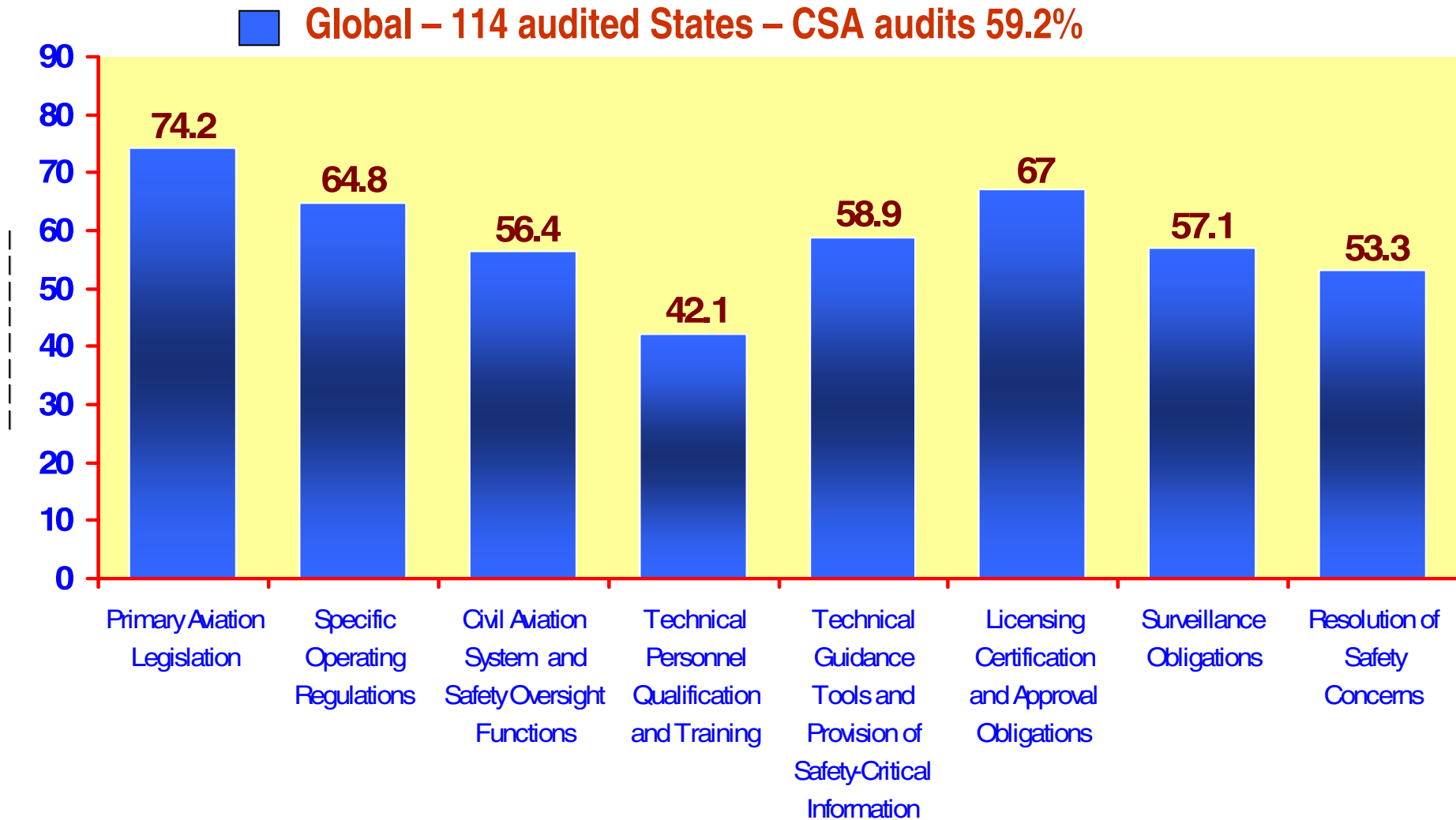
Expected output	Progress as of 31 December 2008
<p>1. Evaluation of the level of States' safety oversight capabilities through regular and comprehensive audits.</p>	<p>1.1 Twenty-four safety oversight audits were conducted during the reporting period, bringing the total number of audits to 114, including the audit of the European Aviation Safety Agency (EASA), which has been audited twice. A total of forty-one audits are planned for 2009.</p> <p>1.2 The programme remains on course to complete the audits of all Contracting States within the six-year cycle ending in 2010.</p> <p>1.3 Audits have been scheduled to the end of 2010. The activity plan was distributed by Electronic Bulletin EB 2008/005 in February 2008, and is available on the ICAO-Net.</p> <p>1.4 179 State Aviation Activity Questionnaires (SAAQs) have been received and reviewed.</p> <p>1.5 155 Contracting States have submitted Compliance Checklists (CCs), identifying levels of implementation of ICAO Annex provisions, and these are regularly reviewed.</p> <p>1.6 Use of the dedicated secure website (http://www.icaosoa.ca/soamain) developed for the submission and updating by States of the SAAQs and CCs and for the dissemination of audit reports and related information to States, continued to increase during the reporting period. The website now has more than 700 users, with monthly log-on rates averaging well over 3 000. This application has proven to be a very useful and effective tool for the submission and dissemination of safety oversight audit-related information.</p> <p>1.7 Twenty-four final safety oversight audit reports were completed and posted on the Safety Oversight Audit Section (SOA) secure website during the reporting period, bringing the total number of reports published on the SOA secure website to eighty-three.</p> <p>1.8 Seven Contracting States with Significant Safety Concerns (SSCs) are currently posted on the ICAO secure website. In addition to these, four Contracting States were able to implement immediate corrective actions to address SSCs that were identified by ICAO safety oversight audits, effectively resolving safety concerns in the areas of registration of aircraft, issuance of air operator certificates and air navigation services.</p>
<p>2. Evaluation of the progress made by States on the level of implementation of the eight critical elements of a safety oversight system.</p>	<p>2.1 States have sixty calendar days from the date the interim safety oversight audit report is made available to them to submit a corrective action plan addressing the findings and recommendations contained in the report. As of 31 December 2008, all corrective action plans due had been received, reviewed, and included in the final safety oversight audit reports provided to States.</p>

Expected output	Progress as of 31 December 2008
3. Comprehensive analysis and reporting of audit results at State, regional and global levels.	<p>3.1 Audit results from the first 114 audits conducted under the comprehensive systems approach have been analyzed to establish the degree of implementation of the eight critical elements (CE) of a safety oversight system (Doc 9734, Part A refers).</p> <p>3.2 The Attachment to this Appendix shows that, as of 31 December 2008, the global degree of implementation of the eight CEs was 59.2 per cent. One of the critical elements, namely CE-4 –<i>Technical personnel qualification and training</i>, shows a degree of implementation below 50 per cent (42.1 per cent).</p> <p>3.3 A new edition of the <i>USOAP – Comprehensive Systems Approach (CSA) – Analysis of Audit Results</i> document, covering the period April 2005 to December 2008, will be released during the first quarter of 2009.</p>
4. Application of harmonized, objective and consistent criteria for evaluating States' safety oversight capabilities.	<p>4.1 The SOA Section was originally certified under ISO 9001:2000 requirements in 2002. The systems and procedures established by ICAO for the administration of the USOAP have been recertified ISO 9001-2000 compliant by Moody Certification of North America (MCNA).</p> <p>4.2 This latest ISO certification was extended in October 2008 to SSA and covers the preparation, conduct and reporting of safety oversight audits, auditor training, seminars and other key activities of the Branch.</p> <p>4.3 Audited States submit feedback forms that provide for the continuous improvement of the USOAP. As of 31 December 2008, fifty-one audit feedback forms had been received and reviewed, indicating a very high satisfaction rate.</p> <p>4.4 USOAP team leaders and members are also asked to submit mission reports to provide feedback on technical and administrative aspects of the audit process. This feedback is reviewed regularly in order to improve the safety oversight audit process.</p>
5. Evaluation of the adequacy and sufficiency of ICAO SARPs and guidance material.	<p>5.1 The audit results are regularly shared with all relevant Sections and Bureaux responsible for reviewing and developing ICAO Standards and Recommended Practices (SARPs) and guidance material.</p> <p>5.2 The online application for the submission of SAAQs and CCs also enables the Secretariat to perform analysis, as required, in order to determine the adequacy and sufficiency of ICAO SARPs and guidance material.</p>

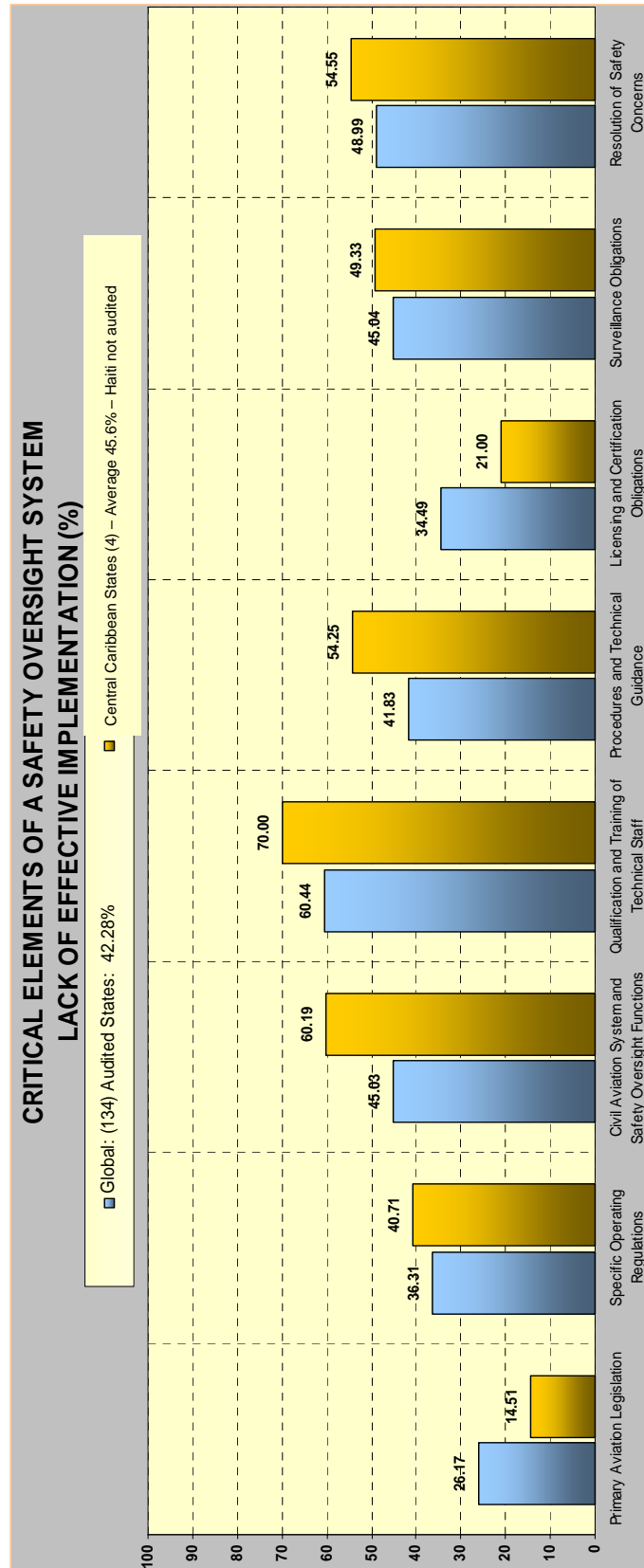
Expected output	Progress as of 31 December 2008
6. Seminars and training to support implementation.	<p>6.1 Four seminars on the preparation, conduct and reporting of an ICAO safety oversight audit were conducted during the reporting period. Since the start of the comprehensive systems approach in 2005, a total of fourteen such seminars have been delivered, two of them at the request of Contracting States, on a cost-recovery basis. In all, 647 officials from sixty-eight States and six international organizations have participated in these seminars.</p> <p>6.2 One safety oversight auditor training course was conducted during the reporting period, at ICAO Headquarters in Montreal in December 2008. In all, a total of fourteen such courses have been conducted, with 292 participants, including seventy-six ICAO officers from Headquarters and the Regional Offices.</p> <p>6.3 A total of seventy auditors (from ICAO Headquarters, Regional Offices, Contracting States and international organizations) have been approved.</p> <p>6.4 Participants in auditor training courses and seminars/workshops are also requested to complete feedback forms. Overall, the feedback indicates that the objectives established for these learning activities have been achieved and that the expectations of the participants have been met.</p>
7. Establishment of appropriate cooperative arrangements with international and regional entities to ensure efficiency and best use of resources.	<p>7.1 The USOAP continues to coordinate its activities with the audit programmes of other organizations with which Memoranda of Cooperation have been signed, including the European Aviation Safety Agency (EASA), EUROCONTROL, the International Air Transport Association (IATA) and the Interstate Aviation Committee (MAK).</p> <p>7.2 An agreement has also been reached between USOAP and the European Commission (EC) to establish a procedure for the exchange of information related to safety oversight, including access to the EC Safety Assessment of Foreign Aircraft (SAFA) database.</p>
8. Preparatory work for the application of a new approach based on the concept of continuous monitoring.	<p>8.1 In accordance with the direction given by the 36th Session of the Assembly, the Secretariat has worked on a study to examine various options that could be considered for the evolution of the USOAP beyond 2010. The study will propose a series of recommendations for an enhanced allocation of ICAO's human, technical and financial resources. The results of this study, including recommendations, will be presented to the Council during the 187th Session.</p>

Attachment to Appendix A - USOAP

ICAO Universal Safety Oversight Audit Programme Degree of Implementation of the Critical Elements of a Safety Oversight System (%)



APPENDIX B



— END —