

Agenda Item 3: **Safety Oversight**
 3.1 USOAP

(Presented by the Secretariat)

<p style="text-align: center;">SUMMARY</p> <p>The ICAO Universal Safety Oversight Audit Programme (USOAP) and the Universal Security Audit Programme (USAP) were integrated administratively in August 2006 into a single audit entity, the Safety and Security Audits Branch (SSA), within the Office of the Secretary General. Progress reports on the activities of USOAP and USAP are presented to the Council every other Session and were most recently presented during the 36th Session of the ICAO Assembly. In the interest of efficiency and in order to present a full picture on ICAO's audit activities, reports on the implementation of both audit programmes are presented in this consolidated report.</p> <p>The progress report on the activities of the USOAP is presented in the Appendix to this working paper. In order to provide the Council with a tool to measure Programme performance, these progress reports are presented in such a way so as to align the relevant strategic objectives and expected outputs from the Organization's Business Plan with the implementation summary for each Programme.</p> <p>This paper also provides an update on signed consent forms received from Contracting States for the release of USOAP audit information and updates the status of the discussions regarding the introduction of a limited level of transparency with respect to USOAP audit results.</p> <p>Overall, both audit Programmes are being implemented on target, on budget and consistent with Assembly and Council directions.</p>	
<i>References:</i>	<i>Resolutions Adopted at the 36th Session of the Assembly – Provisional Edition (September 2007)</i>
<i>Strategic Objectives:</i>	This working paper relates to Strategic Objectives A: <i>Safety – Enhance global civil aviation safety and Key Activity A3.</i>

1. Introduction

1.1 The last comprehensive progress report on the USOAP was presented during the 36th Session of the Assembly. In line with the administrative integration of the two audit programmes into one Safety and Security Audits (SSA) Branch, and further to recent direction of the Council, this paper provides a consolidated report on the activities for the USOAP. The reporting period for this progress report is 1 August 2007 to 30 April 2008.

2. Background

2.1 Assembly Resolution A35-6 resolved that the ICAO USOAP be expanded to include the safety-related provisions contained in all safety-related Annexes to the *Convention on International Civil Aviation* (Doc 7300) from 1 January 2005, and instructed the Secretary General to adopt a comprehensive systems approach in conducting safety oversight audits in all Contracting States. 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.

3. PROGRESS ACHIEVED BY USOAP ON STRATEGIC OBJECTIVE A: SAFETY – ENHANCE GLOBAL CIVIL AVIATION SAFETY

3.1 In order to address the implementation of the audit Programmes and provide the Council with a tool to measure performance, progress is reported by aligning programme implementation with their respective strategic objectives and expected outputs, as contained in the Organization's Business Plan. The progress report on the activities of the USOAP is shown in the **Appendix** to this working paper.

4. Transparency

4.1 USOAP

4.1.1 Pursuant to the recommendations made by the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06), an ICAO news release was issued on 28 March 2008, providing the names of the six States which had not given their consent to ICAO for the release of audit information. Since this news release, three more States, namely Iran (Islamic Republic of), Swaziland and Zimbabwe have provided their consent, while Kazakhstan, Kiribati and Sierra Leone have yet to do so.

5. Suggested action

The meeting recommends to the North American, Central American and Caribbean Directors of Civil Aviation, and especially those States scheduled for audit in 2008 and 2009 to:

- a) take note of the information provided in this working paper; and
- b) use the information provided in the Appendix to this working paper and especially the graph depicting the percentage of deficiencies and the lack of implementation in the eight critical elements of the audits conducted, in preparation for the audits under Comprehensive System Audit (CSA).

APPENDIX

PROGRESS REPORT ON ICAO AUDIT ACTIVITIES: USOAP

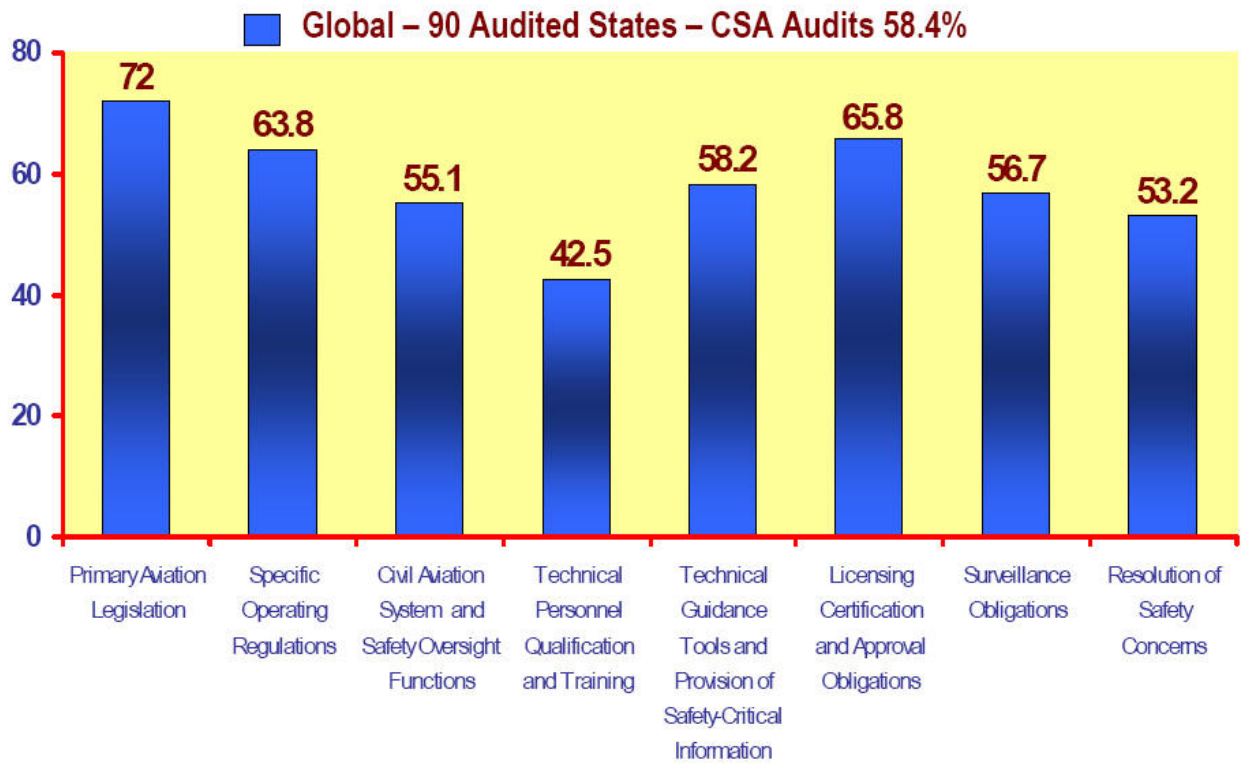
Expected output	Progress as of 30 April 2008
<p>1. Evaluation of the level of States' safety oversight capabilities through regular and comprehensive audits.</p>	<p>1.1 Twenty-nine audits were conducted during the reporting period, bringing the total number of audits to ninety, including the audit of the European Aviation Safety Agency (EASA), which has been audited twice. A total of forty-one audits are planned for 2008.</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 2009. The activity plan was distributed by Electronic Bulletin EB 2008/005 in February 2008, and is available on the ICAO-NET.</p> <p>1.4 157 States Aviation Activity Questionnaires (SAAQs) had been received and reviewed.</p> <p>1.5 131 Contracting States have submitted Compliance Checklists (CCs), identifying levels of implementation of ICAO Annex provisions and these are regularly reviewed.</p> <p>1.6 A dedicated secure website (http://www.icaosoa.ca/soamain) was 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. States continue to make use of, and benefit from, the dedicated secure website for the completion of these audit tools and the distribution of audit reports and results, with monthly logon rates averaging 3 000. This application has approximately 700 users and has proven to be a very useful and effective tool for the submission and dissemination of safety oversight audit-related information. It is also widely used by the ICAO Secretariat for the purpose of performing analysis, as required.</p> <p>1.7 Twenty-eight final safety oversight audit reports were completed and posted on the SOA secure website during the reporting period, bringing the total number of reports published on the SOA secure website to fifty-six.</p> <p>1.8 Six Contracting States have been identified as having significant safety concerns and details of these concerns have been published on the SOA secure website. The Secretariat is in continuous communication with these States in order to monitor</p>

Expected output	Progress as of 30 April 2008
	<p>their progress in resolving these significant safety concerns. Coordination in this regard is carried out with the Implementation Support and Development (ISD) Programme/Safety Section and Technical Cooperation Bureau (TCB), as appropriate.</p> <p>1.9 Two additional States have been notified that they have significant safety concerns and have been given a deadline to submit an acceptable action plan, barring which the significant safety concerns will be posted on the SOA secure website.</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 30 April 2008, all corrective action plans due had been received, reviewed, and included as part of the final safety oversight audit report provided to States.</p> <p>2.2 Six States have been referred to the Audit Results Review Board (ARRB) during the reporting period. Further details on the work of the ARRB are contained in C-WP/13107, Appendix C.</p>
<p>3. Comprehensive analysis and reporting of audit results on State, regional and global levels.</p>	<p>3.1 Audit results from the first ninety 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 30 April 2008, the global degree of implementation of the eight critical elements was 58.4 per cent. One of the critical elements, namely CE-4 – <i>Technical personnel qualification and training</i>, has shown a degree of implementation below 50 per cent (42.5 per cent).</p> <p>3.3 A separate document entitled <i>USOAP – Comprehensive Systems Approach (CSA) – Analysis of Audit Results</i>, covering the period April 2005 to May 2007, was distributed during the 36th Session of the Assembly and is available on the ICAO-Net. This document provides detailed information and analysis of the audit results, including the degree of implementation of the critical elements, the status of States' compliance with ICAO SARPs and the areas of concern identified. The information will be updated annually.</p>
<p>4. Application of harmonized, objective and consistent criteria for evaluating States' safety</p>	<p>4.1 The Safety Oversight Audit Section was originally certified by AOQC Moody International under ISO 9001:2000 requirements in 2002, and recertified for</p>

Expected output	Progress as of 30 April 2008
oversight capabilities.	<p>another three years in 2005.</p> <p>4.2 A further audit was conducted in December 2007 by AOQC Moody International, resulting in the certification of the SSA Branch Office and the Audit Coordination and Reporting (ACR) Section. Maintenance audits will be carried out on a yearly basis, with recertification audits being conducted every three years.</p> <p>4.3 Contracting States that are audited are encouraged to submit feedback forms that provide for the continuous improvement of the USOAP. As of 30 April 2008, forty-one audit feedback forms had been received and reviewed, indicating a very high satisfaction rate.</p> <p>4.4 All USOAP team leaders and members are similarly asked to submit mission reports that provide feedback on technical and administrative aspects of the audit process. This feedback has revealed a high degree of satisfaction, while comments and recommendations received have been reviewed 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, as contained in the <i>USOAP Comprehensive Systems Approach (CSA) – Analysis of Audit Results</i> document, are regularly shared with all relevant Sections and Bureaux responsible for reviewing and develop SARPs and ICAO guidance material.</p> <p>5.2 The on-line 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>
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. A total of eight such seminars have been delivered, four of them at the request of Contracting States, on a cost-recovery basis. In all, 427 officials from sixty-two States and six international organizations have participated in those seminars.</p> <p>6.2 Two safety oversight auditor training courses were conducted during the reporting period, at the ICAO Regional Offices in Mexico City and Nairobi.</p> <p>6.3 A total of thirteen such courses have been conducted, with 264 participants, including sixty-four ICAO officers from Headquarters and the Regional Offices.</p> <p>6.4 A total of seventy-one auditors (from ICAO</p>

Expected output	Progress as of 30 April 2008
	<p>Headquarters, Regional Offices, Contracting States and international organizations) have been approved.</p> <p>6.5 Most participants in auditor training courses and seminar/workshops have completed feedback forms. These forms have revealed that the large majority of participants found that the seminars and courses were useful and met their expectations. The feedback received also indicates that the objectives established for these learning activities have been achieved.</p> <p>6.6 With the tenure of some of the initial long-term seconded officials coming to an end, State letter SS 1/4-07/65 was issued in September 2007, requesting States to nominate experts for secondment to ICAO. Nominations have been received and reviewed and a number of experts will be joining ICAO over the next few months.</p>
<p>7. Establishment of appropriate cooperative arrangements with international and regional entities to ensure efficiencies and best use of resources.</p>	<p>7.1 To foster coordination and cooperation between the ICAO USOAP and audit programmes of other organizations related to aviation safety, signed Memoranda of Cooperation (MoCs) continue to be implemented with:</p> <ul style="list-style-type: none"> - European Aviation Safety Agency (EASA); - EUROCONTROL; - International Air Transport Association (IATA); and - Interstate Aviation Committee (MAK). <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>
<p>8. Preparatory work for the application of a new approach based on the concept of continuous monitoring.</p>	<p>8.1 In accordance with the direction given by the 36th Session of the Assembly, the Secretariat has begun to prepare a study to examine the feasibility of, among other options that may be considered, a new approach to auditing based on the concept of continuous monitoring. The approach adopted will be implemented at the end of the current audit cycle in 2010.</p> <p>8.2 Testing of various project management and data collection software has been conducted, in coordination with ICT, in order to identify the web-based application that could be used throughout the organization in order to centralize safety-related data.</p>

Degree of Implementation of the Critical Elements of a Safety Oversight System (%)



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