

INTERNATIONAL CIVIL AVIATION ORGANIZATION

Eighth Meeting of Civil Aviation Authorities of the SAM Region (RAAC/8)

(Buenos Aires, Argentina, 23 - 25 April 2003)

Agenda Item 3: Regional Safety Oversight Co-operation System

(presented by the Secretariat)

Summary

This working paper presents the activities carried out by ICAO for the expansion of the USOAP to cover Annexes 11, 13, and 14 to the Chicago Convention. It also presents the progress made since the RAAC/5 meeting regarding the establishment of a Regional Safety Oversight System in South America, based on Regional Project RLA/99/901 related to the implementation of said system, and the work programme adopted to provide assistance to the participating States to meet their security needs.

References:

Report of the RAAC/5 meeting
Assembly Resolution A33-8
Assembly Resolution A29-3
ICAO Permanent Council working paper C-WP/11749
RLA/99/901 Project document
Report of the Seventh Ordinary Meeting of the General Board of the Regional System

1. Introduction

1.1 In keeping with Article 37 of the Convention on International Civil Aviation, the contracting States implicitly undertake the responsibility of accepting the international standards and recommended practices (SARPs) related to air navigation security, committing themselves to co-operate in order to achieve the highest level of uniformity possible on all matters in which such uniformity will facilitate and improve air navigation. Safety oversight standards and recommended practices have been incorporated into Annex 1 *Personnel Licensing*, Annex 6 – *Operation of Aircraft*, and Annex 8 – *Airworthiness*.

1.2 The RAAC/5 meeting held in Cusco, Peru, on 5-7 June 1996, reviewed the problems faced by SAM States regarding compliance with their safety oversight obligations, as well as the causes of the deficiencies or problems to be solved by civil aviation administrations. The review led to a fruitful exchange of opinions among the authorities, who agreed to propose a concrete action for institutional restructuring, aimed at giving safety oversight the necessary status.

1.3 The RAAC/5 also recognised that the various technical co-operation mechanisms established by ICAO to assist the States in safety oversight activities were an effective tool to assist civil aviation administrations in this field, and requested ICAO to study the feasibility of creating an agile and dynamic multinational or regional safety oversight body, with supra-national authority, to help the States fulfill their responsibilities related to the application of the ICAO standards and recommended practices, and to operate under the direct co-ordination of ICAO through its Regional Office.

1.4 At the RAAC/6 meeting, it was noted that, in response to this request, ICAO had created a working group which had made a feasibility study for the creation of a multinational safety oversight system, including the legal aspects, technical considerations, availability of personnel, operational and organisational structure, long-term viability of the system and cost of such an arrangement.

1.5 Project RLA/99/901, which was implemented subsequently, set the foundations for the development of this multinational body, with a structure similar to that of the European Joint Aviation Authorities (JAA), a body associated to the European Civil Aviation Conference (ECAC), which represents the civil aviation regulatory authorities of a number of European States who have agreed to co-operate in the development and implementation of common procedures and standards in order to establish an equivalent competitive environment in Europe. In addition, the JAA places much emphasis on the harmonisation of regulations with those of the FAA.

2. Problems identified by the ICAO Universal Safety Oversight Audit Programme (USOAP)

2.1 During its 32nd session (1998), the Assembly agreed to establish a universal safety oversight audit programme (USOAP) that included regular, obligatory, systematic and harmonised audits to determine the status of implementation, by the States, of the critical elements of the safety oversight system, and of the related standards and recommended practices and safety-related guidance material.

2.2 The universal audit programme was completed in June 2002, auditing a total of 179 States, and 5 independent territories. To date, audit follow-up missions have proven the USOAP successful. These missions have been conceived with the purpose of validating the action plan, identifying problems faced by the States in the process of implementation of corrective measures, and determining the need to resort to external assistance for solving safety problems identified in the course of the audits.

2.3 Follow-up missions are carried out only when the State concerned shows progress in the implementation of its action plan. By 31 December 2002, follow-up missions carried out totalled 67, and 62 summarised reports had been drafted and sent.

2.4 Most States that have been visited have made significant progress towards the solution of the safety problems identified by the audits and towards the establishment of an effective safety oversight system. Initial results of the follow-up audits carried out to date reveal the firm commitment of the contracting States to the implementation of the agreed action plan, noting that the average lack of effective implementation of the critical elements of the safety oversight system detected during the initial audits in 52 States had dropped from 22.7% to 8.8%. In any case, it was noted that some of the States visited had not been able to effectively apply the corrective measures plan and would need assistance to correct or mitigate safety oversight deficiencies.

2.5 Pursuant to Assembly Resolution A33-8 concerning the continuity and expansion of the ICAO universal safety oversight audit programme, the Secretariat continues conducting follow-up missions. Of the States visited, 4 belong to the SAM Region and others will be visited soon.

2.6 The audit findings and differences database (AFDD) continues to provide valuable information which can be generated in a statistical, tabular and graphic format. At present, a graph showing the status of effective implementation of the critical elements is being sent to each contracting State as an appendix to the final and summarised reports of follow-up audits. The information collected in the course of the audits and follow-up missions provide a unique opportunity to improve safety. The ICAO General Secretariat has considered that non-confidential information should be shared with the parties concerned through the appropriate media, the primary objective being the improvement and strengthening of global safety.

3. Programme expansion

3.1 The 1997 ICAO Conference of General Directors of Civil Aviation recommended the timely expansion of the ICAO Safety Oversight Programme to cover other technical sectors, including, initially, air traffic services, aerodromes and support facilities and services.

3.2 In keeping with Assembly Resolution A33-8, the USOAP, as of 2004, will be expanded to cover Annexes 11, 13 and 14. Preparatory tasks to be initiated during 2003 include, *inter alia*, training of auditors, adjustment of the audit findings and differences database (AFDD), and amendment of ICAO publications on the USOAP, such as Document 9734, *Safety oversight manual, Part A – The establishment and management of a State's safety oversight system* and Document 9735, *Safety oversight audit manual*.

3.3 The Assembly requested the Council to ensure the long-term financial viability of USOAP activities and that these be gradually incorporated into the regular programme budget. Furthermore, the Assembly requested the Secretary General to continue preparing guidance material on safety oversight for use by the States as reference manuals.

3.4 On 14 March 2002, the Council (165/11) agreed that the expansion of the USOAP to cover Annexes 11 and 14, as endorsed by the 33rd Session of the Assembly, be extended to Annex 13 in its entirety and not only its basic elements.

3.5 In preparation for the expansion of the USOAP to cover Annex 13, the ICAO General Secretariat has sent a letter to the States that had contributed with trust funds to be applied during the development of the voluntary safety oversight programme, so that those funds can be used to finance the work that would begin in 2003.

3.6 Regarding aerodrome audits, the meeting is reminded that RAAC/7 Conclusion 7/14 urged civil aviation authorities to develop, if they had not done so yet, an intensive programme to comply, as soon as possible, with Amendment 4 to Annex 14, Volume I. It also urged them to participate in the aerodrome certification training events and in the review of the Aerodrome Manuals and Safety Management Systems, so as to be ready for the aerodrome audits that will begin in 2004, and to implement Safety Management Systems at their aerodromes by 24 November 2005 in order to meet the requirements of the aforementioned amendment.

3.7 During the 168th Session of the Council the ICAO Secretary General presented the Action

Plan for the conduction of audits in the sectors subject to expansion, through C-WP/11952, paper which appears in **Appendix A** to this working paper for better reference.

4. Regional Safety Oversight Co-operation System (Project RLA/99/901)

4.1 The System was established through a memorandum of understanding between ICAO and LACAC. It was signed in the city of Montreal, on 1 October 1998. The States and/or institutions wishing to participate in the System can do so by signing an adhesion agreement, where they undertake, *inter alia*, to harmonise their safety rules and procedures among each other.

4.2 The letter of agreement on trust funds and the regional technical co-operation project (RLA/99/901) document back up the operation of the system. At present, the system is composed of the following States: Argentina, Bolivia, Brazil, Chile, Cuba, Ecuador, Panama, Paraguay, Peru. Furthermore, the adhesion of Airbus Industries and Embraer as observers under the agreed terms has been received.

5. Activities of the regional system

5.1 The system has recognised that the first step towards improving safety in the region is the establishment of harmonised rules and procedures, using clear language in its wording to facilitate compliance by air operators in the region. while improving their competitiveness *vis-à-vis* operators in other regions.

5.2 In this sense, the Regional Safety Oversight System regulations, in article 4, paragraph b), as one of the functions of the system, provide for the establishment of uniform rules and procedures in the areas of personnel licensing, operation of aircraft, and airworthiness, consistent with the relevant ICAO standards and recommended practices and related procedures and guidance texts, aimed at the harmonisation and adoption of such rules and procedures by the participating States.

5.3 The programme of system activities for the year 2002 included a task related to the definition of rules for the development of these harmonised regulations and the establishment of the clear language principle for their drafting, as well as the review of the LARs developed by project RLA/95/003, taking into account this principle. The 2003 work programme established by the General Board of the system appears in **Appendix B** to this working paper.

6. Development of Latin American aeronautical rules (LAR)

6.1 For the preparation of this harmonised set of rules and procedures, rules are being developed for the certification of international air operators, maintenance organisations, aeronautical personnel, and aeronautical personnel training centres, using common requirements and procedures.

6.2 Thus, in the future, there would be a regional environment in which international air operators would be certified under the LAR OPSs; the aircraft of these operators would receive maintenance in LAR 145-certified organisations; the personnel operating and giving maintenance to these aircraft would be LAR PEL-certified, and would have received training at a LAR CEA-certified aeronautical training centre.

7. LAR 11 - Rules for the formulation, issuance and amendment of LARs

7.1 LAR 11 was developed as a template for LAR development, taking into account their harmonisation with ICAO annexes and documents, the regulations of other States, and the existence of procedures for the issuance, modification and adoption of LARs, based on the clear language principle, and mechanisms for consultation with the industry in the States.

7.2 The system has established a consultation procedure, with focal points designated by each of the participating States, in such a way that any requirement or procedure developed by the system will be the result of the contributions of each member.

7.3 Furthermore, a strategy has been developed for the adoption of LARs. This strategy can be revised by the States in order to have viable target dates for the implementation of the new standardised requirements, thus avoiding a strong impact on the industry.

8. LAR 145 - Approved maintenance organisations

8.1 LAR 145, Maintenance Organisations, has been harmonised with FAR 145 and JAR 145 of the Joint Aviation Authorities (JAA) of the European Community; with the latest amendments to Annex 6, Operation of Aircraft, Part I, International Commercial Air Transport – Aeroplanes; Document 9760 AN/967, Airworthiness Manual - Volume I; as well as with more strict rules from other States, both in force and to be applied, that serve similar functions.

9. LAR PEL 61, 63, 65, and 67 – Personnel Licensing

9.1 LAR PEL 61, 63, 65, and 67 have been harmonised with the respective FAR of the United States Federal Aviation Administration (FAA), the corresponding JAR of the Joint Aviation Authorities (JAA) of the European Community; and Annex 1 – Ninth Edition, which includes amendment 163, using as a guide Document 9379-AN/916, Manual of procedures for the establishment and management of a State's personnel licensing system, First Edition – 1983, and some requirements of the Civil Aviation Regulations Model, published by the FAA; as well as more strict rules from other States, both in force and to be applied.

10. LAR OPS –Operation of aircraft and certification

10.1 Likewise, the LAR OPS, Operation of Aircraft and Certification, was developed based on the need to establish requirements and procedures applicable to the operation of aircraft. The LAR OPS has been harmonised with the respective FAR of the United States Federal Aviation Administration (FAA), with the corresponding JAR of the Joint Aviation Authorities (JAA) of the European Community, with Annex 6, Operation of Aircraft, Part I – Eighth Edition, with some requirements of the Civil Aviation Regulation Model published by the FAA, as well as with the regulations of other States.

11. Programme of activities of the Regional System for the year 2003

11.1 The project has also considered the establishment of collaborative inspection agreements. Within this framework, the project intends to conduct a series of Aircraft Repair Shop certification trials that will help the regional system to obtain information and experience on the logistic difficulties that a multinational team might face in the conduction of certification and inspection tasks and in the certification in

the States. Likewise, an implementation programme for a regional co-operation system to approve aircraft repairs and modifications is being developed.

12. Suggested action

12.1 The meeting is invited to take note of the information presented in this working paper and to exchange points of view in order to:

- a) take action in preparation for the audits to be carried out by ICAO in the USOAP expansion areas;
- b) support the activities of Project RLA/99/901 regarding the harmonisation of aeronautical regulations.
- c) support the actions resulting from the activities of Project RLA/99/901 for the establishment of a regional safety oversight body.
- d) adopt other actions as it may deem necessary.

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APPENDIX A
COUNCIL — 168TH SESSION

**Subject No. 14.5: Safety
oversight**

ACTION PLAN FOR THE CONDUCT OF AUDITS IN THE AREAS OF EXPANSION
(Presented by the Secretary General)

SUMMARY

This paper contains a plan of action for the conduct of audits in the areas of expansion. It provides information on the preparatory work to be undertaken (including the time-line established to that effect), the documentation to be developed and the methodology to be employed for the conduct of the audits. The paper also introduces work in progress at the Secretariat aimed at the formulation of an audit scheduling model and the conduct of comprehensive audits in the future. Action by the Council is in paragraph 4.

REFERENCES

C-WP/11912	Annex 14 — <i>Aerodromes</i>
*C-WP/11761	Annex 15 — <i>Aeronautical Information Services</i>
*C-WP/11750	<i>Resolutions Adopted at the 33rd Session of the Assembly — Provisional Edition (October 2001)</i>
*C-DEC 165/11	Doc 9734, <i>Safety Oversight Manual, Part A — The Establishment and Management of a State's Safety Oversight System</i>
C-DEC 155/10	Doc 9735, <i>Safety Oversight Audit Manual</i>
Annex 1 — <i>Personnel Licensing</i>	Doc 4444, <i>Procedures for Air Navigation Services — Air Traffic Management</i>
Annex 2 — <i>Rules of the Air</i>	
Annex 6 — <i>Operation of Aircraft</i>	
Annex 8 — <i>Airworthiness of Aircraft</i>	
Annex 10 — <i>Aeronautical Telecommunications</i>	
Annex 11 — <i>Air Traffic Services</i>	
Annex 13 — <i>Aircraft Accident and Incident Investigation</i>	
*Principal references	

1. INTRODUCTION

1.1 The 32nd Session of the Assembly directed the Council to establish the ICAO Universal Safety Oversight Audit Programme (A32-11 refers) and requested, *inter alia*, that the Programme include a systematic reporting and monitoring mechanism on the implementation of safety-related Standards and Recommended Practices (Resolving Clause 2).

1.2 The 33rd Session of the Assembly (A33-8 refers) resolved that the ICAO Universal Safety Oversight Audit Programme (USOAP) be continued and expanded to Annex 11 — *Air Traffic Services*, and Annex 14 — *Aerodromes*, as of 2004. It further instructed the Secretary General to undertake a study regarding the expansion of USOAP to other safety-related fields, and in particular, on the conduct of audits of the core elements of Annex 13 — *Aircraft Accident and Incident Investigation*, as soon as possible, without significantly increasing the cost of the expansion.

1.3 On 14 March 2002, the Council (165/11) considered C-WP/11750, which presented proposals for the expansion of USOAP to the core elements of Annex 13 and a report thereon by the Air Navigation Commission (C-WP/11761). The Council agreed, in light of the said report from the Commission, that the expansion of USOAP to Annexes 11 and 14, as endorsed by the 33rd Session of the Assembly, be further extended to include Annex 13 in its entirety and not solely its core elements.

1.4 This paper presents a plan of action for the conduct of safety oversight audits in the areas of expansion in 2004. It contains information on the preparatory work to be undertaken, the documentation to be developed and the methodology to be employed for the conduct of the audits. It also proposes criteria to determine the order in which the States should be audited. The paper also introduces work in progress at the Secretariat aimed at the formulation of an audit scheduling model and the conduct of comprehensive audits in the future.

2. PREPARATORY WORK FOR THE EXPANSION OF THE PROGRAMME

2.1 In line with Assembly Resolution A33-8 and C-DEC 165/11, USOAP will be expanded to Annexes 11, 13 and 14, as of 2004. Preparatory work for the expansion of the Programme to these areas is scheduled to commence in early 2003 and will involve a large volume of work, including the development of the requisite auditing documentation, the training of auditors, the adaptation of the Audit Findings and Differences Database (AFDD), and the amendment of existing USOAP publications (*Safety Oversight Manual, Part A — The Establishment and Management of a State's Safety Oversight System* (Doc 9734) and *Safety Oversight Audit Manual* (Doc 9735)) and internal ISO documentation applicable to the Safety Oversight Audit Section (SOA). Experience gained during the initial audit cycle pertaining to Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft* and Annex 8 — *Airworthiness of Aircraft*, will be used.

2.2 The preparatory work will focus 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.

2.3 The pre-audit questionnaire is scheduled to be dispatched to all Contracting States in hard copy and electronic format (Web-based) in the second quarter of 2003 and States will be expected to respond to Parts I and II within six weeks 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.

2.4 As was the case during the initial implementation of the Programme, audit protocols will be developed for each audit area, setting forth standard and transparent auditing procedures and providing both the auditors and the State with a step-by-step guide of the aspects to be audited and the questions to be answered. The audit protocols will verify the status of implementation in each particular area by indicating whether, at a minimum, the State conforms with, or adheres to, the requirements of the Chicago Convention, relevant SARPs, applicable provisions in the *Procedures for Air Navigation Services — Air Traffic Management* (Doc 4444, PANS-ATM) or guidance material.

2.5 Recognizing that the provisions contained in specific Annexes are not, in practice, implemented in isolation and that provisions in different Annexes are often interrelated, the audit protocols will include relevant provisions from other Annexes and related documents, with a view to making the audits as broad-based and comprehensive as possible. For example, the audit protocol pertaining to Annex 11 will also include relevant provisions from related Annexes, such as Annex 2 — *Rules of the Air*, Annex 10 — *Aeronautical Telecommunications* and Annex 15 — *Aeronautical Information Services*.

2.6 The audit protocols relating to the expansion of the Programme will initially be developed in line with this approach and, on the basis of the presented hierarchy, drafts will be circulated for comments to the relevant ICAO sections and offices as soon as they are ready. Their final design will be structured to enable the development of an audit report which reflects the critical elements of a safety oversight system as requested by Assembly Resolution A33-8 (Resolving Clause 5 refers). Accordingly, Docs 9734 and 9735 will also be revised, as indicated in paragraph 2.1, to include elements addressing the relevant Annexes in the expansion areas.

2.7 Detailed time-lines have been established to complete the preparatory work and are contained in a separate information paper available in the English language only. The activities will be implemented in three phases. In phase one, development of the three part pre-audit questionnaire, audit protocols, training courses and the amendment of ICAO Docs 9734 and 9735 will be undertaken. The AFDD will also be updated to include the areas of the expansion, and a quality management system documentation review will be conducted at every stage of document development. Phase one is expected to start early February 2003 and be completed by the end of September 2003. Successful implementation of phase one requires input from sections and offices other than the Safety Oversight Audit Section, such as the Languages and Publications Branch (LPB), and effective coordination will be essential to ensure its success.

2.8 Phase two will consist of testing the training material and the provision of training to potential auditors at Headquarters as well as at Regional Offices. A total of six training sessions are planned, with two of them to be conducted at Headquarters and four training courses to be held in selected Regional Offices. Training will start in early October 2003 and be completed by January 2004. The training of experts from States and Regional Offices will ultimately lower the cost of missions, as the majority of auditors would come from the region in which audits are to be conducted, thus reducing the overall cost of the management of the Programme.

2.9 Administrative actions such as the development of Memorandum of Understanding applicable to the conduct of audits in the areas of expansion, the recruitment of required personnel, and the development of an audit schedule will be conducted during the first two phases. Phase three, the conduct of actual audits will commence in February 2004.

3. CONDUCT OF AUDITS

3.1 Conducting audits in the areas of expansion will require the availability of a considerable number of adequately qualified and experienced experts. Recruiting all of them as ICAO staff would not be economically feasible, nor would it be cost-effective. To overcome this problem, the Secretariat is proposing the organizational set up described in the following paragraphs.

3.2 The Safety Oversight Audit Section (SOA) at Headquarters will maintain the management staff and a limited number of experts, Standards and Procedures Officers (SPOs) and Analysts. SOA's main functions would concentrate on the development of audit protocols, the standardization of audit procedures, the development and conduct of safety oversight-related training courses, the development of safety oversight-related guidance material, monitoring and ensuring the quality of the audit processes and reports. SOA will maintain the overall responsibility for the planning and scheduling of audit activities and for other related activities such as the conduct of safety oversight auditor training courses and safety oversight management system seminars and workshops, as well as for communication and coordination with Contracting States, ICAO Bureaux and Regional Offices.

3.3 The limited number of experts at Headquarters will reflect the major areas of expertise in the audits to be conducted. The Headquarters-based staff members will be expected to develop a working knowledge of the Annexes and related documentation beyond their primary area of expertise to enable them to act as team leaders, to work in a team environment in reviewing audit reports and to conduct analyses of the audit findings.

3.4 The majority of auditors will come from Contracting States as short-term seconded auditors. To this end, SOA plans to train an adequate number of experts in all ICAO Regions who will be able to conduct audits under the leadership of an ICAO staff member. The ICAO staff member, who would act as a team leader, would be an adequately trained and qualified auditor who may be a staff of SOA or another ICAO HQ Section, seconded to SOA for the purpose of conducting a particular safety oversight audit mission.

3.5 The role of the Regional Offices would be to assist Contracting States in their respective areas of responsibility with the implementation of the recommendations resulting from the audit findings. In this regard, Regional Office staff would also be trained by SOA in audit processes and procedures so that the relevant experts will be able to assist States in resolving identified deficiencies and implementing the ICAO recommendations. Adequately trained and qualified Regional Office staff may also be asked to lead an audit team or serve as a member of an audit team, should the need arise.

3.6 With regard to the order of conducting the audits, it is to be recalled that the Council (155/10) established some basic criteria when the Programme was initially launched. The guidance provided was found useful by the Secretariat. It is therefore proposed that the same guidance also be applied this time, together with additional criteria resulting from the experience gained during the initial audit cycle pertaining to Annexes 1, 6 and 8. These criteria are:

- a) expressed urgency to audit a particular State;
- b) requests of Contracting States to be audited;
- c) level of reported compliance with Annex SARPs found in Part III of the pre-audit questionnaire;
- d) whether an organizational structure to provide oversight has been established in the State;
- e) whether a safety management system has been established in the State;
- f) level of aviation activity;
- g) aircraft accident and incident rate;
- h) historical trend on the audited level of compliance with Annex SARPs related to other Annexes already audited; and
- i) regional balance.

3.7 Universality being one of the core principles of USOAP, all Contracting States will be audited during the initial audit phase. Based on the responses provided by States in the pre-audit questionnaire, the time, number of team members and the duration of specific audits will be tailored to fit the specific requirements of the prevailing audit.

3.8 The Secretariat recognizes that further expansion of the Programme might require the adoption of a more comprehensive approach, rather than the continued expansion of the Programme on an Annex by Annex basis, particularly given the high level of interdependence of many Annex provisions. The need for a systems approach to auditing, as well as a global strategy and conceptual basis for ICAO audits, is also discussed in C-WP/11912. In consideration of the need for a more comprehensive approach, and using the criteria presented in paragraph 3.6, the Secretariat is working on the formulation of an audit scheduling model that would be used to determine both the frequency of the audits and the nature and scope of each individual audit. Once the model is established, ICAO may be in a position to accept the results of internal audits conducted by States, provided the modality and reporting system has been agreed upon and pre-approved by the Council. Nevertheless, the acceptance by ICAO of States' internal audits would only be used to reduce the frequency of visits to States which have established an effective safety management system and an acceptable internal auditing system. This development is work in progress in the Secretariat and the results will be submitted to the Council for consideration in due course.

4. ACTION BY THE COUNCIL

4.1 The Council is invited to:

- a) note the information contained in paragraph 2 in relation to the preparatory work for the conduct of audits in the areas of expansion;
- b) agree with the methodology proposed in paragraph 3 for the conduct of the audits and in particular with the proposal in paragraph 3.4 to considerably involve auditors seconded by Contracting States to assist in the Programme as ICAO audit team members;
- c) note the information presented in paragraph 3.8 regarding the work in progress towards the formulation of audit scheduling model and the adoption of a more comprehensive approach to conduct safety oversight audits in the future; and
- d) provide the Secretary General with further guidance as deemed necessary.

— END —

RAAC8-WP10 APPENDIX A
 ICAO Universal Safety Oversight Audit Programme
 Preparatory Work Plan for the Expansion of the Programme
 (2003)

ID	Task Name	Qtr 1, 2003			Qtr 2, 2003			Qtr 3, 2003			Qtr 4, 2003			Qtr 1, 2004			Qtr
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr
20	Translation / review of translated material																
21	Publication																
22	Dispatch to States to be audited, 1st Semester 2004																
23	Training Course																
24	Development																
25	Review																
26	Test-run																
27	Memorandum of Understanding																
28	Development																
29	Review																
30	Approval																
31	Amendments to Doc 9734 and Doc 9735																
32	Development																
33	Review																
34	Translation																
35	Publication and dispatch to States																
36	Audit Findings and Differences Data Base (AFDD)																
37	Modification of the software (programme)																
38	Input of SARPs into the Data Base																

RAAC8-WP10 APPENDIX A
 ICAO Universal Safety Oversight Audit Programme
 Preparatory Work Plan for the Expansion of the Programme
 (2003)

ID	Task Name	Qtr 1, 2003			Qtr 2, 2003			Qtr 3, 2003			Qtr 4, 2003			Qtr 1, 2004			Qtr
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr
39	Input of Protocols into the Data Base																
40	Administrative actions																
41	Vacancy Notice for recruitment of Staff in Expansion area																
42	Letters to States requesting for nomination of short-term seconded auditors																
43	Establishment of audit schedule for 2004																
44	Posting and dispatch of audit schedule for 2004																
45	Communication established between SOA and States to be audited																
46	Dispatch of specific audit materials to States to be audited																
47	Quality Management System Documentation Review (Ongoing process)																
48	Phase 2 - IMPLEMENTATION																
49	Training of auditors																
50	Auditor's training Headquarter's Staff																
51	Auditor's training Regional Office and Seconded personnel - Europe																
52	Auditor's training Regional Office and Seconded personnel - Africa																
53	Auditor's training Regional Office and Seconded personnel - Asia Pacific																
54	Auditor's training Regional Office and Seconded personnel - Carribean and South America																
55	Auditor's training Headquarter's staff and seconded personnel, North America																
56	Phase 3 - Conducting Audits (February 2004 - December 2008)																

APPENDIX B

Tentative programme of System activities for the year 2003

- a) Continued harmonisation of Latin American Aeronautical Rules (LARs).
 - LAR definitions and abbreviations – Review of the text prepared by the RLA/95/003.
 - LAR for the certification of recognised training centres.
 - Airworthiness approval for RVSM aircraft.
- b) LAR 145-approved Maintenance Organisations certification trials performed on three (3) aircraft maintenance shops.
- c) Implementation of procedures for the approval of major aircraft repairs and modifications.
- d) Training of inspectors in the following aspects:
 - Implementation of published LARs.
 - Airworthiness approval for RVSM aircraft*.
 - Certification of LAR 145-approved maintenance organisations.
 - Approval of major repairs and modifications to aircraft exceeding 5700 kg of maximum take-off certified mass*.
 - Monitoring, oversight and auditing of personnel licensing, operations and airworthiness*.
- e) Visit to three (3) participating States at the request of the Regional System.
- f) Designation of focal points in the States.
- g) Summon at least one co-ordination meeting between the Technical Committee and the focal points from each group of counterparts, to discuss important matters pertaining to the objectives of Project RLA/99/901.
- h) Development of a training strategy.
- i) Identification of financing possibilities for the System, through the Inter-American Development Bank.
- j) Drafting of a proposal for AVSEC activities and for the modifications that might be necessary to the documents of the system.

* Subject to approval of the training Strategy to be presented by the General Coordinator at the forthcoming Ordinary Meeting of the General Board.
