

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: Safety Oversight

Expansion of the ICAO Universal Safety Oversight Audit Program (USOAP)

(Presented by the United States of America)

SUMMARY

This paper discusses the implementation of the expanded ICAO USOAP program and its intended work program. The paper proposes States take a regional approach in preparation for the assessments.

1.0 INTRODUCTION

1.1 The International Civil Aviation Organization (ICAO) during its 32nd Assembly session directed the Council to establish the ICAO Universal Safety Oversight Audit Program (USOAP). The Assembly also asked that the program provide a reporting and monitoring system on the implementation of Standards and Recommended Practices (SARPS) contained in Annex 1, *Personnel Licensing*, Annex 6, *Operation of Aircraft*, and Annex 8, *Airworthiness of Aircraft*.

1.2 During its 33rd session, the Assembly decided that the USOAP should be expanded to cover Annexes 11, *Air Traffic Services*, and Annex 14, *Aerodromes*. It also asked the Council to study the possibility of expanding the program into Annex 13, *Aircraft Accident and Incident Investigation*. The Council later concluded that this expansion into matters contained in Annex 13 was indeed possible.

1.3 The USOAP expansion into all the areas mentioned above is under way and in-country audits are scheduled to begin early in 2004. This year, ICAO is in the process of developing the auditing documentation, pre-audit questionnaires, training of auditors and creating the appropriate documents that will assist in the process.

1.4 The pre-audit questionnaire will be one of the most important tools used by the audit process as a pre-assessment tool to provide ICAO with a preliminary determination on States' compliance with the appropriate SARPS.

1.5 The pre-audit questionnaire will be made up of three parts, which will assess States' compliance with the SARPS and or their level of compliance with the SARPS. This questionnaire will be sent to States during the second quarter of 2003 and answers are expected within 6 weeks of receiving the questionnaire. The responses to this questionnaire will help ICAO determine a State's level of compliance with the appropriate SARPS.

1.6 In relation to the air traffic services audit, this scrutiny will not only cover Annex 11 but also relevant sections of Annex 2 *Rules of the Air*, Annex 10 *Aeronautical Telecommunications*, and Annex 15 *Aeronautical Information Services*.

1.7 Detailed plans have been established by ICAO in relation to the establishment of this program and as such it will be implemented in three phases.

Phase One: Development of the questionnaire by ICAO. To be completed by the end of September of 2003.

Phase Two: Internal ICAO preparations for the audits. Activities such as creation of training material for auditors will be undertaken. It is expected that States will contribute with experts to train as auditors in the process.

Phase Three: Actual audits beginning in February of 2004.

2.0 CONDUCT OF THE AUDITS

2.1 ICAO will manage the audits but the auditors will come from the Contracting States. These auditors will be trained by ICAO and will work under the supervision of the ICAO Safety Oversight Unit. The ICAO regional offices will assist Contracting States in the implementation of recommendations resulting from the audits. ALL States will be audited within 5 years.

2.2 Given these facts, States may wish to begin internal preparations as soon as practicable to prepare for these audits. Consideration should be given to the summary results of ICAO's USOAP program that are currently available for viewing.

2.3 As a result, all Contracting States may find it desirable to take immediate action to organize their government's response to the pre-audit questionnaire and other related USOAP activities. Appropriate planning measures conducted in advance will help States to prepare for on-site audits.

3.0 CONCLUSION

3.1. Although each State will need to prepare for their individual audits, we all may benefit from a combined information-sharing mechanism to assist with planning activities. In order to streamline the process and avoid duplication of efforts, SAM States may wish to join forces in preparation for the expanded USOAP. This alliance could easily work through the use of telephone and electronic communications to share experiences and distribute work among the states.

To that end, the meeting may wish to resolve that each State:

1. Identify a point of contact from their organization in charge of USOAP audit preparations for Annexes 11, 13, and 14;
2. Commit to exchange information on a regular basis over the telephone or through electronic means;
3. Urge ICAO to conduct a regional seminar on the expanded ICAO audit program.