



WORKING PAPER

**FOURTEENTH MEETING OF THE CAR/SAM REGIONAL PLANNING AND
IMPLEMENTATION GROUP (GREPECAS/14)
(San Jose, Costa Rica, 16 to 20 April 2007)**

Agenda Item 2: Analysis of global, inter and intra-regional activities

**2.2: Directors General of Civil Aviation Conference on a Global Strategy for
Aviation Safety (DGCA/06)**

**PROGRESS REPORT ON IMPLEMENTATION OF THE DIRECTORS GENERAL OF
CIVIL AVIATION CONFERENCE ON A GLOBAL STRATEGY FOR AVIATION
SAFETY (DGCA/06) RECOMMENDATIONS**

(Presented by the Secretariat)

SUMMARY

The Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06) was held at ICAO Headquarters, Montreal, from 20 to 22 March 2006. This paper presents a progress report on action being taken on the recommendations of the DGCA/06.

Action by GREPECAS/14 is in paragraph 2.

1. INTRODUCTION

1.1 The Directors General of Civil Aviation (DGCA/06) Conference on a Global Strategy for Aviation Safety was convened in Montreal from 20 to 22 March 2006 in order to build consensus on improving aviation safety through coordinated action by all Contracting States, ICAO, and the aviation industry.

1.2 The Conference made declaration and recommendations covering three themes viz: Status of aviation safety today; Improving aviation safety; and Beyond the current framework. Taking into account the report of the Air Navigation Commission, the Council of ICAO, on 15 June 2006, considered and approved the follow-up to DGCA/06 Conference. Although the Council decision only called for the report on implementation to address the recommendations directed to States and other stakeholders, the attached C-WP/12805 addresses the status of implementation of all the DGCA/06 recommendations. The outcome of this review is summarized in the Appendix to the C-WP/12805.

1.3 In the State Letter *E 4/210.4-06/67* at **Appendix B** to this working paper, the Secretary General reminded States on actions required from them, in particular in paragraph 2 of the Declaration calling “upon States to base the recognition as valid of certificates and licenses of other States exclusively on safety considerations and not for the purpose of gaining economic advantage”. The letter also informed States that ICAO is currently reviewing the process of mutual recognition by States and assessing what changes or additions to the Standards and Recommended Practices or guidance material are required.

2. **ACTION BY GREPECAS/14**

2.1 The Meeting is invited to:

- a) note the information provided in this working paper; and
- b) request GREPECAS subsidiary bodies to follow-up on the recommendations of the DGCA Conference related to their respective Terms Of Reference



WORKING PAPER

COUNCIL — 179TH SESSION

2589th Report to Council by the President of the Air Navigation Commission

Subject No. 14.5: Safety oversight

**PROGRESS REPORT ON IMPLEMENTATION OF THE DIRECTORS
GENERAL OF CIVIL AVIATION CONFERENCE ON A GLOBAL
STRATEGY FOR AVIATION SAFETY (DGCA/06)
RECOMMENDATIONS**

(ANC Task No. FLS-0603)

SUMMARY

This paper presents a progress report on action being taken on the recommendations of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06).

Action by the Council is in paragraph 4.

REFERENCES

- | | |
|---|-------------------------------|
| *C-WP/12696 | *State letter E 4/120.4-06/67 |
| *C-DEC 178/14 | *State letter AN 20/1.3-06/79 |
| *AN-WP/8172 | *State letter AN 20/1-06/88 |
| *AN-Min. 173-9 | *State letter E 4/210.4-06/92 |
| *Doc 9866, <i>Report of the Directors
General of Civil Aviation
Conference on a Global Strategy
for Aviation Safety</i> | |

This working paper relates to Strategic Objectives A1, A2, A3, A4, A5, A6, A8 and A9.

*Principal references

1. INTRODUCTION

1.1 On 15 June 2006, the Council (C-DEC 178/14) reviewed the outcome of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06) presented in C-WP/12696. Although the Council decision only called for the report on implementation to address the

recommendations directed to States and other stakeholders, this working paper addresses the implementation of all the DGCA/06 recommendations.

2. DISCUSSION

2.1 Since the Council meeting, the Secretary General has sent the following four State letters related to the outcome of the DGCA/06 Conference:

- *Follow-up action on the Declaration and Conclusions and Recommendations of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety, concerning the operative clause in paragraph 2 of the Declaration of the conference: Reference E 4/210.4-06/67, dated 14 July 2006*
- *Request for guidance material for the Flight Safety Information Exchange (FSIX) website (Recommendation 2.3 b): Reference AN 20/1.3-06/79, dated 29 September 2006*
- *Follow-up action on Recommendation 2/3 a) (assistance to States) of the Directors General of Civil Aviation Conference: Reference AN 20/1-06/88, dated 27 October 2006*
- *Follow-up action on the Declaration and Conclusions and Recommendations of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety regarding the other recommendations of the conference: Reference E 4/210.4-06/92, dated 27 October 2006*

2.2 Action has been initiated on all of the recommendations arising from DGCA/06 with the exception of Recommendations:

- 2/1 d) 1) *Transparency and sharing of airworthiness information*

the Council should study the possibility of establishing an expanded database application that would allow Contracting States to voluntarily share airworthiness information related to aircraft habitually involved in international operations; and

- 3/1 c) ICAO should develop guidance material to be used by States to implement coherent economical and technical policies by their civil aviation authorities

With respect to Recommendation 2/1 d) 1) the Secretariat action is to assess whether it is possible to integrate the study into the business plan. With respect to Recommendation 3/1 c) the Council agreed with the recommendation and directed the Secretary General to pursue development of this guidance taking into account the priorities of the Organization as established by the Strategic Objectives and supporting business plan. Subject to priority of the business plan and available resources, work should be initiated in 2007, but its completion may have to be extended to early in the next triennium.

2.3 The details on the action for the remaining recommendations can be found at the appendix together with an indication on how future progress will be monitored.

3. MONITORING AND FUTURE REPORTING

3.1 It was understood by the Council (C-DEC 178/14) that a special monitoring mechanism for implementation of the conference recommendations by States and other stakeholders would be established and that reports to the Council on such implementation would be presented at every session.

3.2 The Commission considers that the existing mechanism under the Universal Safety Oversight Audit Programme (USOAP) and the Unified Strategy Programme (USP) and those being established to support the business plan are sufficient to monitor the implementation of the conference recommendations. A special monitoring mechanism and a report on implementation at each session would not be necessary, as significant developments will be brought to the attention of the Council through regular reporting on USOAP, USP or the business plan.

3.3 The recommendations directed at ICAO are being incorporated in the business plan and will therefore be monitored as part of its implementation. The implementation of recommendations directed at States and other stakeholders is being monitored by a variety of mechanisms such as the business plan or the Unified Strategy Programme (USP) activities.

4. ACTION BY THE COUNCIL

4.1 The Council is invited to:

- a) note the information contained in this paper; and
- b) agree that monitoring and future reporting on the implementation of the DGCA/06 recommendations will be done as part of the regular monitoring mechanism of the Organization.

Adrian Sayce
President
Air Navigation Commission

APPENDIX

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>Recommendation 1/1</p> <p>a) <i>Aviation safety</i></p> <p>Further improvement of aviation safety and the reduction of the number of accidents, fatal accidents and fatalities should continue to be an objective of the highest priority for ICAO, which will require a comprehensive and proactive approach coordinated among ICAO, States, industry and service providers;</p>	<p>Agree with the intent of the recommendation.</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>Include the recommendation in the State letter on the conference results. Monitor progress.</p>	<p>Recommendation included in State letter E 4/210.4-06/92.</p> <p>The recommendation is fully consistent with the safety Strategic Objective. Progress will be monitored as part of the implementation of the safety Strategic Objective.</p>
<p>b) <i>Safety oversight</i></p> <p>Proper safety oversight by States is one of the basic tenets of aviation safety. In view of the continuing difficulties faced by several States and the resulting need for assistance, ICAO, States, industry, and donor organizations should direct resources towards the establishment of sustainable safety oversight solutions; and</p>	<p>Agree with the recommendation and continue monitoring.</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>Include the recommendation in the State letter on the conference results. Continue action.</p>	<p>Recommendation included in State letter E 4/210.4-06/92</p> <p>This activity is part of the Strategic Objective on safety under the Unified Strategy key activity. Implementation could be monitored by Council through the business plan process.</p>
<p>c) <i>Initiatives by States and industry</i></p> <p>ICAO, in collaboration with all States and other stakeholders, should continue the development of an integrated approach to safety initiatives based on the Global Aviation Safety Roadmap which would provide a global framework for the coordination of safety policies and initiatives.</p>	<p>Agree with the recommendation.</p>	<p>Continue development of the Global Aviation Safety Plan (GASP) for completion by January 2007.</p>	<p>Assist the ANC in the updating of GASP.</p>	<p>Part 2 of the Industry Road Map has been completed.</p> <p>Development of the new GASP is progressing and will be presented to the next Session of the Assembly in 2007.</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>Recommendation 2/1</p> <p>a) <i>State and industry access to information and assistance</i></p> <p>1) The results of the audits conducted under the comprehensive systems approach should continue to be shared openly among Contracting States;</p>	Agree with the recommendation.		Continue action.	Procedure is in place and the results of audits are shared openly between States.
<p>2) the Council should facilitate the implementation of “just culture” reporting systems in Contracting States to promote the sharing of accident and incident and all other safety-related information. The “just culture” should create an environment in which the reporting and sharing of information is encouraged and facilitated;</p>	Agree with the recommendation.	Monitor and review situation by 2008 to evaluate need to strengthen/upgrade legal guidance.	Monitor the use of the SMS in States, updating its contents as required in accordance with input from States. Report to Council and ANC.	The facilitation of the implementation of a just culture is one element of the ICAO key activity on the implementation of safety management systems (SMS) in States. Reporting will be part of the reporting on the implementation of this key activity. A report on the subject will also be presented at the 36 th Session of the Assembly as requested by Resolution A35-17.
<p>3) States should be fully transparent to enable other States and donors to provide more rapid and effective assistance to resolve safety oversight deficiencies; and</p>	Agree with the intent of the recommendation.		Include the recommendation in the State letter on the conference results.	Recommendation is included in State letter E 4/210.4–06/92. Its implementation will be monitored as part of the USP and USOAP activities.
<p>4) the Council should consider the preparation of an annual report on aviation infrastructure and required improvements to assist donors in allocating the support needed by Contracting States.</p>	Approve new procedures for making relevant information available to donors.	Report to Council on availability of information.	Propose upgrade of Air Navigation Plans to electronic presentation for availability of information and interactive update by States. Access to all sources to be available to all donors.	The procedure is being developed and should be presented for approval during the 181st Session.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>b) <i>Public access to appropriate information</i></p> <p>1) States are urged to give consent to ICAO to publish the results of their initial safety oversight audits or audits follow-up as soon as possible, following the format presented in DGCA/06-IP/39. States may also allow ICAO to publish the final safety oversight audit reports derived from the initial audit cycle;</p>	Agree with the intent of the recommendation.		<p>Continue to seek consent from additional States.</p> <p>Communicate with States that have signed the consent form to determine if they have any updates on progress made.</p> <p>Post the results of safety oversight audits on the Flight Safety Information Exchange (FSIX).</p>	<p>Procedure is in place and report of States that have provided their consent are posted on FSIX. New reports are posted after the relevant release consent form is received and States have an opportunity to provide an update on progress made.</p> <p>See C-WP/12775 and C-WP/12781.</p>
<p>2) States sharing their ICAO safety oversight information should have the opportunity to provide their own comments, relative to progress made since the conduct of its audit, in the section of the ICAO websites dedicated to the audit information;</p>	Agree with the intent of the recommendation.		As above.	As above.
<p>3) the Council, in May/June 2006, should develop an ongoing process to allow the release of relevant information to the public on safety oversight audits conducted under the comprehensive systems approach;</p>	Council has agreed (C 178/13) on the procedure.			Procedure has been approved by Council and is being implemented.
<p>4) pending the development of the process, as proposed in paragraph 3) above, States should authorize ICAO to publish the relevant information to the public on safety oversight audits conducted under the comprehensive systems approach. The release of such information would be agreed and entered into through a separate consent form;</p>				See C-WP/12775 and C-WP/12781.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
5) the Council should develop a system for assessment and classification of USOAP findings against the safety oversight system critical elements with a view to evaluating the safety oversight capability of individual Contracting States, without categorizing or classifying States, and report to the Assembly in 2007; and				The Council (178/13) considered C-WP/12703 which dealt with the release of audit information to the public and with the assessment and classification of audit findings against the critical elements of a safety oversight system.
6) Contracting States should give their consent to the publication of relevant information as soon as possible and, in any case, not later than 23 March 2008. ICAO would then issue a press release providing the names of the States that have not authorized release of the results of their audits and place this information on the public website. A progress report should be made to Council during each session and to the Assembly in 2007.	Agree with the recommendation. Report progress to the Assembly.	Monitor and report as necessary to Council.	Include the recommendation in the State letter on the conference results. Prepare the progress reports. Take the necessary action after 23 March 2008.	Recommendation included in State letter E 4/210.4-06/92.
c) <i>Implementation of Article 21 to the Convention</i> The Council should ensure that Contracting States have access to reliable and timely information on registration, ownership and control of aircraft habitually used in international navigation. Contracting States should cooperate with ICAO in providing the required information, under guidelines and procedures to be developed; and	Council to review feasibility plan during its 179th Session and, if approved, monitor the development of the system.	ANC to review feasibility study and report to Council.	Conduct the feasibility study. Report to include options, costs and proposed implementation plan.	Recommendation is being implemented. A feasibility study is being presented to Council during this session. Further action and reporting thereon will depend on Council decision.
d) <i>Transparency and sharing of airworthiness information</i> 1) the Council should study the possibility of establishing an expanded database application that would allow Contracting States to voluntarily share airworthiness information related to aircraft habitually involved in international operations; and	Agree with the intent of the recommendation and request the Secretary General to assess whether it is possible to integrate the feasibility study into the business plan.	Review the Secretary General's assessment as part of the review of the business plan. Progress report to Council during its 181st Session.	Assess whether it is possible to integrate the feasibility study into the business plan.	Feasibility of integration to be considered.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
2) States of Design and Registry should conclude an airworthiness agreement as laid down in the <i>Airworthiness Manual</i> (Doc 9760) as a means to promote the exchange of continuing airworthiness information between the States.			<p>Include the recommendation in the State letter on the conference results.</p> <p>Include in the 2nd Edition of Doc 9760, with the assistance of the second meeting of the Airworthiness Panel (AIRP/2), guidance on an airworthiness agreement between the States of Design and Registry.</p>	<p>Recommendation included in State letter E 4/210.4-06/92.</p> <p>AIRP/2 is expected to be held in May 2007.</p>
<p>Recommendation 2/2</p> <p>a) <i>Safety management systems</i></p> <p>1) States should implement safety management systems across all safety-related disciplines;</p>	Monitor progress and take action as necessary to allocate resources.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	<p>Include the recommendation in the State letter on conference results.</p> <p>Monitor progress and report to the ANC.</p>	Implementation of SMS in States is one of the key activities under the ICAO Strategic Objectives. Reporting on the progress made on the implementation of this recommendation will be part of the reporting on the implementation of the business plan.
2) States should engage in far-reaching cooperation with ICAO in the programme of training courses, by sponsoring one of the seven training courses and/or by providing experts in safety management to supplement ICAO delivery teams;	Monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	<p>Include the recommendation in the State letter on conference results.</p> <p>Deliver training and ensure that training is available.</p>	<p>As above.</p> <p>Training activities are progressing – strong support by States has allowed the implementation of a training programme much more comprehensive than initially anticipated (State letter AN 12/46-06/52 and C 19-44/06-1 refer).</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
3) States should engage in an exchange of information to progress in the implementation of SMS through the provision of expert advice, tools and other means;	Monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	Monitor progress and report to ANC.	As above.
4) States should commit to the earliest possible implementation of SMS on a global basis, based on the related provisions adopted by Council; and	Monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	Monitor progress and report to ANC.	As above.
5) the ICAO Council should continue work towards the development of training, guidance material and other enabling tools to help Contracting States expedite the implementation of SMS.	Agree with the recommendation and request the ANC to take it into account during the update of GASP and the Secretary General to take it into account during the development of the business plan.	Implement Council decision.	Implement Council decision.	As above.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>b) <i>Study the development of a new Annex to the Convention on safety processes</i></p> <p>ICAO should study further harmonization of safety management requirements, and consider the development of a new Annex dedicated to safety processes, including appropriate provisions on safety oversight, safety assessment and safety management.</p>	<p>Agree with the recommendation. Review the proposals of the ANC.</p>	<p>Develop plans for the harmonization of safety management requirements across the Annexes in 2006. Taking into consideration paragraph 3.2 of the C-WP, develop proposals for preferred methods for ICAO to provide appropriate safety processes, including the possibility of a new Annex, by January 2007.</p>	<p>Support the work of the ANC.</p>	<p>An ad hoc working group of the ANC is studying the issue and will present its recommendation to the ANC by January 2007. Report to Council is expected during the 181st Session.</p>
<p>c) ICAO should continue its effort to modernize Annex 6, Part II.</p>	<p>Agree with the recommendation and note the work that has been undertaken by the ANC on the subject.</p>	<p>Review the proposed amendment.</p>	<p>Continue development of Annex 6, Part II with a planned adoption in 2007.</p>	<p>The ANC has completed its preliminary review of the proposal (ANC 173-1 and 2) which is being circulated to States and international organizations for comment. Adoption is now scheduled for 2008.</p>
<p>Recommendation 2/3</p> <p>a) <i>Assistance to States</i></p> <p>1) Contracting States are encouraged to promote further development of regional and sub-regional organizations in support of the strengthening of States' safety oversight capabilities;</p>	<p>Agree with the intent of the recommendation and continue to monitor progress.</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>To issue a separate State letter on USP which include the DGCA recommendations related to USP and Council action thereon.</p>	<p>Recommendation included in State letter AN 20/1-06/88.</p> <p>This activity is part of the Strategic Objective on safety under the Unified Strategy key activity. Implementation could be monitored by Council through the business plan process.</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
2) in order to fulfil their obligations under the Chicago Convention, Contracting States are encouraged to better cooperate both bilaterally and at the regional level to make appropriate arrangements to perform their safety oversight obligations when they do not individually possess adequate human, technical and financial resources;	Agree with the intent of the recommendation and continue to monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	See action against Recommendation 2/3 a) 1).	As above.
3) Contracting States in need of assistance should coordinate with the Unified Strategy Programme Unit to validate that their action plans are likely to achieve desired results, and to identify the most appropriate assistance mechanisms. Assistance can be channelled through various options to include the Technical Cooperation Programme;	Agree with the intent of the recommendation.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	See action against Recommendation 2/3 a) 1).	As above.
4) ICAO and States should improve the effectiveness and coordination of technical assistance tools and funding mechanisms for the correction of safety-related deficiencies, including the International Financial Facility for Aviation Safety (IFFAS);	Agree with the recommendation.		Take the necessary measures to better integrate IFFAS and USP activities. Ensure that USP is provided with sufficient resources to fulfil its mandate.	Action is taken as part of the business plan. Implementation could be monitored by Council through the business plan process.
5) ICAO should increase the involvement of its Regional Offices so as to provide a more effective technical support for Contracting States and promote further development of regional and sub-regional organizations that conduct safety oversight;	Agree with the recommendation and request the Secretary General to take it into account when developing the business plan.		To implement Council decision.	As above.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
6) ICAO should adapt its working methods to allow full involvement of regional organizations that conduct safety oversight and technical work and request the Secretary General, in accordance with clause 7 of Resolution A35-7, to continue to foster coordination and cooperation between USOAP and audit programmes of other organizations related to aviation safety;	Agree with the recommendation and request the Secretary General to take action as appropriate.		Continue to foster this type of cooperation and coordination of activities.	ICAO continues to foster, on an ongoing basis, the coordination and cooperation between USOAP and other audit programmes. To this end, Memoranda of Understanding/Cooperation have been entered into with ECAC, Eurocontrol, EASA and IATA on the exchange of information and coordination of audit activities, as applicable.
7) Contracting States should demonstrate the political will to address aviation safety shortcomings; this includes the establishment, where necessary and as soon as possible, of an autonomous Civil Aviation Authority which is empowered and adequately funded to provide effective safety oversight; and	Agree with the intent of the recommendation.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	See action against Recommendation 2/3 a) 1). Action on Recommendation 3/1 c) also applies.	Recommendation included in State letter AN 20/1-06/88. This activity is part of the Strategic Objective on safety under the Unified Strategy key activity. Implementation could be monitored by Council through the business plan process.
8) States and other stakeholders as well as financial institutions and donors that are in a position to do so, make financial contributions and/or contributions in kind to support States in need of assistance to rectify their safety oversight deficiencies through the Unified Strategy Programme.	Agree with the intent of the recommendation and continue to monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	See action against Recommendation 2/3 a) 1).	Recommendation included in State letter AN 20/1-06/88. This activity is part of the Strategic Objective on safety under the Unified Strategy key activity. Implementation could be monitored by Council through the business plan process.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>b) <i>Information Exchange (FSIX)</i></p> <p>Contracting States and associated industry and professional organizations are encouraged to provide guidance material and relevant safety-related information to the international civil aviation community through the ICAO Flight Safety Information Exchange (FSIX) website.</p>	Monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	<p>Include the recommendation in the State letter on the conference results.</p> <p>Continue to encourage Contracting States and other stakeholders to provide relevant information and post FSIX.</p>	<p>Recommendation included in State letter AN 20/1.3-06/79.</p> <p>New safety information is included regularly on FSIX.</p>
<p>Recommendation 2/4</p> <p>a) <i>Verification</i></p> <p>States should verify that the requirements under which other States issue or render valid certificates and licenses are at least equal to applicable Standards before recognizing the documents as valid.</p>	Agree with the intent of the recommendation.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	<p>Include the recommendation in the State letter on the conference results.</p>	<p>Recommendation included in State letter E 4/210.4-06/92. An update of the <i>Manual of Procedures for Operations Inspection, Certification and Continued Surveillance</i> (Doc 8335) is in preparation to provide guidance to States.</p> <p>Implementation will be monitored as part of USOAP.</p>
<p>b) <i>Recognition and surveillance of foreign aircraft</i></p> <p>1) ICAO should develop guidelines and procedures as necessary to assist States in securing the highest practicable degree of uniformity in the recognition of certificates and licences as valid and in the surveillance of foreign aircraft operations in their territory;</p>	Agree with the recommendation and request the ANC and the Secretary General to develop SARP and guidance as necessary to support States' actions.	Implement Council decision.	<p>Present proposals for new SARPs to the ANC by June 2007.</p> <p>Prepare supporting guidance material to be available by the end of 2007.</p>	<p>A task force has been established and is expected to finalize its recommendation by 31 March 2007 to include:</p> <ul style="list-style-type: none"> • New SARPs • Guidance material • If necessary, a policy through an Assembly resolution

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
2) States should establish operating rules, in accordance with the Convention and on a non-discriminatory basis, governing the admission and surveillance of foreign air operators within their territories;	Agree with the intent of the recommendation and direct the ANC and the Secretary General to take the necessary steps to ensure that State action is supported by the appropriate SARPs and related guidance material.	Implement Council decision.	Include the recommendation in the State letter on conference results. Action on Recommendation 2/1 b) 1) also applies.	Recommendation included in State letter E 4/210.4-06/92. To be based on the outcome of the activities under Recommendation 2/4 b) 1). Implementation will be monitored as part of USOAP.
3) States should implement and strengthen their surveillance of foreign aircraft operations within their territory and take appropriate action when necessary to preserve safety; and	Agree with the intent of the recommendation.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	Include the recommendation in the State letter on conference results.	Recommendation included in State letter E 4/210.4-06/92. Update of Doc 8335 (see Rec 2/4 a)). Implementation will be monitored as part of USOAP.
4) States should eliminate flags of convenience and prevent illegal operations as well as the possible export of such activities from one State or group of States to another, and exchange safety information to this end.	Agree with the intent of the recommendation.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	Include the recommendation in the State letter on conference results. Monitor the situation with respect to flags of convenience. Report as necessary to the Council. (See also action proposed on Recommendation 3/1 f).	Recommendation included in State letter E 4/210.4-06/92. Situation to be monitored as part of the implementation of the ICAO Strategic Objective on safety.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>c) <i>Safety clause</i></p> <p>1) States should include a safety clause in their bilateral air service agreements, based on the model safety clause developed by ICAO; and</p>	<p>Agree with the intent of the recommendation and reiterate the Council Resolution 5 October 2001, (Doc 9790).</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>Include the recommendation in the State letter on the conference results.</p>	<p>Recommendation included in State letter E 4/210.4-06/92.</p> <p>A review of the safety clause will be initiated.</p> <p>Implementation will be monitored as part of USOAP.</p>
<p>2) Unilateral activities by States or parties on the banning of operations should normally be preceded by a consultative process between the States and parties involved.</p>	<p>Agree with the intent of the recommendation.</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>Include the recommendation in the State letter on the conference results.</p>	<p>Recommendation included in State letter E 4/210.4-06/92.</p> <p>Implementation will be monitored as part of USOAP.</p>
<p>Recommendation 2/5</p> <p>a) <i>USOAP</i></p> <p>1) States should fully cooperate with USOAP, including acceptance of on-site audits as scheduled by ICAO; and</p>	<p>Agree with the intent of the recommendation.</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>Include the recommendation in the State letter on the conference results.</p>	<p>Recommendation included in State letter E 4/210.4-06/92.</p> <p>Council to be informed of difficulties as part of the regular USOAP report.</p>
<p>2) ICAO should develop an additional mechanism to rapidly resolve significant safety concerns identified under USOAP and amend the Generic Memorandum of Understanding (MOU) accordingly.</p>	<p>Agree with the recommendation and direct the Secretary General to propose an amendment of the MOU in this regard.</p>	<p>Review revised MOU and report to Council.</p>	<p>Develop proposals to revise the MOU to be presented in the 179th Session to enable rapid response to audits findings on significant safety concerns.</p>	<p>A revised MOU will be presented to the Council for review during the 179th Session.</p> <p>See C-WP/12774, C-WP/12775 and C-WP/12779.</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>b) <i>Unified strategy and direct assistance</i></p> <p>1) ICAO should consider the feasibility of a scheme, to be approved by the next session of the Assembly, for ICAO to manage direct assistance to States having inadequate safety oversight capability and to air operators of such States, based on a pool of international safety inspectors and other safety oversight experts made available by States and other stakeholders. Such a scheme should take into account issues raised in DGCA/06-WP/28 as well as possible legal and financial difficulties; and</p>	<p>Agree with the recommendation and request the Secretary General to study the feasibility of the scheme mentioned in the recommendation.</p>	<p>ANC to review the report.</p>	<p>Study the feasibility of a scheme for ICAO to manage direct assistance to States having inadequate safety oversight capability and to air operators of such States, based on a pool of international safety inspectors and other safety oversight experts made available by States and other stakeholders.</p> <p>Report to Council during preparation for the next Assembly.</p>	<p>Feasibility study is underway and will be presented to Council during the 180th session.</p>
<p>2) ICAO should consider the allocation of funds for the unified strategy programme and direct safety oversight assistance within the Programme Budget for the triennium 2008-2009-2010.</p>	<p>Agree to consider the recommendation when preparing the budget for the next triennium.</p>	<p>Support Council in the budgetary process.</p>	<p>Implement the Council decision.</p>	<p>Action by Council to be taken as part of the budget development process.</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>Recommendation 3/1</p> <p>a) the Council should consider amplification to the definition of “State of the Operator” and “operator” by further specifying the necessary correspondence between the “principal place of business” and the location where “operational control” is exercised as a means to identify the State responsible for safety oversight;</p>	<p>Agree with the recommendation and direct the Air Navigation Commission to study the matter with a view to ensuring that the State responsible for safety oversight is identified and is in a position to assume its responsibility.</p>	<p>Implement the Council decision.</p>	<p>Support the work of the ANC. Initial proposal to the ANC by June 2007.</p>	<p>Action to be taken – no delay expected.</p>
<p>b) Contracting States should fulfil their obligation under Article 83 to register agreements in accordance with the <i>Rules for Registration with ICAO of Aeronautical Agreements and Arrangements</i> (Doc 6685);</p>	<p>Agree with the intent of the recommendation.</p>	<p>Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.</p>	<p>Include the recommendation in the State letter on the conference results. Continue monitoring through USOAP.</p>	<p>Recommendation included in State letter E 4/210.4-06/92.</p> <p>Implementation will be monitored as part of USOAP.</p>
<p>c) ICAO should develop guidance material to be used by States to implement coherent economic and technical policies by their civil aviation authorities;</p>	<p>Agree with the recommendation and direct the Secretary General to pursue the development of guidance material taking into account the priority of the Organization established by the Strategic Objectives and supporting business plan.</p>		<p>Implement Council decision with the objective of promoting sustainable solutions.</p>	<p>Subject to priority of the business plan and available resources, work should be initiated in 2007, but its completion may have to be extended to early in the next triennium. The ANC noted that the implementation of SMS facilitates the development of coherent technical and economic policies.</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
<p>d) ICAO should consider improvements in the process of developing and adopting Standards and Recommended Practices by:</p> <p>1) assessing systematically their impact on the industry and other interested parties;</p>	<p>Agree with the recommendation and direct the Air Navigation Commission to develop ways of implementing the recommendation and to report back to the Council during the 179th Session.</p>	<p>Implement Council decision by its 179th Session.</p>	<p>Support the work of the ANC.</p>	<p>A procedure is being developed.</p>
<p>2) making more systematic use of recommendations published by accident investigation bodies; and</p>	<p>Agree with the recommendation and direct the Secretary General to:</p> <p>a) take this recommendation into account when developing the ICAO Safety Management Programme; and</p> <p>b) develop a formal process to review and take action as necessary, for each safety recommendation addressed at ICAO in accident and incident reports by the 180th Session.</p>	<p>Review the Secretary General's proposal and advise the Council.</p>	<p>Implement the Council decision.</p>	<p>A procedure is being developed.</p>

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
3) developing criteria for determining which Standards are of critical importance for ensuring global safety and for which notifying differences would be acceptable only exceptionally and which Standards are of a detailed technical nature should be changed into Recommended Practices or removed from ICAO Annexes and turned into guidance material.	Agree with the recommendation and direct the Air Navigation Commission to study means of implementation.	Taking into consideration paragraphs 3.3, 3.3.1 and 3.3.2 of the C-WP, implement the Council decision. Report to Council on the progress and development of an action plan during the 179th Session and to present the action plan in the 180th Session.	Support the work of the ANC.	An ad hoc working group of the ANC is studying the issue. A progress report to Council is scheduled during the 180th Session.
e) all stakeholders engaged in devising and financing projects aimed at increasing aviation safety in low income countries, should strengthen their cooperation and exchange information and experience to avoid duplication of effort;	Agree with the intent of the recommendation and encourage stakeholders to take advantage of the Global Aviation Safety Plan and the Unified Strategy Programme when implementing this recommendation. Monitor progress.	Monitor, assess risk and take action as required in accordance with section 4 of C-WP/12696.	Include the recommendation in the State letter on the conference results.	Recommendation included in State letter E 4/210.4-06/92. Implementation will be monitored as part of USP.
f) the Council should study the issue of flags of convenience taking into account the experience gained by other international organizations;	Agree with the recommendation and direct the Secretary General to study the issue of flags of convenience taking into account the priorities of the Organization established by the Strategic Objectives and supporting business plan.	Review the study and report to Council by its 182nd Session, as necessary.	Study the flags of convenience problem and the experience of other international organizations.	The study will be initiated in time to report to Council during the 182nd Session.

Recommendations	Follow-up action agreed by Council (C-DEC 178/14)			Follow-up action
	Council	ANC	Secretary General	
g) ICAO should redouble its efforts to address the future evolution of safety oversight taking into account the globalization of international civil aviation; and	Agree with the recommendation and direct the Secretary General to take it into account when developing the business plan.		Implement the Council decision.	Should be addressed as part of GASP.
h) ICAO should study further harmonization of safety management requirements, and consider the development of a new Annex dedicated to safety processes, including appropriate provisions on safety oversight, safety assessment and safety management.	See action under Recommendation 2/2 b).	See action under Recommendation 2/2 b).	See action under Recommendation 2/2 b).	As per follow-up action under Recommendation 2/2 b).

— END —



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14 July 2006

Subject: Follow-up action on the Declaration and Conclusions and Recommendations of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety

Action Required: To note

Sir/Madam,

1. I have the honour to inform you that the Council, at the fourteenth meeting of its 178th Session held on 15 June 2006, reviewed the report of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety and agreed on follow-up action on the Declaration and the Conclusions and Recommendations of the Conference.

2. As part of this action, the Council asked me to bring to your attention paragraph 2 of the Declaration of the Conference. This clause reads as follows:

"The Conference calls upon States to base the recognition as valid of certificates and licences of other States exclusively on safety considerations and not for the purpose of gaining economic advantage".

3. I would also like to inform you that as a result of the Conference, ICAO is currently reviewing the process of mutual recognition by States and assessing what changes or additions to the Standards and Recommended Practices or guidance material are required.

Accept, Sir/Madam, the assurances of my highest consideration.

Taïeb Chérif
Secretary General