



International Civil Aviation Organization

**WORKING PAPER**

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## ASSEMBLY — 36TH SESSION

### TECHNICAL COMMISSION

**Agenda Item 25: Follow-up of the DGCA/06 Conference on a Global Strategy for Aviation Safety**

### PROGRESS REPORT ON THE IMPLEMENTATION OF THE DGCA/06 RECOMMENDATIONS

(Presented by the Council of ICAO)

#### EXECUTIVE SUMMARY

This report presents the progress on actions being taken on the recommendations of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06). Information received from nineteen States indicate that the recommendations addressed to States are generally implemented or in the process of being implemented. Except for two recommendations, the implementation of recommendations addressed to ICAO is underway or completed.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A by identifying the status of implementation of the DGCA/06 recommendations directed to States and to ICAO.
<i>Financial implications:</i>	No additional resources required.
<i>References:</i>	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> Doc 7300, <i>Convention on International Civil Aviation</i>

## 1. INTRODUCTION

1.1 ICAO organized, from 20 to 22 March 2006, the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06) in Montreal. The DGCA/06 Conference, with the participation of 153 Contracting States and 26 international organizations, made numerous recommendations that mostly addressed the need for greater transparency and sharing of information. Documentation of the Conference, including the report, declaration, conclusions and recommendations, can be accessed at: <http://www.icao.int/icao/en/dgca/index.html>.

1.2 In a State letter, ICAO requested States to provide information about the progress of implementation of the DGCA/06 recommendations that required actions on their part. The replies are summarized in paragraph 2.

1.3 Paragraph 3 outlines the follow-up action on recommendations addressed to ICAO. For DGCA/06 recommendations addressed to the unified strategy to resolve safety deficiencies, the Universal Safety Oversight Audit Programme (USOAP) and the ICAO Global Aviation Safety Plan (GASP), more detailed information on ICAO actions is available in separate reports to the Assembly.

## 2. LEVEL OF IMPLEMENTATION BY STATES

2.1 The level of implementation by States of the DGCA/06 recommendations was evaluated on the basis of nineteen replies to State letter E 4/210.4-06/92. All nineteen replies from States were supportive of the DGCA/06 recommendations and the States had either implemented most recommendations or had plans to do so. One State disagreed with a single recommendation, related to the publication of audit results under the USOAP.

2.2 Despite the encouraging information received thus far from Contracting States, a larger number of replies would be necessary in order to more accurately assess States' level of implementation of the DGCA/06 recommendations.

## 3. FOLLOW-UP ACTIONS BY ICAO

### 3.1 Recommendation 1/1: Aviation safety, safety oversight and initiatives by States and industry

3.1.1 The recommendation is being implemented as part of the Strategic Objective A, *Safety — Enhance global civil aviation safety*. The aim is to direct resources towards the establishment of sustainable safety oversight solution. A separate report on the subject is presented under Agenda Item 12. The new version of the GASP, fully aligned with the Industry Global Aviation Safety Roadmap, will be presented to the 36th Session of the Assembly.

### 3.2 Recommendation 2/1

#### 3.2.1 State and industry access to information and assistance

3.2.1.1 The USOAP audit reports are shared openly between States. On 29 November 2006, the Council approved changes to the generic Memorandum of Understanding (MoU) for safety oversight audits in order to address both increased transparency and the treatment of significant safety concerns.

3.2.1.2 The implementation of “just culture” reporting systems is facilitated by the legal guidance on the protection of safety data that was approved by the Council on 3 March 2006 as part of Amendment 11 to Annex 13 — *Aircraft Accident and Incident Investigation* and is a cornerstone of Safety Management Systems (SMS) discussed in paragraph 3.3.1.

3.2.1.3 An upgrade for Air Navigation Plans, to an electronic presentation with interactive update by States, is under development and has reached the operational testing phase.

3.2.2 **Public access to appropriate information.** The ICAO Flight Safety Information Exchange website (FSIX), at (<http://www.icao.int/fsix>), is operational and contains USOAP audit results for those States which have given their consent (95 States as of 18 May 2007), with up-to-date data and information. It may be expected that a majority of Contracting States will agree to make their audit results available to the public by the deadline of 23 March 2008.

3.2.3 **Aircraft registration data.** On 5 December 2006, the Council approved a system that would provide pertinent aircraft registration data collected from States pursuant to Article 21 of the *Convention on International Civil Aviation* (Doc 7300), and the rules governing the procedures and operation of such a system. Work on the development of the system has progressed and it is anticipated that a test version will be available during the 36th Assembly.

3.2.4 **Transparency and sharing of airworthiness information.** The task to review the feasibility of establishing a database application for Contracting States to share airworthiness information could not be initiated due to staffing issues that have now been resolved. The second edition of the *Airworthiness Manual* (Doc 9760) that contains guidance on airworthiness agreements between the States of Registry and Design is under development.

### 3.3 **Recommendation 2/2**

3.3.1 **Safety Management Systems (SMS).** The ICAO Key Activity A8 – *Support the implementation of safety management systems across all safety-related disciplines in all States* ensures the phased implementation of this recommendation. Guidance material, including an ICAO SMS course has been developed. Regional training courses will have been held in the areas of accreditation of all seven regional offices by the 36th Session of the Assembly. Forty-nine “train the trainers” training courses have been delivered in the ICAO regions, as well as three standardization courses. Two workshops for senior managers have been conducted and seven implementation workshops are planned. Introduction of SMS in other Annexes beyond Annex 6 — *Operation of Aircraft*, Annex 11 — *Air Traffic Services* and Annex 14 — *Aerodromes* will be considered and additional guidance material will be developed by the end of 2007.

3.3.2 **Development of a new Annex to the Convention on safety processes.** On 27 February 2007, the Council, acting on a recommendation of the Air Navigation Commission, decided not to pursue the development of a new Annex on safety processes.

3.3.3 **Modernization of Annex 6, Part II — International General Aviation — Aeroplanes,** is progressing. The proposed amendment has been circulated to States and selected international organizations for comments on 30 March 2007.

### 3.4 **Recommendation 2/3**

3.4.1 **Assistance to States and information exchange.** ICAO will ensure that adequate resources are available to implement the recommendation, as part of the USP, allowing Council to monitor progress through the business plan process. Coordination and cooperation between the USOAP and other audit programmes resulted in various Memoranda of Understanding with other organizations.

The FSIX is being continuously developed to increase the scope and use of data by States and the aviation industry.

### 3.5 **Recommendation 2/4**

3.5.1 **Recognition of certificates and licences.** Standards and Recommended Practices (SARPs) to support the recognition as valid of the air operator certificate of foreign operators and the surveillance of their operations are being circulated to States and selected international organizations for comments. Associated guidance material has been drafted. A related policy statement in the form of a draft Assembly Resolution supports the verification and recognition as valid of certificates and licences issued or rendered valid by other States and the surveillance of foreign operators.

### 3.6 **Recommendation 2/5**

3.6.1 Progress reports on the USOAP and the unified strategy to resolve safety deficiencies are provided in separate reports to the Assembly.

3.6.2 **Direct assistance.** The feasibility study of a scheme for ICAO to manage direct assistance to States having inadequate safety oversight capability and to air operators of such States was initiated by ICAO. It is tentatively agreed that a scheme to manage a direct assistance programme for States was feasible. However, expanding the scheme to provide for the management of direct assistance to air operators is considered more complex and poses a range of legal questions that required further study.

### 3.7 **Recommendation 3/1: Safety framework for the 21st century**

3.7.1 The amendment proposal to Annex 6 related to the recognition of air operator certificates, mentioned in paragraph 3.5.1 above, addresses Recommendation 3/1 a) by identifying the State responsible for oversight and how to contact the operational management of the operator.

3.7.2 The development of guidance material to implement coherent economic and technical policies by States' civil aviation authorities has not yet been initiated, but will be processed as a candidate activity for the work programme.

3.7.3 Procedures are being drawn-up to improve the process of developing SARPs, including the use of recommendations by accident investigation bodies. The Commission's study on the development of criteria for determining Standards that are of critical importance for ensuring global safety is being completed and will be presented to Council during the 182nd Session.

3.7.4 The GASP will address the future evolution of safety oversight. A study regarding flags of convenience has been initiated with a report to Council expected during the 182nd Session.

### 3.8 **Conclusion**

3.8.1 All the recommendations directed to ICAO have been or are in the process of being implemented, with the exception of the possibility of establishing a database application for Contracting States to share airworthiness information (paragraph 3.2.4 refers) and of the development of guidance material to implement coherent economic and technical policies (paragraph 3.7.2 refers). The inclusion of those two activities in the ICAO work programme will be the subject of a further assessment that will take into account the resources available.