



INTERNATIONAL CIVIL AVIATION ORGANIZATION

SIXTH MEETING OF THE AERODROMES
OPERATIONAL PLANNING SUB-GROUP (AOP/SG/6)
(Nairobi, Kenya, 11 – 13 May 2005)

**Agenda Item 3: The ICAO Universal Safety Oversight Audit Programme –
Comprehensive Systems Approach**

(Presented by Secretariat)

SUMMARY

Due to the overwhelming success of the ICAO Universal Safety Oversight Audit Programme (IUSOAP) the 33rd Assembly mandated ICAO to expand the IUSOAP to include Annexes 11 and 14 as of 2004. During preparation for the implementation of this expansion, it was agreed that in order to enhance the effectiveness of the programme, this expansion should cover all the safety related provisions in all Annexes. Assembly Resolution A35 – 06 has given ICAO the mandate for this expansion.

This paper outlines the progress so far in the process of this expansion and the activities expected to be implemented in this budgetary triennium 2005 – 2007.

Action by the Meeting: To note the developments.

References:

Assembly 35 Report

1. The ICAO Universal Safety Oversight Audit Programme (IUSOAP) has had a high degree of acceptance and commitment on the part of States who have, for the most part, devoted themselves to the implementation of their corrective action plans. The success of the Programme has led to the demands coming from all corners of the industry for its expansion to cover all the safety-related areas of aviation.

2. During the 33rd Session of the Assembly in 2001, ICAO was mandated to expand the programme to cover Air Traffic Management (Annex 11) and Aerodromes (Annex 14) as of 2004. The 33rd Assembly also recommended the expansion of the programme to all safety-related areas in due time. At this juncture, the philosophy centred along the desire to have a phased expansion in order to maintain the acceptance and effectiveness.

3. The expansion mandated in 2001 could not be effectively implemented as the

preparatory work for this limited expansion highlighted difficulties in implementing a limited portion of the aviation activities without fully addressing associated procedures and practices. In appreciation of this fact, the Council decided to delay the expansion of the programme to Annex 11 and 14 by one year in order to propose to the Assembly that a broader expansion represented by a “comprehensive systems approach” for audits on the IUSOAP, addressing safety-related provisions in all Annexes. Assembly Resolution A35-06 mandated the expansion to ALL Annexes and the transition to a comprehensive systems approach for the conduct of the safety oversight audits as of January 2005.

4. The comprehensive systems approach for the conduct of safety oversight audits consists of two phases. In the first phase, the level of implementation of Annex provisions will be assessed and differences will be identified for each Contracting State through a review of a duly completed State Aviation Activity Questionnaire (SAAQ 2005) and Compliance Checklists (CCs) for all safety-related Annexes, as well as through a review of documents developed by the State to assist it in its implementation of international Standards and Recommended Practices (SARPs) and in maintaining an effective safety oversight system. In the second phase, the State being audited will be visited by an ICAO audit team, who would validate the information provided by the State and conduct an on-site audit of the State’s overall capability for safety oversight. This includes an audit of the organization, processes, procedures and programmes established and maintained by the State to help it fulfil its safety oversight obligations. Audits under a comprehensive systems approach will be tailored to the level and complexity of aviation activities in the State to be audited, taking into account the mechanisms put in place by the State to carry out its safety oversight responsibilities. The duration and periodicity of the visits, as well as the size of the audit teams, will be determined on the basis of a review of the information contained in relevant documents provided by the State, including the completed SAAQ and the CCs. The audit will be concluded with the release of the Final Safety Oversight Audit Report that includes the audit findings and recommendations, the State’s action plan and comments, and the comments by ICAO on the State’s corrective action plan.

5. The SAAQ 2005 and CCs have already been sent to States who are required to complete them and submit them to ICAO (either in hard copy or in electronic format) by 31 May 2005. It should be noted that the two AFI States, namely The Gambia and Cape Verde, are among the first to be audited in 2005.

6. This meeting is expected to discuss this matter in as far as it relates to the Annex 14 and develop a strategy for uniform cooperation by all States in the AFI Region.
