International Civil Aviation Organization

AFI PLANNING AND IMPLEMENTATION REGIONAL GROUP
SIXTEENTH MEETING (APIRG/16)
(Kigali, Rwanda 19-23 November 2007)

Agenda Item 3.0: Global and Inter-Regional Activities
       3.4 The report of the actions being taken on the recommendations of the Director's General of Civil Aviation Conference on a Global Strategy for aviation safety (DGCA/06)

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

(Presented by the Secretariat)

SUMMARY

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

Action by APIRG/16 is in paragraph 4.

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1. **INTRODUCTION**

1.1   On 7 June 2007, the Air Navigation Commission reviewed the progress report on the implementation of the DGCA/06 recommendations and approved the report.

2. **LEVEL OF IMPLEMENTATION BY STATES OF THE DGCA/06 RECOMMENDATIONS**

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 replies 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 Universal Safety Oversight Audit Programme (USOAP).

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

3.   **FOLLOW-UP ACTIONS BY ICAO ON THE DGCA/06 RECOMMENDATIONS**

3.1   **Recommendation 1/1: Aviation safety, safety oversight and initiatives by States and industry**. The recommendation is being implemented as part of the Strategic Objective A, *Safety — Enhance global civil aviation safety*. The Unified Strategy Programme (USP) aims at directing resources towards the establishment of sustainable safety oversight solutions, and reports separately on this subject. The new version of the Global Aviation Safety Plan (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: State and industry access to information and assistance, public access to appropriate information, implementation of Article 21 to the Convention, and transparency and sharing of airworthiness information**

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

3.2.1.1   The Universal Safety Oversight Audit Programme (USOAP) audit reports are shared openly between States. 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).

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 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 to be held from 18 to 28 September 2007.

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 has not yet been initiated, but will be considered as a candidate activity for the work programme. 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: Safety management systems, study the development of a new Annex to the Convention on safety processes, and ICAO's effort to modernize Annex 6, Part II**

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 reviewed by the Commission and is being circulated to States and selected international organizations for comments.

3.4   **Recommendation 2/3: Assistance to States and information exchange (FSIX)**

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 the Council to monitor progress through the business plan process. Coordination and cooperation between the USOAP and other audit programmes resulted in various MoU 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: Verification, recognition and surveillance of foreign aircraft, and safety clause**

3.5.1   **Recognition of certificates and licenses**. 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 have been reviewed by the Air Navigation Commission and 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 licenses issued or rendered valid by other States and the surveillance of foreign operators.

3.6   **Recommendation 2/5: USOAP, and unified strategy and direct assistance**

3.6.1   **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 require 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 foreign air operator certificates, mentioned in paragraph 3.6.1 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 State's 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 has been completed and will be presented to Council separately.

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 in November-December 2007.

4.   **ACTION BY APIRG:**

4.1   The meeting is invited to:

        a)   note the information contained in the paper; and

        b)   encourage States to continue to implement the recommendations of DGCA/06.

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