



A36-WP/291  
EX/96  
21/9/07  
**Revised**  
25/9/07

**ASSEMBLY — 36TH SESSION**  
**EXECUTIVE COMMITTEE**

**DRAFT TEXT FOR THE REPORT**  
**ON**  
**AGENDA ITEM 13**

The attached material on Agenda Item 13 is submitted for consideration by the Executive Committee.

---

**Agenda Item 13: Progress report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach**

13.1 The Plenary had referred to the Executive Committee the consideration of Agenda Item 13: Progress report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach.

13.2 At its second meeting the Executive Committee considered A35-WP/64, containing the Progress report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach, together with papers presented by the Republic of Korea (A36-WP/263); United States (A36-WP/80 and Corrigendum); Antigua and Barbuda, Barbados, Dominica, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname and Trinidad and Tobago (A36-WP/179); by Portugal, on behalf of the European Community and its Member States, by the other States Members of the European Civil Aviation Conference (ECAC), and by the European Organization for the Safety of Air Navigation (EUROCONTROL) (A36-WP/72); and by the Interstate Aviation Committee (A36-WP/73).

13.3 The Executive Committee expressed its appreciation and congratulated the Secretary General for the results achieved by USOAP during the present triennium, as detailed in A36-WP/64. The Committee also commended the Secretariat for the detailed audit results analysis provided under separate cover.

13.4 The Committee further indicated that USOAP has had a very positive effect on the international aviation community and has become an essential mechanism to determine the safety oversight capability of Contracting States.

13.5 The Committee supported the concept of regional safety oversight organizations as contained in A36-WP/179, recognizing that such organizations bring benefits beyond those which could be achieved by their individual member States. The Committee also recognized that, in appropriate circumstances, regional safety oversight entities performing activities on behalf of their member States should continue to be audited by USOAP.

13.6 In relation to A36-WP/263, the Committee acknowledged the importance of analysing audit results using tools to collect and maintain current safety-related information which would allow for real-time monitoring of States' safety oversight capabilities.

13.7 The Executive Committee strongly supported the proposal contained in A36-WP/80 regarding the application of a continuous monitoring methodology for USOAP beyond 2010, based on safety-risk analysis principles and continuous data gathering, while considering other options as contained in A36-WP/64.

13.8 The Committee noted that the proposals contained in A36-WP/72, regarding the development of the continuous monitoring methodology for USOAP, ~~were in line with~~ are a useful complement to those contained in A36-WP/80, and that the proposed methodology should consider the

prioritization of audits of States. The Committee also indicated that it was important to continue to conduct the analysis of audit results and to make relevant audit information available to the public. In this regard, the Committee acknowledged the need to continue to urge States not already having done so to sign the release consent form, as recommended by the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06).

13.9 In relation to A36-WP/73, the Committee noted the need for increased cooperation between ICAO and other auditing organizations with a view to streamlining the number of audits.

13.10 The Executive Committee concluded that:

- a) the USOAP has continued to successfully meet its mandate as given by the 35th Assembly;
- b) Contracting States not having already done so should demonstrate their commitment to improving safety by providing consent for the release of relevant audit information to the public as soon as possible, and preferably before March 2008;
- c) the data collected during the current comprehensive systems approach audit cycle should form the foundation of USOAP beyond 2010; and
- d) ICAO should undertake, as soon as possible, a study to develop a continuous monitoring approach, that would include the analysis of safety risk factors for the evolution of USOAP beyond 2010, while adhering to the fundamental principles of USOAP.

13.11 In view of the deliberations and the unanimous support of Contracting States of USOAP and in order to address the future nature and direction of the Programme following the completion of the current audit cycle in 2010, the Executive Committee decided to propose to the Plenary a draft Assembly Resolution.

**RESOLUTION FRAMED BY THE EXECUTIVE COMMITTEE AND RECOMMENDED  
FOR ADOPTION BY THE ASSEMBLY**

**Resolution 13/1**

**Application of a continuous monitoring approach for the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010**

*Whereas* the primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

*Whereas* promoting the implementation of international standards contributes to this objective;

*Recalling* that the 32nd ordinary Session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

*Whereas* the ICAO Universal Safety Oversight Audit Programme (USOAP) has been successful in meeting the mandate given by Resolutions A32-11 and A35-6;

*Recalling* that the ultimate responsibility for safety oversight rests with Contracting States, who shall continuously review their respective safety oversight capabilities; and

*Recognizing* the need to address the future nature and direction of the USOAP following the completion of the current audit cycle in 2010;

*The Assembly:*

1. *Expresses* its appreciation to the Secretary General on the continuing success in the implementation of the comprehensive systems approach for the USOAP;

2. *Directs* the Council to make appropriate changes to USOAP to incorporate the analysis of safety risk factors, including the corresponding guidance material, and apply them on a universal basis, following the completion of the current audit cycle in 2010, ~~using a continuous monitoring approach~~ to assess, on an on-going basis, States' compliance with their oversight obligations and adapt the audit planning and scope accordingly;

3 *Directs* the Council ~~to ensure that the~~ examine the feasibility, among the various options that could be considered, of a new approach based on the concept of continuous monitoring ~~approach~~, to be implemented ~~beginning~~ at the end of the current audit cycle in 2010, ~~maintains~~ 2010. In so doing, the Council shall continue to maintain as core elements the key safety provisions contained in Annex 1 – *Personnel Licensing*, Annex 6 – *Operation of Aircraft*, Annex 8 – *Airworthiness of Aircraft*, Annex 11 – *Air Traffic Services*, Annex 13 – *Aircraft Accident and Incident Investigation*, and Annex 14 – *Aerodromes*; and

4. *Requests* that the Council report to the next ordinary Session of the Assembly on the overall implementation plan for this new auditing approach to commence after 2010.

— END —