

**58<sup>th</sup> CONFERENCE OF  
DIRECTORS GENERAL OF CIVIL AVIATION  
ASIA AND PACIFIC REGIONS**

*Dhaka, Bangladesh  
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**AGENDA ITEM 3: AVIATION SAFETY**

**AUDIT TEAM COMPOSITION OF ICAO USOAP/SSPIA –  
A NEW CONCEPT**

(Presented by Bangladesh)

**SUMMARY**

Team composition for an ICAO's Universal Safety Oversight Audit Programme (USOAP) is a major factor, in the determination of effectiveness of an audit. The ICAO audit focuses on a State's capability in providing safety oversight.

This paper suggests that importance of addition of LEG and ORG SMEs who have become qualified undertaking ICAO CBT in an ICAO USOAP audit. As a general rule, the Team Leader undertakes the responsibility of LEG and ORG areas out of the total eight areas of the audit in addition to his/her specific area of expertise. To ease the workload of the Team Leader and to support him /her manifold duties, CBT completed personnel from the LEG and/or ORG areas may be considered to be included in the team and in this way the idea all-inclusiveness of an audit would be fulfilled.

Alternatively, a team composition where the Team Leader undertakes the LEG/ORG responsibility but his specified area of expertise is being undertaken by another additional Auditor/SME may also be considered.

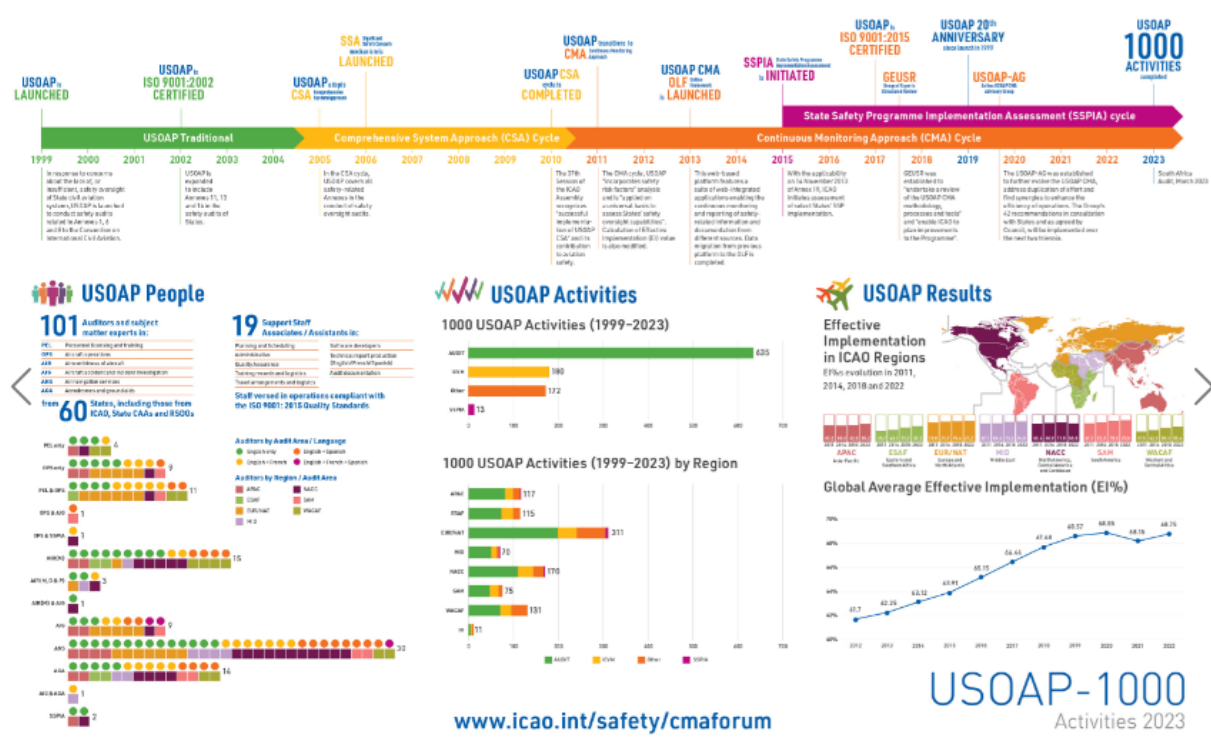
ICAO also conducts State Safety Programme Implementation Assessment (SSPIA). On a similar approach a SSPIA team composition may be considered in such a way that the Team leader may undertake the responsibility of GEN and/or SDA areas, manages the overall responsibilities of the team while other the team members could be brought in in their area of expertise. Inclusion of SSP experts in the ICAO SSPIA team may also be considered for capacity building and such inclusion will add to team performance and better management of the audit team.

# AUDIT TEAM COMPOSITION OF ICAO USOAP/SSPIA - A NEW CONCEPT

## 1. INTRODUCTION

1.1 ICAO conducts regular audits under Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA). These audits encompass the safety-related provisions contained in the Annexes to the Convention on International Civil Aviation, under the USOAP CMA framework thus promoting global aviation safety by continuously monitoring and updating the safety oversight capabilities of all ICAO Member States.

1.2 From 1999 to 2023, ICAO has conducted 1000 USOAP activities around the world.



1.3 These audits encompass the civil aviation safety oversight system of Member States in the eight of the following areas: Primary Aviation Legislation and Specific Operating Regulations (LEG), Civil Aviation Organization (ORG), Personnel Licensing (PEL), Aircraft Operations (OPS), Airworthiness of Aircraft (AIR), Aircraft Accident and Incident Investigation (AIG), Air Navigation Services (ANS), and Aerodromes and Ground Aids (AGA).

1.4 The audit is conducted through a team consisting of a Team Leader and requisite number of Team Members. The team members are selected among qualified subject matter experts from ICAO, States or recognized organizations, taking into consideration the geographical region, area of expertise and language of the mission being considered.

1.4 This paper suggests that addition of LEG and ORG SMEs who have become qualified undertaking ICAO CBT in an ICAO UOSOAP audit would benefit the audit team. This is proposed to help ICAO to assess a State’s capability in implementing the critical elements related to LEG and ORG areas more effectively and consistently.

1.5 As a general rule, the Team Leader undertakes the responsibility of LEG and ORG areas out of the total eight areas of the audit in addition to his specific area of expertise. To ease the workload of the Team Leader and to support him /her manifold duties, CBT completed personnel from the LEG and/or ORG areas may be considered to be included in the team.

1.6 This inclusion will relieve the Team Leader to a great extent by allowing him to concentrate more on the team management and soliciting a direct help on the LEG and ORG areas. The SMEs on LEG and or ORG can analyze the gathered information on the spot and use his/her expertise to provide feedback to the Team Leader directly. This would definitely enrich the team composition and in the long run would ease the workload of the entire team, which will be explained in detail in the discussion part.

1.7 On a different approach, the team leader may continue to look after the LEG/ORG areas and in the overall team management whereas his basic area may be looked after by bringing in another expert in his area of expertise.

1.8 State Safety Programme Implementation Assessment (SSPIA) is a USOAP CMA performance-based activity. The eight assessment areas of a State's SSP are: SSP General Aspects (GEN), Safety Data Analysis (SDA), Personnel Licensing and Training (PEL), Aircraft Operations (OPS), Airworthiness of Aircraft (AIR), Aircraft Accident and Incident Investigation (AIG), Air Navigation Services (ANS) and Aerodromes and Ground Aids (AGA).

1.9 On a similar approach a SSPIA team composition may be considered in such a way that the Team leader may undertake the responsibility of GEN and/or SDA areas, manages the overall responsibilities of the team while the team members could be brought in in their area of expertise such as PEL, OPS, AIR, AIG, ANS and AGA. Inclusion of SSP experts in the ICAO SSPIA team may also be considered for regional capacity building.

## **2. DISCUSSION**

2.1 ICAO conducts regular Computer Based Training (CBT) programmes, to enhance capacity building within ICAO and among the member States.

2.2 ICAO has the total statistics of the number of SMEs who have successfully completed the CBTs in the LEG and ORG areas but we expect the numbers to be not too little. If these potential SMEs are included in the Audit Team, they would be an added advantage to the team. Their inclusion will relieve the Team Leader in deciding on areas like LEG/ORG easily and at the same time management would be better utilized. This will also help in better utilizing the SME experts already created through CBT.

2.3 Giving due recognition to the team composition strategies of ICAO and the selection of any of the following Team Composition may be considered will enhance the Team capability and better management of an ICAO Audit:

- a) The inclusion of one or more experts from the LEG and/or ORG areas where the Team Leader may be relieved of his duties in LEG/ORG areas and can concentrate on his area of expertise e.g. expertise eg, Flight OPS, ANS etc. We strongly believe that including LEG and/or ORG trained SMEs would help the audit team in the long run.

Or,

- b) The Team Leader may continue with LEG/ORG responsibilities The Team leader may undertake the responsibility of LEG/ORG areas, manages the overall responsibilities of the team but an additional SME is brought in in his own area of expertise. As for example, if the Team Leader is from Flight Operations (OPS), then an SME on OPS may be brought in to tackle the OPS issues while the Team Leader retains the responsibility of LEG/ORG in addition to his/her other responsibilities.

2.4 The USOAP audits now a days encompass more days compared to what had been allotted before. This has been done to handle the rising number of safety issues comprehensively. As such an addition to the team would be an added benefit. In short, the availability of ICAO Trained

SMEs should be utilized to the fullest extent possible. Otherwise these potential human resources would remain unutilized and may be considered wastage of training and capability.

2.5 Through the SSP Implementation Assessment (SSPIA), ICAO assesses the level of maturity of a State's safety programme (SSP) by conducting a systematic and objective review of the State's implementation and maintenance of its SSP.

2.6 On a similar strategy, a SSPIA team composition may be considered in such a way that the Team leader may undertake the responsibility of GEN and/or SDA areas, manages the overall responsibilities of the team while the team members could be brought in in their area of expertise such as PEL, OPS, AIR, AIG, ANS and AGA. As for example, if the Team Leader is from Flight Operations, then an SME on Flight Operations may be brought in to tackle the flight operations issues while the team leader retains the responsibility of GEN and/or SDA in addition to his/her other responsibilities.

2.7 Inclusion of SSP experts in the ICAO SSPIA team may be considered for capacity building. Evaluation of State safety Programme (SSP) of the member States is a new domain of Audit and the requirement is vast. Many States in the region have SSP/SMS subject matter experts who are already trained and experienced in SSP and SMS and practicing SSP implementation and involved in SMS audits. As this is a challenging endeavor and the new SMEs need to be trained through ICAO USOAP CBT on SSPIA would be a great idea.

2.8 If the suggestions made in the are considered, ICAO's strategy of leaving no country left behind would be fulfilled and making the audit in all-inclusiveness will be materialized. If ICAO does not utilize the vast number of SMEs already trained through CBTs, they would remain unutilized and would be a shear waste of training, time and money in the long run.

### **3. ACTION BY THE CONFERENCE**

3.1 The Conference is invited to:

- a) consider the concept and logics so provided in the paper and discuss on the issues raised in the paper;
- b) urge ICAO to include SMEs on LEG and/or ORG in the future ICAO audit teams; Or, include SMEs from their related audit areas to supplement the Team Leader activities while team leader retains the responsibility of LEG and/or ORG for ICAO USOAP CMA;
- c) urge ICAO to include SMEs on SSP in the future ICAO SSPIA teams for capacity building of States/Administrations;
- d) include SMEs from their related audit areas to supplement the Team Leader activities while team leader retains the responsibility of GEN and/or SDA for SSPIA; and
- e) urge ICAO GAT to introduce new ICAO USOAP CBT on SSPIA to produce more SMEs/Assessors/Auditors.