

Safety Oversight Audit Section

Regional Seminar on the Preparation, Conduct and Reporting of an ICAO Safety Oversight Audit

Beijing, China, 12 to 15 December 2006

Completing the Audit Tools – Online Application

Module 7

Module objective

At the end of this module, the participants will be familiar with the features and capabilities of the secure online application developed by SOA for the completion of the audit tools and the dissemination of safety oversight audit reports to States.

Outline

- ❑ Module objective
- ❑ The requirements
- ❑ Website capabilities
- ❑ Website advantages
- ❑ Completing the State Aviation Activity Questionnaire
- ❑ Completing the Compliance Checklists
- ❑ Consulting safety oversight audit reports and related analyses
- ❑ Accessing the website
- ❑ Demonstration

The requirements – A35-6

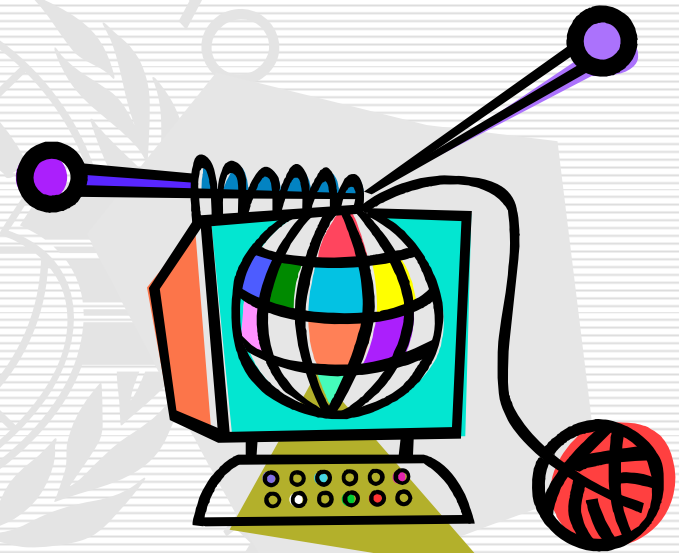
Provide a means for States to complete and/or update the State Aviation Activity Questionnaire (SAAQ) and Compliance Checklists (CCs)

Make the Final Safety Oversight Audit Reports available to States

Provide access to relevant information from the AFDD

The solution

To meet these requirements,
the Safety Oversight
Audit Section
developed a secure website
available to Contracting
States and the ICAO
Secretariat



Website capabilities

Complete/update the
State Aviation Activity
Questionnaire (SAAQ)
online

Complete/update the
Compliance
Checklists (CCs)
online

Generate
State
reports

Consult
Safety Oversight
Audit Reports and
related analyses

Website advantages

Facilitates the submission of audit documentation to ICAO

Contracting States can enter information on a real-time basis (24/7)

Quicker, more efficient way to communicate with ICAO

Promotes transparency and the sharing of safety-related information

ICAO Universal Safety Oversight Audit Programme

Logon Page



Pursuant to Assembly Resolution A35-6, this website has been developed to provide all Contracting States the ability to access safety critical information collected from Contracting States that completed the State Aviation Activity Questionnaire (SAAQ) and compliance checklists in preparation for the USOAP audit and from the safety oversight audits performed to date. This secure site contains final safety oversight audit reports including the audit findings, recommendations, State's action plan and comments, as well as the comments of the Safety Oversight Audit Section on a State's action plan in addition all relevant information derived from the Audit Findings and Differences Database (AFDD).

User ID:

Password:

Logon

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SOA SECURE WEBSITE – LOGON PAGE

ICAO Universal Safety Oversight Audit Programme

State Options

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Log Out



Manage State Aviation Activity Questionnaire



Manage Compliance Checklist



Manage User Options



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Manage State Aviation Activity Questionnaire

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**SELECT THE APPLICATION YOU WANT TO WORK WITH
STATE AVIATION ACTIVITY QUESTIONNAIRE**



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State Aviation Activity Questionnaire 2005



Report

[Home Page](#)

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Section Contents for Aviation Questionnaire

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| Reference | Questions | Comments | Yes | No | |
|-----------|--|--|-------------------------------------|--------------------------|--|
| GEN 1.1 | <p>PART 1. - GENERAL ADMINISTRATIVE INFORMATION</p> <p>Provide the name, position and address of the person designated as the State coordinator with respect to the ICAO Universal Safety Oversight Audit Programme (USOAP).</p> <p>Specify: Name: Position: Contact address: Tel: Fax: E-mail :</p> | <p>Ing. J. Jesús Moreno Bautista Director General Adjunto de Seguridad Aérea Calle Providencia No. 807, 4° Piso, Colonia del Valle, Delegación Benito Juárez, C.P. 03100 México D.F. Tel (55) 56-82-94-00 Fax (55) 55-23-47-51 jmoreno@sct.gob.mx</p> | <input type="checkbox"/> | <input type="checkbox"/> | |
| GEN 1.2 | What is the normal workweek, e.g. Mon to Fri; Sat to Wed? | De Lunes a Viernes | <input type="checkbox"/> | <input type="checkbox"/> | |
| GEN 1.3 | What are the normal working hours, e.g. 0900 to 1700; 0730 to 1430? | De 09:00 a 21:00 hrs. | <input type="checkbox"/> | <input type="checkbox"/> | |
| GEN 1.4 | What statutory holidays should be considered as not suitable for planning an audit? | <p>01-Enero (Año Nuevo) 05 Febrero (Aniv. Constitución) 21 Marzo (Natalicio Juárez) 13 y 14 Abril (Semana Santa) 01 Mayo (Día del Trabajo) 05 Mayo (Batalla de Puebla) 16 Septiembre (Aniv. Indepen.) 01 y 02 Noviembre (Difuntos) 20 Noviembre (Aniv. Revoluci.) 25 Diciembre (Navidad)</p> | <input type="checkbox"/> | <input type="checkbox"/> | |
| GEN 1.5 | Is there an annual vacation period when many of the essential staff may not be available and, therefore, that should be avoided when scheduling the audit? | 16 Diciembre - 02 Enero | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| GEN 1.6 | What documentation will be required from and made available to | Identificación oficial con foto, para expedición de gafetes | <input type="checkbox"/> | <input type="checkbox"/> | |

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SAAQ SAMPLE PAGE



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Manage State Aviation Activity Questionnaire



Manage Compliance Checklist



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Safety Oversight Audit Results



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**SELECT THE APPLICATION YOU WANT TO WORK WITH
COMPLIANCE CHECKLISTS**

Select Annex | Reports - ICAO | Home Page | Log Out

| | Legislation Compliance Quote relevant State Act/Regulation or Document Reference | Difference | | | Not Applicable | Text of the difference identified by the State | Comments including the reason for difference |
|--|---|----------------------------------|---|---|----------------|--|--|
| | | Yes | | | | | |
| | | Level of implementation of SARPs | | | | | |
| | No | More Exacting or Exceeds | Different in character or Other means of compliance | Less protective or partially implemented or not implemented | | | |

- 01 - Personnel Licensing PEL/TRG MED
- 02 - Rules of the Air ATM
- 03 - Meteorological Services for International Air Navigation MET
- 04 - Aeronautical Charts AIS/MAP
- 05 - Units of Measurement to be used in AIR and Ground Operations OPS/AIR
- 06 - Operations of Aircraft OPS/AIR
- 07 - Aircraft Nationality and Registration Marks OPS/AIR
- 08 - Airworthiness of Aircraft OPS/AIR
- 10 - Aeronautical Telecommunications CNS
- 11 - Air Traffic Services ATM
- 12 - Search and Rescue ATM
- 13 - Aircraft Accident and Incident Investigation AIG
- 14 - Aerodromes
- 15 - Aeronautical Information Services AIS/MAP
- 16 - Environmental Protection OPS/AIR
- 18 - The Safe Transport of Dangerous Goods by Air OPS/AIR



SELECT THE ANNEX RELATED TO THE COMPLIANCE CHECKLIST YOU WANT TO WORK WITH

| Annex Reference & SARP Identifier | Annex 3 METEOROLOGICAL SERVICE FOR INTERNATIONAL AIR NAVIGATION FOURTEENTH EDITION - JULY 2004 Amendment 73 Annex Standard or Recommended Practice | Legislation Compliance Quote relevant State Act/Regulation or Document Reference | Difference | | | Not Applicable | Text of the difference identified by the State | Comments including the reason for difference |
|-----------------------------------|--|--|----------------------------------|--------------------------|---|----------------|--|--|
| | | | Yes | | | | | |
| | | | Level of implementation of SARPs | | | | | |
| | | | No | More Exacting or Exceeds | Different in character or Other means of compliance | | | |

| Chapter 1 | PART I | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
|-------------------------|--|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--|--|
| Reference# 1.1 | CORE SARPs | | | | | | | | |
| ID Number 03-0000001000 | CHAPTER 1. DEFINITIONS | | | | | | | | |
| Standard | <p>Definitions</p> <p>When the following terms are used in the Standards and Recommended Practices for Meteorological Service for International Air Navigation, they have the following meanings:</p> <p>Aerodrome. A defined area on land or water (including any buildings, installations and equipment) intended to be used either wholly or in part for the arrival, departure and surface movement of aircraft.</p> | | | | | | | | |

COMPLIANCE CHECKLIST SAMPLE PAGE



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Manage State Aviation Activity Questionnaire



Manage Compliance Checklist



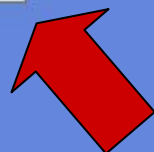
Manage User Options



Safety Oversight Audit Results



ICAO Administration



**SELECT THE APPLICATION YOU WANT TO WORK WITH
SAFETY OVERSIGHT AUDIT RESULTS**



SOA STATE REPORTS

Canada

Audit Period- 12/04/2005 to 22/04/2005

- Results of State Aviation Activity Questionnaire
- Results on level of compliance to SARPs
- Final Safety Oversight Audit Report (PDF)
- Audit Findings and Recommendations
- Corrective Action Plan submitted by the State
- Graphic representation of the lack of effective implementation of the eight critical elements
- Analysis by Area
 - Primary aviation legislation and civil aviation regulations
 - Civil aviation organization
 - Personnel licensing and training
 - Aircraft operations certification and supervision
 - Airworthiness of aircraft
 - Aircraft accident and incident investigation
 - Air navigation services
 - Aerodromes
- Subsequent comments/action provided by the State - Not validated by ICAO
- Safety Related Annexes

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Address http://www.icao-soa.ca/soareports/reports/CAND/ICAO-USOAP_Canada_Final_Audit_Report.pdf Go

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ICAO Universal Safety Oversight Audit Programme

FINAL REPORT ON THE SAFETY OVERSIGHT AUDIT OF THE CIVIL AVIATION SYSTEM OF CANADA STATE

CONSULT AUDIT REPORTS IN THEIR ENTIRETY

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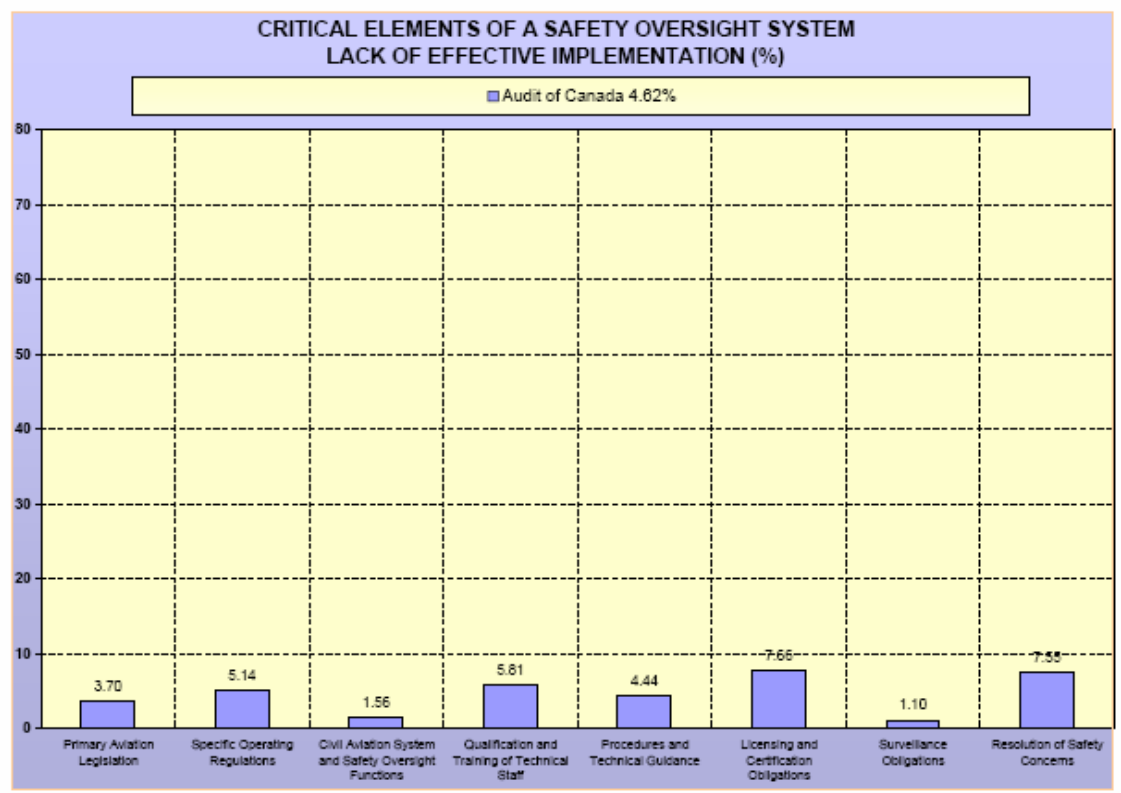
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Address http://www.icaoosa.ca/soareports/reports/CAND/ICAO-USOAP_Canada_APPENDIX_2.pdf Go

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IMPLEMENTATION OF THE CRITICAL ELEMENTS



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State Reports

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SOA STATE REPORTS

Canada

Audit Period- 12/04/2005 to 22/04/2005

Results of State Aviation Activity Questionnaire

Results on level of compliance to SARPs

- + Annex 1 PERSONNEL LICENSING
- + Annex 2 RULES OF THE AIR
- + Annex 3 METEOROLOGICAL SERVICE FOR INTERNATIONAL AIR NAVIGATION
- + Annex 4 AERONAUTICAL CHARTS
- + Annex 5 UNITS OF MEASUREMENT TO BE USED IN AIR AND GROUND OPERATIONS
- + Annex 6 OPERATION OF AIRCRAFT
- + Annex 7 AIRCRAFT NATIONALITY AND REGISTRATION MARKS
- + Annex 8 AIRWORTHINESS OF AIRCRAFT
- + Annex 10 AERONAUTICAL TELECOMMUNICATIONS
- + Annex 11 AIR TRAFFIC SERVICES
- + Annex 12 SEARCH AND RESCUE
- + Annex 13 AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION
- + Annex 14 AERODROMES
- + Annex 15 AERONAUTICAL INFORMATION SERVICES
- + Annex 16 ENVIRONMENTAL PROTECTION
- + Annex 18 THE SAFE TRANSPORT OF DANGEROUS GOODS BY AIR

Final Safety Oversight Audit Report (PDF)

Audit Findings and Recommendations

Corrective Action Plan submitted by the State

Graphic representation of the lack of effective implementation of the eight critical elements

RESULTS ON THE LEVEL OF COMPLIANCE BY ANNEX

STATUS OF COMPLIANCE – SAFETY RELATED ANNEXES

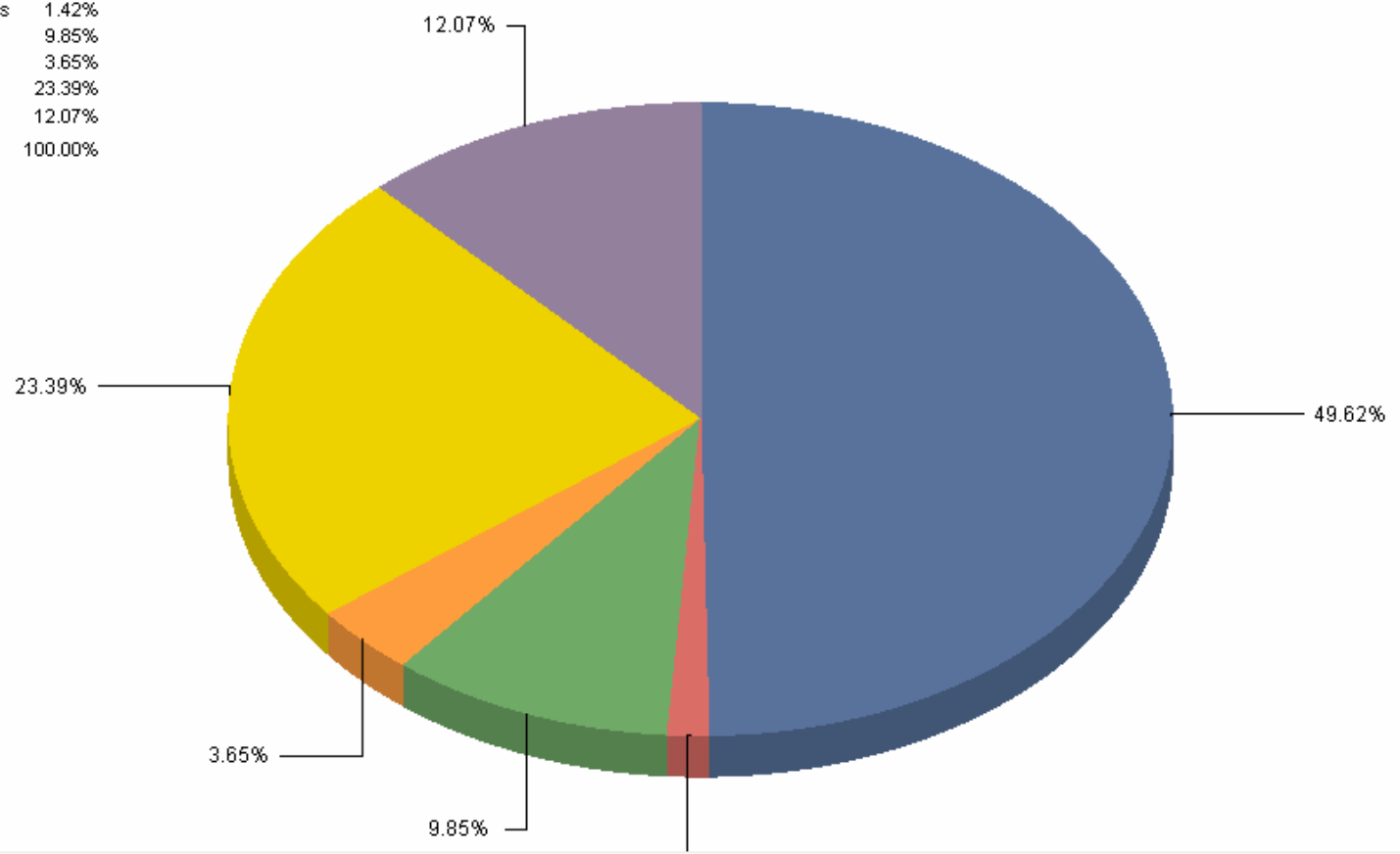
Canada

Safety Related Annexes



| Fully Implemented | More Exacting or Exceeds | Different in Character or Other Means of Compliance | Less Protective or Partially Implemented or Not Implemented | Not Applicable | Not Complete |
|-------------------|--------------------------|---|---|----------------|--------------|
| 4,862 | 139 | 963 | 357 | 2,290 | 1,180 |

| | |
|--------------------------|---------|
| Fully Implemented | 49.62% |
| More Exacting or Exceeds | 1.42% |
| Different in Character | 9.85% |
| Less Protective | 3.65% |
| Not Applicable | 23.39% |
| Not Complete | 12.07% |
| Total: | 100.00% |





Log Out



Manage State Aviation Activity Questionnaire



Manage Compliance Checklist



Manage User Options



Safety Oversight Audit Results



ICAO Administration

**SELECT "MANAGE USER OPTIONS"
TO CHANGE YOUR PASSWORD**



Change Your Password

New Password:

Confirm New Password:

OK

Cancel

Accessing the website

www.icao.int/soa
+ username and password

- ❑ User names and passwords have been provided to all DGCAs and National Safety Oversight Coordinators.
- ❑ Internal dissemination of the username and password is left at the discretion of the State.
- ❑ The username and password provides States with the ability to complete/update the audit tools online and generate reports.
- ❑ States may request additional usernames and passwords through their NSOC, with “write” or “read-only” rights.

In case of trouble:

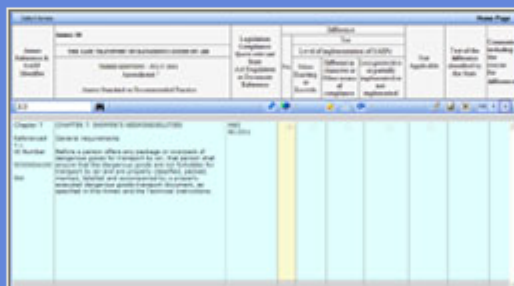


Log Out

Thailand Report is now available in the "Safety Oversight Audit Results" below.



Manage State Aviation Activity Questionnaire



Manage Compliance Checklist



Manage User Options

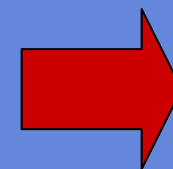


Safety Oversight Audit Results



ICAO Administration

Access the online help documentation:



ICAO SOA Secure Website

<http://www.icao.int/soa>

Logon Page

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Logon Page

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User ID:
Password:
Logon

Review

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- ❑ Demonstration

Safety Oversight Audit Section

Thank you!

