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ASSEMBLY — 36TH SESSION

EXECUTIVE COMMITTEE

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

DEVELOPMENT OF THE USOAP BEYOND 2010

(Presented by the Republic of Korea)

EXECUTIVE SUMMARY

This working paper is to recognize contribution of the USOAP to the enhancement of aviation safety oversight system on a global basis and address the issues that need to be considered for further development of the USOAP.

Action: The Assembly is invited to:

- direct ICAO to take a further action on the analysis of the USOAP results to evaluate the impact of the findings on the aviation safety and to consider adjusting the USOAP protocol;
- support the concept of the transition to the continuing monitoring system; and
- encourage ICAO and Contracting States to give special concern for keeping up-to-date the data derived from the USOAP results, State Aviation Activity Questionnaires (SAAQs), and Compliance Checklists (CCs).

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A — <i>Enhance global civil aviation safety.</i>
<i>Financial implications:</i>	No additional resources required.
<i>References:</i>	

1. INTRODUCTION

1.1 It is no doubt that the ICAO Universal Safety Oversight Audit Programme, since its first launch as a voluntary assessment programme in 1995, has made a great achievement in enhancing aviation safety oversight capability on a global basis. It allows ICAO to identify safety-related deficiencies and, at the same time, to help States to rectify such shortcomings. And it has assisted States in making well-informed determinations on compliance status of other States by making available an enormous amount of information on the safety oversight system of the audited States.

1.2 However, given no indication that the findings identified during the USOAP have a direct impact on the aviation safety, in other words, on prevention of aircraft accidents and incidents, the USOAP tends to impose an unnecessary overload on Contracting States by having them exert their effort and resources to take a corrective action. And without an appropriate tool and/or a mechanism to keep up-to-date the accumulated information, no matter how abundant and useful the collected information is, it will soon become of no use.

2. DISCUSSION

2.1 In order to improve the contribution to the aviation safety of the current and future ICAO USOAP, the following issues need to be addressed.

2.2 ***Analysis of the USOAP result and Changes in Protocol Questions:*** The USOAP findings need to be analyzed with a view to evaluating its direct impact on the aviation safety and the oversight capability of the audited Contracting States. Based on the analysis, the current protocol questions need to be adjusted to focus more on the safety-related matters. Such analysis will provide States with a clear indicator, with which they can prioritize their safety-related activities. With regard to the States that are in preparation for the conduct of USOAP, more fine-tuned audit protocol will help them to utilize their available resources in a more effective and efficient way.

2.3 ***Importance of keeping up-to-date the information available:*** ICAO will have had an enormous amount of information about States' compliance – the result of on-site audit and data submitted by States. Without continued monitoring and updates on such information, it will not be as useful as it means to be. The worst of all is that such outdated data misleads the judgement of Contracting States on the compliance status of the Standards and Recommended Practices (SARPs) and the health of their safety oversight system. States are obliged to periodically update the submitted data on a continuing basis. However, the information provided by States is not timely and reliable enough to maintain the integrity of the data.

2.4 ***The Future development of the USOAP beyond 2010:*** It is strongly supported that ICAO should conduct a study in the course of the upcoming triennium on the future development of the USOAP beyond 2010 when the current cycle of the USOAP ends, with a view to adopting a more proactive approach. The Republic of Korea is also of the view that the Continuing monitoring system should be supplemented by actual on-site audit on the targeted areas that have been identified through the continuing monitoring. It will lead to more efficient use of resources of both ICAO and the Contracting States.

2.5 *The use of the SMIS as a tool to assist the ICAO continuing monitoring system:* The SARPs Management and Implementation System (SMIS), which is a computer-based management system to enable civil aviation authorities to manage timely compliance with the SARPs, identify the items requiring improvements, and monitor progress on a real-time basis, can be considered a tool to assist the ICAO continuing monitoring system. Now that the SMIS is to include the management of SAAQ, the protocols, of USOAP results, it can provide ICAO with the most baseline information of the continuing monitoring system-SAAQ, CCs, and Protocol. And if the SMIS becomes interoperable with the ICAO database system that will be used for continuing monitoring system, ICAO will be provided the most timely and reliable information from the States.

3. CONCLUSION

3.1 In order to ensure that the Contracting States prioritize their resources to the most significant safety concern, ICAO should conduct further analysis on the USOAP results to evaluate its impact on aviation safety. The current USOAP protocol should subsequently be changed in order to focus the audit activities on more significant safety issues.

3.2 ICAO and Contracting States should give special concern for keeping up-to-date the data, which is a fundamental aspect for ensuring reliable and effective implementation of the continuing monitoring system. In light of this, to assist the real-time monitoring on the required information, the Republic of Korea suggests that ICAO and Contracting States give kind consideration to the possibility that the SMIS might evolve to become one of the tools for the transition to continuing monitoring system.

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