



ASSEMBLY — 37TH SESSION

TECHNICAL COMMISSION

Agenda Item 29: Report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach and Evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010

PROVISION OF TECHNICAL SUPPORT BY THE STATES TO OTHER STATES FOR THE ENHANCEMENT OF THE CMA

(Presented by the Republic of Korea)

EXECUTIVE SUMMARY

This paper aims to examine a proposal concerning the provision of technical assistance by States having sufficient resources and experience for safety oversight to other States desiring to receive such assistance.

Although the Universal Safety Oversight Audit Programme (USOAP) under the Comprehensive Systems Approach (CSA) has become an essential tool to identify safety deficiencies, limited resources make it difficult to continue the implementation of the audit, and the Continuous Monitoring Approach (CMA) was proposed to solve this problem.

For the success of the CMA, reliable data input by States is crucial. However, for some States which have insufficient systems, information technology and resources, it will be very difficult to assure the adequate and timely data input for the CMA.

One of the possible solutions for this issue will be the provision of technical support to desiring States by other States having advanced information technology, resources and experience on safety oversight. Such technical support should be provided on a voluntary basis only to desiring States. Also, the technical support may be, but not necessarily, limited to understanding, analysing, determining and submitting of the required data for the CMA.

Action: The Assembly is invited to:

- a) note the information contained in this paper regarding provision of technical supports by the States to desiring States; and
- b) agree that ICAO should review this suggestion and incorporate its concept into the development of the CMA.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A: Safety – <i>Enhance global civil aviation safety.</i>
<i>Financial implications:</i>	Funding for some of the technical support activities will be necessary by the providing States and the receiving States.
<i>References:</i>	Doc 9902, <i>Assembly Resolutions in Force (as of 28 September 2007)</i> Doc 9734, <i>Safety Manual, Part B, the Establishment and Management of a Regional Safety Oversight System</i>

1. INTRODUCTION

1.1 In October 1998, the ICAO Assembly established the USOAP to conduct regular, mandatory, systematic and harmonized safety oversight audits of all Contracting States. The initial audit cycle of the USOAP began on 1 January 1999 and most States received both an initial audit and a follow-up mission to assess the progress made in implementing their corrective action plans.

1.2 In October 2004, the 35th Session of the Assembly resolved to transition to the CSA to conduct audits under the USOAP. This change enabled the programme to be expanded by including safety-related provisions contained in all safety-related Annexes. The CSA began on 1 January 2005, with a mandate to audit all States in a six-year cycle ending in 2010.

1.3 In September 2007, the 36th Session of the ICAO Assembly (A36-4 refers) directed the Council to examine different options for the continuation of the USOAP beyond 2010, including the feasibility of applying a new approach based on the concept of continuous monitoring. Pursuant to Assembly Resolution A36-4, the Council directed the Secretariat to design the Programme beyond 2010, with a view to incorporating the analysis of safety risk factors, adopting a more proactive approach and making a more effective and efficient use of resources available to the Programme, including other ICAO Bureaux and the Regional Offices.

2. USOAP PROS AND CONS

2.1 The USOAP has become an indispensable tool for evaluating safety oversight capabilities of Contracting States and identifying where improvements need to be made. It has greatly contributed to the enhancement of not only State's safety oversight capabilities but also global aviation safety.

2.2 However, the continuation of the USOAP under CSA is very challenging in terms of resources, such as budget and a pool of qualified auditors for ICAO and Contracting States alike. Moreover, the results of an audit provide only a 'snapshot' of a State's safety oversight system and do not reveal safety performance on a continuous basis.

2.3 To resolve these problems, the CMA, which would enable a more efficient use of resources for ICAO, Contracting States and regional organisations, has been proposed, whilst allowing for the management of safety in a more proactive manner.

3. DISCUSSION

3.1 It is well known that the States' reliable data input is crucial for the success of the CMA. The use of non-validated or corrupt data would distort results and undermine confidence in the CMA, and thus in safety of international civil aviation.

3.2 However, for some States which have insufficient systems, information technology and resources, it seems to be very difficult to assure the adequate and timely data input for the CMA. To resolve this issue, it is required to seek any solutions for the success of the CMA.

3.3 The Republic of Korea considers that one of the possible solutions will be the provision of technical support to desiring States by other States having advanced information technology, resources and much experience with safety oversight. Such technical support should be provided on a voluntary basis only to the States which desire receiving such supports. Also, the technical support may be, but not necessarily, limited to understanding, analysing, determining and submitting of the required data for the CMA.

4. CONCLUSION

4.1 For the success of the CMA, States' reliable data input is crucial. However, for some States which have insufficient systems, information technology and resources, it will be very difficult to assure the adequate and timely data input for the CMA.

4.2 One possible solution for this issue will be the provision of technical support to desiring States by other States having advanced information technology, resources and experience for the safety oversight. Such technical support should be provided on a voluntary basis only to desiring States. Also, the technical support may be, but not necessarily, limited to understanding, analysing, determining and submitting of the required data for the CMA.

4.3 The provision of technical support by States to desiring States could be one of the effective approaches not only for the CMA but also for international cooperation among the Contracting States.

4.4 In this context, ICAO should review this suggestion and incorporate its concept into the development of the CMA.

— END —