



ICAO

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Asia and Pacific Office

**Seventeenth Meeting of the Asia Pacific Regional Aviation
Safety Team (APRAST/17)**

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Agenda Item 5: Presentations – State / Industry / ICAO

**A PROPOSAL FOR EFFECTIVE USE OF ICAO ONLINE FRAMEWORK AND
SYSTEMATIC SAFETY OVERSIGHT ACTIVITIES THROUGH
SARPS MANAGEMENT IMPLEMENTATION SYSTEM (SMIS) AND SAFETY
OVERSIGHT MANAGEMENT SYSTEM (SOMS)**

(Presented by the Republic of Korea)

SUMMARY

The Republic of Korea (ROK) has developed *SARPs Management and Implementation System (SMIS)* of which major function is to process ICAO State letters, file differences with SARPs and reply to Protocols Questions (PQs), alongside *Safety Oversight Management System (SOMS)* that was designed specifically for managing aviation safety management and oversight activities. The ROK is of the view that these aviation safety tools enable States to efficiently manage the data regarding Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP-CMA) and the surveillance process of the States' safety oversight system. In this context, this paper presents the operating concept, functions and benefits of utilization of these tools and encourage States to utilize SMIS and SOMS for efficient management of USOAP CMA data and safety oversight activities.

1. INTRODUCTION

1.1 In accordance with the Convention on International Civil Aviation (Chicago Convention, 1944), States shall inform the ICAO of any differences between their national regulations and the provisions of SARPs, and adopt measures to insure that every aircraft flying over or manoeuvring within its territory and that every aircraft carrying its nationality mark, wherever such aircraft may be, shall comply with the rules and regulations relating to the flight and manoeuvres of aircraft there in force.

1.2 In addition, the Continuous Monitoring Approach (CMA) online framework (OLF) has been introduced to support the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP-CMA). States should submit and update State Aviation Activity Questionnaire (SAAQ), status of the USOAP Protocol Questionnaires (PQs), Mandatory Information Request (MIR) information relating to Significant Safety Concern (SSC), Corrective Action Plans (CAPs), Compliance Checklist (CC) through the OLF according to the USOAP CMA MOU between State and ICAO.

1.3 The Republic of Korea (ROK) has developed *SARPs Management and Implementation System (SMIS)* of which functions are same as those of ICAO OLF in order to efficiently ensure the continued management of USOAP CMA information, and has developed *Safety Oversight Management System (SOMS)* to provide systematic management of the surveillance process of the States' safety oversight system.

2. DISCUSSION

2.1 **SARPs Management and Implementation System (SMIS).** SMIS is a web-based system designed for Civil Aviation Authorities (CAAs) to efficiently manage all required data to prepare for the USOAP CMA activities with data exchange module between ICAO OLF and SMIS. Features of SMIS are:

- a) **SARPs.** CAAs can manage the status of differences between provisions of SARPs and their national regulations and file the differences to CC/EFOD of OLF via data exchange module.
- b) **Protocol.** CAAs can take PQ self-assessments by answering to each question with evidences, submit and update the PQ-related data to OLF via data exchange module and can also manage PQ Findings and CAPs.
- c) **SAAQs.** CAAs can update the current status or information on its aviation activities, submit and update the SAAQ information to OLF via data exchange module.
- d) **State letter.** CAAs can manage in timeline of ICAO State Letters. This allows CAAs to monitor each process and not to miss the deadline to reply by designating person in charge and providing notifications.
- e) **MIR.** CAAs can check the requested information by ICAO, submit and update the MIR to OLF via data exchange module.

2.2 **Safety Oversight Management System (SOMS).** SOMS is a web-based system designed for CAAs to manage their overall safety oversight processes and procedures in the entire civil aviation sector. It provides efficient management of the data regarding the surveillance of the facilities and resolution of deficiencies and findings. Features of SOMS are:

- a) **Set up & Planning.** CAAs can set the types of planning and inspection, inspection targets such as operator, aerodrome and air traffic control facilities, designate the planned date, establish individual checklist and assign an appropriate inspector for the task.
- b) **Inspection.** Inspectors can check oversight activities assigned, conduct inspections, input the result with references to every item on the checklist and manage the follow ups or corrective actions involved.
- c) **FORIC & SMS.** CAAs can use *FORIC function* for foreign operator and ramp inspections, and utilize *SMS function* for the surveillance of safety management system.

2.3 The ROK is of the view that SMIS and SOMS could serve as effective tools to manage audit information and promote CAAs' safety systematic and cost-effective management capabilities with the following benefits:

- a) **Easy to Access.** Web-based system allows users to access to the system anytime, anywhere if internet is available without data transfer.
- b) **Data management.** Data is stored in each system database and it enables continuous data management regardless of any environmental changes.

- c) **Verification of data history.** Cumulative record allows to trace the history of data changes including its date of occurrence and person in charge.
- d) **Safety Monitoring.** It enables CAAs to continuously monitor the current implementation status of SARPs, PQ and safety oversight activities.

2.4 On that note, suggestions have been made for Member States wishing to utilize SMIS or SOMS to visit the Help Desk (<http://www.kocahelp.go.kr>) and submit the application form to helpdesk@kocahelp.go.kr.

3. ACTION BY THE MEETING

3.1 The Meeting is invited to:

- a) note the information prescribed in this paper.
- b) encourage States to utilize SMIS and SOMS for efficient management of USOAP CMA data and safety oversight activities.
- c) note that technical assistance and on-site workshop on SMIS and SOMS would be provided upon request by CAAs.

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