



International Civil Aviation Organization

**WORKING PAPER**

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**(Information paper)**

**English only**

## ASSEMBLY — 40TH SESSION

### EXECUTIVE COMMITTEE

#### Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

#### **CONSIDERATIONS FOR THE EVOLUTION OF THE UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME – CONTINUOUS MONITORING APPROACH (USOAP-CMA) ENSUED FROM THE INTRODUCTION OF ANNEX 19 – SAFETY MANAGEMENT**

(Presented by the Republic of Korea)

#### **EXECUTIVE SUMMARY**

In line with the Global Aviation Safety Plan (GASP), the USOAP has been evolving to expand its scope of audit to include the Annex 19 – *Safety Management*, of which focus is on the State Safety Programme (SSP). To align with the goals and targets of the proposed *GASP 2020-2022*, ICAO has started to conduct the SSP Implementation Assessment (SSPIA) for selected States, in an endeavour to share experiences of Member States in implementing SSP. While buttressing such efforts of ICAO, the ROK aims to suggest several key considerations for a successful launch of the SSP audit (assessment) in the future.

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| <i>Strategic Objectives:</i>   | This working paper relates to Safety Strategic Objective.  |
| <i>Financial implications:</i> |  |
| <i>References:</i>             | Annex 19 – <i>Safety Management</i> , 2 <sup>nd</sup> Edition<br>Doc 9859 – <i>Safety Management Manual (SMM)</i> , 4 <sup>th</sup> Edition<br>Doc 9735 – <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i><br>A40-WP/51, <i>A Comprehensive strategy for aviation safety: Endorsement of the updated Global Aviation Safety Plan</i> |

## 1. INTRODUCTION

1.1 While the *Annual Report of the Council - 2010 (ICAO Doc 9952)* observed a global accident rate of 4.62 per million departures in year 2000, the number has dropped to 2.6 per million on average in the recent 5 years. The Republic of Korea (ROK) is convinced that this improvement in global aviation safety is attributed to the successful safety policies driven by ICAO, and that the Universal Safety Oversight Audit Programme (USOAP) in particular has contributed greatly to such achievement.

1.2 In line with the adoption of a new Annex dedicated to safety management in 2013, the USOAP has been evolving to expand its scope of audit to include the Annex 19 – *Safety Management*, of which focus is on the State Safety Programme (SSP). This information paper aims to suggest several key considerations to ICAO for a successful launch of the SSP audit (assessment).

## 2. DISCUSSION

2.1 Strengthening safety oversight capabilities and implementation of effective SSP are the main goals of the Global Aviation Safety Plan (GASP), effectively suggesting that they are the top priorities of the ICAO policies. The proposed *GASP 2020-2022 (A40-WP/51)* encourages every Member State to improve their score for the effective implementation (EI) of the critical elements (CEs) of the State Safety Oversight System (SSOS) by 2030 (Target 2.1), and to implement the foundation of the SSP by 2022 (Target 3.1) and of an effective SSP by 2025 (Target 3.2). “Effective SSP” refers to a SSP that actually achieves the intended objectives.

2.2 To align with the above-mentioned goals and targets of the proposed *GASP 2020-2022* in paragraph 2.1 and to reflect new safety management SARPs within the scope of the USOAP, ICAO has started to conduct the SSP Implementation Assessment (SSPIA) for selected States since the second half of 2018, in an endeavour to share experiences of Member States in implementing SSP.

2.3 The SSPIA is expected to be expanded to a greater number of Member States starting from 2021 (SSPIA phase 2), according to the Roll-out plan posted in the library of the USOAP secure web-site. This speaks to the need for ICAO to find out systematic ways to select States for the SSPIA phase 2 and to develop tools and tailored procedures for effective undertaking of the SSPIA.

2.3.1 In this regards, the ROK would first like to suggest ICAO to develop criteria for the selection of SSPIA States, to ensure that SSPIA can be conducted in a fair manner and that Member States can reasonably expect when to undergo their own assessments. This calls for clarified procedures to prevent possible confusion among Member States in terms of selection criteria: as to whether SSPIA States are to be selected with reference to certain effective implementation of EI or relevant materials identified during the previous SSOS audits; and whether a State can be subject to both SSPIA and SSOS at the same time.

2.3.2 The proposed *GASP 2020-2022* describes that the concept of “foundation of SSP” is intended to replace the 60 per cent EI score previously used in the *GASP* as a threshold to progress into implementation of the SSP. However, because of the different maturity of the SSP of each State and the limited resource for audit, not every States with more than 60 percent of EI is expected to be selected for the SSPIA. The ROK expects ICAO to select States for the SSPIA among those with mature SSOS which have started implementing SSPs of their own.

2.3.3 Second, the ROK is of the view that ICAO needs to review the appropriateness of existing procedures specified in Doc 9735 to ensure proper undertaking of SSPIA and update the said document if need be. The updated manual which includes actions emanating from the upcoming Assembly Resolutions relative to the SSPIA that is expected to supersede *A37-5, the Universal Safety*

*Oversight Audit Programme continuous monitoring approach*, can be of great help. The ROK recognizes and supports ICAO's activities regarding the Doc 9735 of which update is included in the Roll-out plan of the SSPIA and the recommendations of the Group of Expert for an USOAP CMA Structured Review (GEUSR). The ROK recommends ICAO to invite SSP experts in such efforts to make the Document even more relevant and prominent.

2.3.4 Third, ICAO is encouraged to examine in the mid to long-term the necessity of merged assessment system that combines both the audit for SSOS and the SSP. While Goal 2 and Goal 3 of *the GASP 2020-2022* describe SSOS and SSP as separate implementation items, the Annex 19 states that the eight CEs employed as tools for SSOS have been merged with safety performance-related elements and evolved to the foundation of the SSP.

2.3.5 For effective use of the limited resources for the USOAP-CMA and to reduce the burden of audits across the Member States, it is worth reviewing as to whether this two-track approach indeed needs to be maintained. In addition, the possible advent of SSOS-SSP integrated audit system is expected to invite the development of a new concept of "SSOS and SSP merged USOAP" with the new safety audit tool—the evolved CEs based on the SSP framework—which will enable the assessment that covers both compliance-based safety oversight and performance-based safety management.

2.4 The ROK is of the view that the implementation of the above-mentioned suggestions is essential for reaching the goals and targets of the proposed *GASP 2020-2022*, which calls for the implementation of an effective SSP by 2025.

### 3. CONCLUSION

3.1 Some say it was safety management system (SMS) of service providers that contributed greatly to the decrease of the accident rate in paragraph 1.1, in tandem with the USOAP. The ROK looks forward to ICAO's unceasing contribution to the advancement of international civil aviation through a thorough preparation and effective execution of the future SSPIA that is expected to be undertaken correlated with the SMS of the service providers.

3.2 The Assembly is invited to:

- a) suggest ICAO to develop criteria for the selection of the SSPIA States, to ensure that SSPIA can be conducted in a fair manner and that Member States can reasonably expect when they would be subject to assessments;
- b) advise ICAO to invite SSP experts to join the collective efforts such as the Group of Expert for an USOAP CMA Structured Review (GEUSR) to review and update Doc 9735 and the guidance material for USOAP-CMA, to ensure proper undertaking of SSPIA; and
- c) suggest ICAO to consider a merged assessment system that combines both SSOS and SSP, in the long term, for effective use of the limited resources for the USOAP-CMA and to reduce the burden of the Member States.