



WORKING PAPER

**DIRECTORS GENERAL OF CIVIL AVIATION CONFERENCE
ON A GLOBAL STRATEGY FOR AVIATION SAFETY**

Montréal, 20 to 22 March 2006

Theme 1: The status of aviation safety today

Topic 1.3: Initiatives by States and industry

**AN EFFICIENT TOOL FOR REGULATORS TO MANAGE
COMPLIANCE WITH ICAO SARPs**

(Presented by the Republic of Korea)

SUMMARY

This paper introduces the efficient and systemic tool — “ICAO SARPs Tracking System” — developed by the Republic of Korea for the monitoring and timely management of compliance with Standards and Recommended Practices (SARPs), which will improve the efficiency and effectiveness of the process. To avoid duplication of efforts and to help improve compliance with ICAO SARPs worldwide, the Republic of Korea is seeking the best way by which we share the management tool with other Contracting States.

Action by the Conference is in paragraph 5.

1. INTRODUCTION

1.1 Having experienced the first cycle of the ICAO Universal Safety Oversight Audit Programme (USOAP), the Republic of Korea (ROK) learned a valuable lesson on the importance of monitoring and tracking the implementation of ICAO Standards and Recommended Practices (SARPs). It also identified the need for ROK to have a self-monitoring and follow-up tool by which the ROK could manage the aviation rules and regulations, identify shortcomings and ensure that the ROK requirements are compliant with SARPs.

1.2 Especially in preparation for the comprehensive approach to the ICAO USOAP, the need was identified for a centralized system to monitor the entire aviation rules and regulations related to safety and their interrelationship between the different functional areas. The ROK realized that approximately 10 000 SARPs could not be managed efficiently without a concise database system, which helps a regulator to monitor the level of compliance with SARPs.

1.3 This paper introduces an efficient and systemic tool developed by the ROK for the monitoring of SARPs as well as national rules and regulations. The tool will enable timely compliance with SARPs and will track the process from receipt of State letters and subsequent amendments to rules and regulations of the ROK.

2. CHARACTERISTICS AND MAJOR FUNCTIONS OF THE SYSTEM

2.1 Intranet-based system with clear accountability

2.1.1 The system is intranet-based, which means that it only allows access by staff of the Civil Aviation Safety Authority with an ID issued by the system administrator. Included in the system is a line of accountabilities within the divisions responsible for each Annex. Therefore, it encourages the accountability of appropriate staff and management of information on the process for the amendment of Annexes and incorporation into national regulations based on their review.

2.2 Management of all provisions of Annexes and related national regulations

2.2.1 A great number of ICAO SARPs and all the related national rules and regulations (including Annexes, volumes, parts, sections, chapters, and provisions) are stored in the system, retrievable by numbers and specific subjects. Anyone provided with an ID can access, at anytime, specific provisions that they may wish to examine. It is also designed for a designated person to update the data by adding, deleting, and modifying the provisions.

2.3 Tracking the history of amendments of the Annexes and national regulations

2.3.1 The history of the amendments for each provision along with those for national regulations can be displayed together with the persons of the relevant authority in charge at the time of reviewing as mentioned in paragraph 2.2 of this paper.

2.4 Provision of the hyperlink to the relevant provisions of national regulations

2.4.1 With the provision of a hyperlink function, it is very convenient to jump directly from a specific ICAO provision to other relevant provisions in the national rules and regulations. It also gives clear cross-references between the provisions of different national regulations.

2.5 ICAO State letter management

2.5.1 The system also provides a management function for ICAO State letters, which is ICAO's most important communication channel with Contracting States concerning the amendment and approval of ICAO SARPs. It is designed to allow each designated person to input all relevant information on each State letter and appropriate actions to take with the deadline when required, as well as the person responsible for reviewing and taking appropriate action. A designated person monitors the data by using the function of sorting the letters and takes the appropriate action required in a timely manner.

2.6 Status of compliance presented by graphs and statistics

2.6.1 Viewing of compliance by means of graphs and statistics is an attractive function of the system to the managers of regulatory authorities, who are required to monitor the status of compliance, differences and actions in progress. All the differences that exist in the national rules and regulations can be shown by Annexes and sorted by four categories, which are being used in a compliance checklist of a Comprehensive Systems Approach under the ICAO USOAP: more exacting or exceed; different in character or other means of compliance; less protective or partially implemented; not implemented. The system also depicts graphs of the differences existing in each Annex.

2.7 The system has a function to sort the actions required for reviewing of proposals for the amendment of ICAO SARPs and reflecting them into national regulations and replying to the ICAO State letter, so it helps to follow-up on the status of actions required and its delays.

3. WHO AND WHAT THE SYSTEM IS FOR

3.1 As described in the Global Aviation Safety Roadmap, mentioned in DGCA/06-WP/4 and DGCA/06-IP/1, the first thing that the Contracting States should discharge is to ensure the consistent implementation of international Standards and continue to monitor its compliance with international SARPs. To comply with the international Standards, it is important to identify the current status of implementation and deficiencies. So the system is designed for regulators to keep up with continuously-changing international Standards by monitoring and updating their own. It is also very useful to prepare for the Comprehensive Systems Approach of the ICAO USOAP, since it allows regulators to look over their entire aviation rules and regulations and identify deficiencies in the areas concerned.

4. CONCLUSION

4.1 According to the Global Aviation Safety Roadmap, it is a fundamental duty for States to ensure the consistent implementation of international Standards and continue to monitor its compliance with international SARPs. However, it is difficult and time-consuming to manage approximately 10 000 SARPs and maintain the national rules and regulations in compliance. So it is desirable that regulators would have such a systemic and efficient tool to manage the implementation of international Standards.

4.2 In order to avoid duplication of effort by each State, the ROK is willing to share the information on the system and seek the possibility of providing the system to those who are in need. There would be no cost to States who wish to receive such support.

5. ACTION BY THE CONFERENCE

5.1 The Conference is invited to:

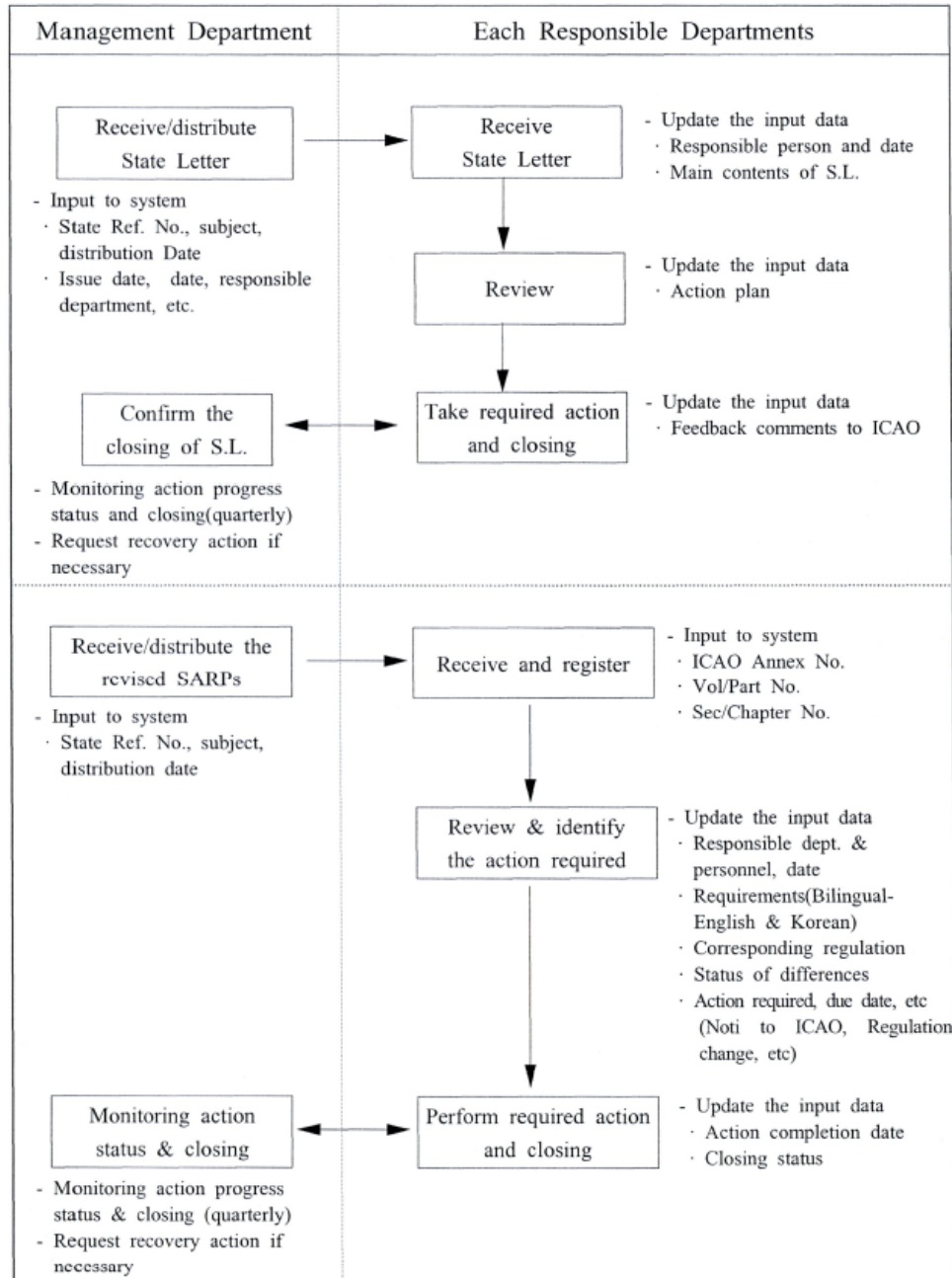
- a) urge Contracting States to make every coordinated effort to comply with ICAO SARPs;

- b) give consideration to the ICAO SARPs Tracking System presented by the Republic of Korea in this working paper; and
- c) urge all stakeholders to play an active role in the global safety framework to enhance aviation safety worldwide.

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APPENDIX A

Flow Chart of ICAO Annex Compliance Review



APPENDIX B

ICAO SARPS TRACKING SYSTEM — SCREEN CAPTURES

Civil Aviation
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ICAO SARPs Tracking System

국제표준문서 관리시스템

ICAO Annex Compliance Checklist - Input

MODIFY

ICAO Annex

Annex No. [] Rev. No. [] Effective Date [] Applicable Date []

Adopted Date []

Vol. No. []

Part No. []

Sec. No. []

Chapter [] Chapter No. []

Responsible Dept. and Personnel

Dept. []

Reviewed by #1 [] Date from []

Confirmed by #1 [] Date from []

Approved by #1 [] Date from []

Annex Reference and SARP Identifier

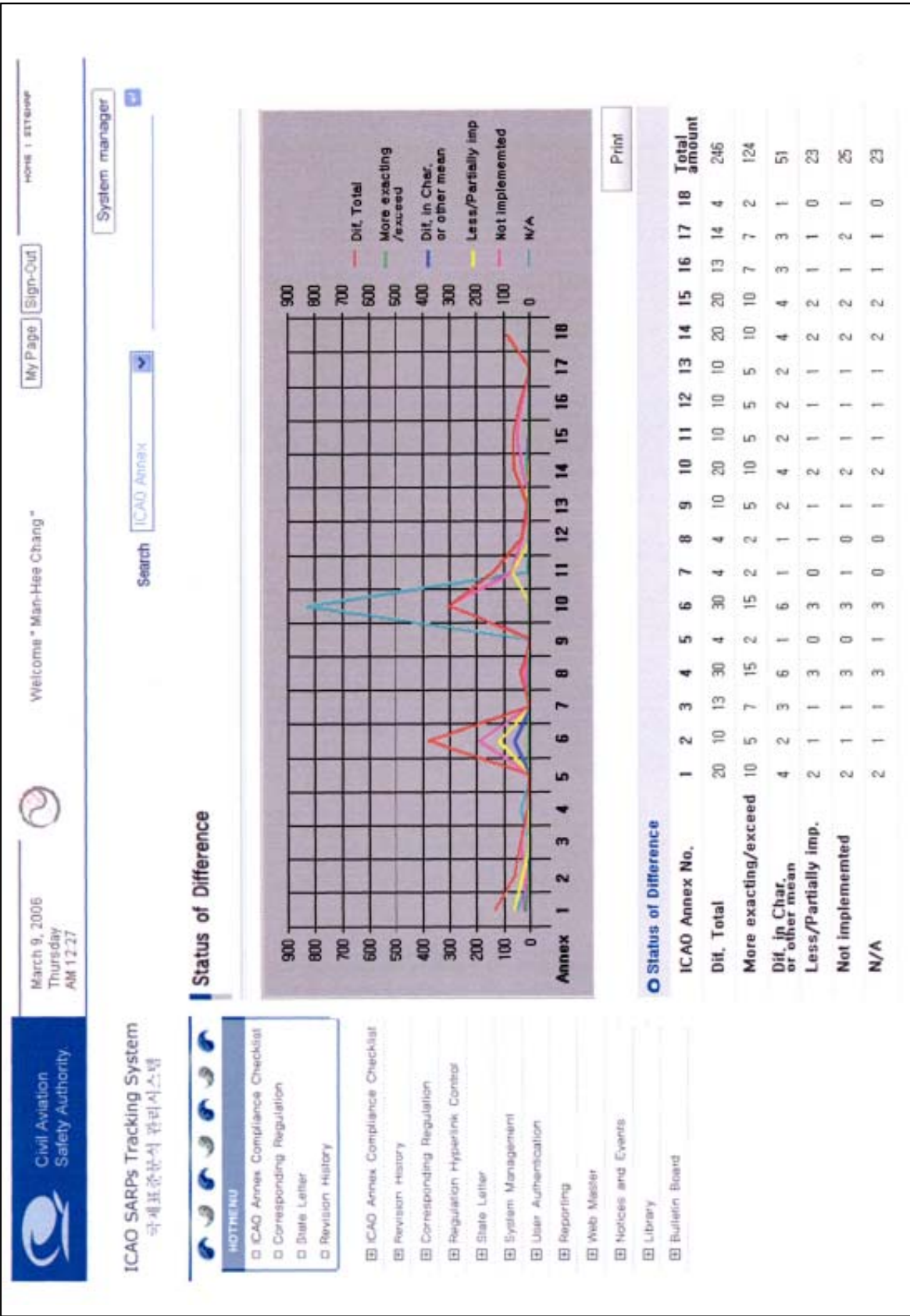
Article No. [] Affected by latest amendment? [] Std./Rec. [] Std. []

Requirement - English

Requirement - English

System manager

Corresponding Regulation			
Title	Reg. No	Article, No	
Subject			
Contents			
Delete Add			
Review Results			
Difference	No	Yes	Not Applicable
☐ More exacting or exceeds ☐ Different in character or other means of compliance ☐ Less protective or partially implemented ☐ Not implemented			
Comments for difference or identified			
Action required?	YES	Kinds of action	Reg. Change
Due Date			Reg. Change
			Closing date
Actions to be taken			
Reason of Action delay			



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○ Status Table of Action Taken

ICAO Annex No.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	Total amount
Total of SARPs	400	200	300	600	100	900	100	400	500	300	400	100	100	200	300	200	100	9000	
• Action Required																			
(1) Open	8	4	6	12	2	18	2	8	10	60	8	2	2	22	4	6	4	2	180
(2) Close	4	2	3	6	1	9	1	4	5	30	4	1	1	11	2	3	2	1	90
(3) Sum	12	6	9	18	3	27	3	12	15	90	12	3	3	33	6	9	6	3	270
• Not to ICAO																			
(1) Open	2	1	1	2	0	2	1	0	0	2	4	0	0	3	0	0	0	0	18
(2) Close	1	0	0	1	1	0	0	0	0	0	0	0	0	0	0	1	1	0	5
(3) Sum	3	1	1	2	1	3	1	0	0	2	4	0	0	3	0	1	1	0	23
• Reg. Change																			
(1) Open	4	2	2	4	0	4	2	0	0	4	8	0	0	6	0	0	0	0	36
(2) Close	2	0	0	0	2	2	0	0	0	0	0	0	0	0	0	2	2	0	10
(3) Sum	6	2	2	4	2	6	2	0	0	4	8	0	0	6	0	2	2	0	46
• Others																			
(1) Open	1	0	0	0	1	0	0	0	1	1	0	0	0	1	0	0	0	0	5
(2) Close	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	1	1	4
(3) Sum	1	0	0	0	1	0	0	0	1	1	0	0	1	1	0	1	1	1	9

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