

ICAO

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1. ICAO 가 (USOAP)

2. ICAO 가

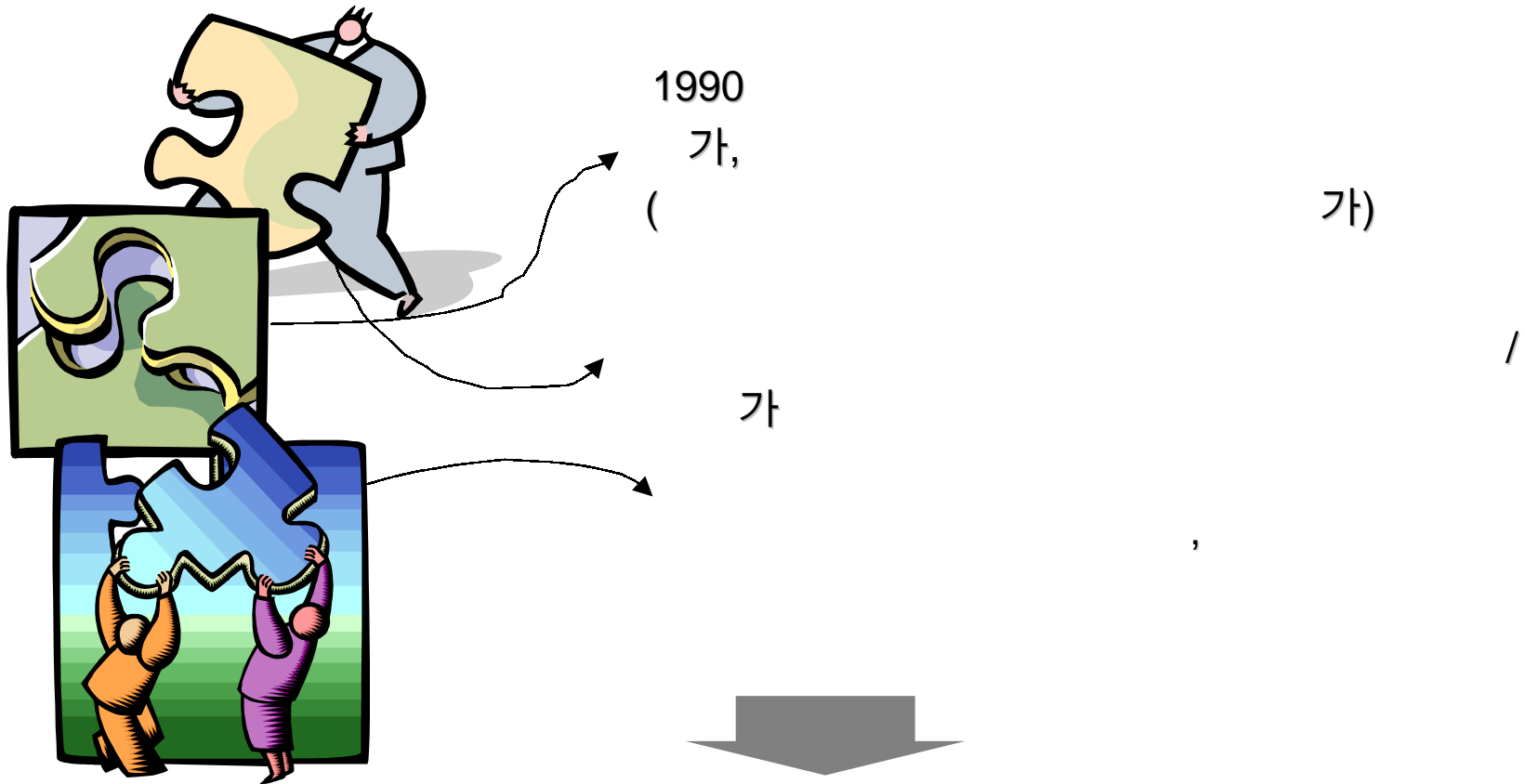
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1. ICAO

가 (USOAP)

ICAO Universal Safety Oversight Audit Prog.



Universal Safety Oversight Audit Programme

ICAO Universal Safety Oversight Audit Prog.

USOAP

- ◆ ICAO 29 (1992)
- ◆ ICAO 31 (1995) 『 가 』 (Safety Evaluation Program)
 - : 1995~1998
 - 1(), 6(), 8() 3
- ◆ ICAO 32 (1998) 가 (USOAP: Universal Safety Oversight Audit Program)
 - (188) : ' 99 '02
- ◆ ICAO 33 (2001) 3 가
 - 11(), 13(), 14()
- ◆ ICAO 35 (2004) 가(Comprehensive System Approach) (9, 17)

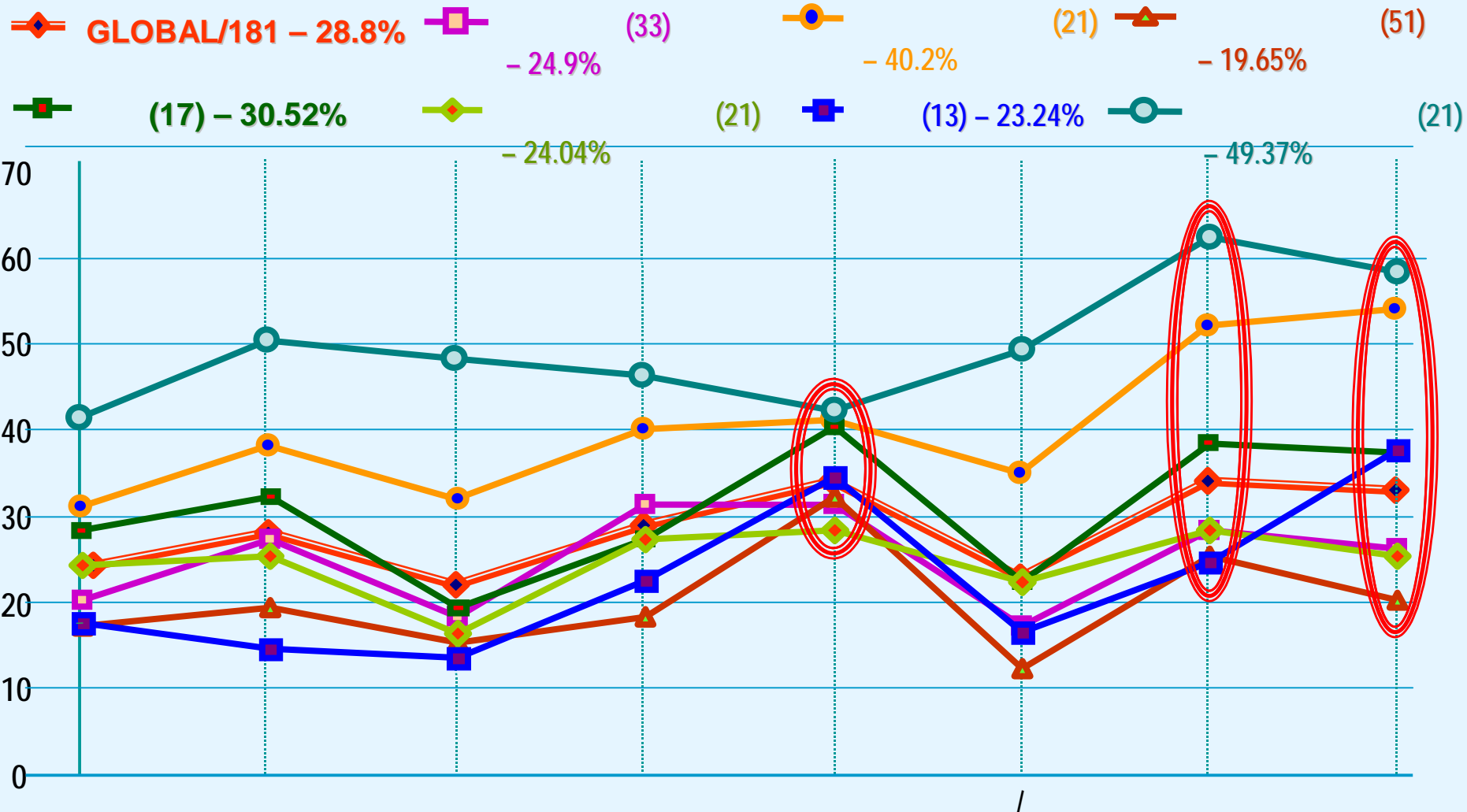
ICAO Universal Safety Oversight Audit Prog.

ICAO 가

	가 (USOAP)	가 (USAP)
	ICAO /	ICAO
	(6)	(6)
	2 (Initial/Follow up)	2 (Initial/Follow up)
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	(DB)	

ICAO Universal Safety Oversight Audit Prog.

ICAO 가 (Critical Elements) (%)



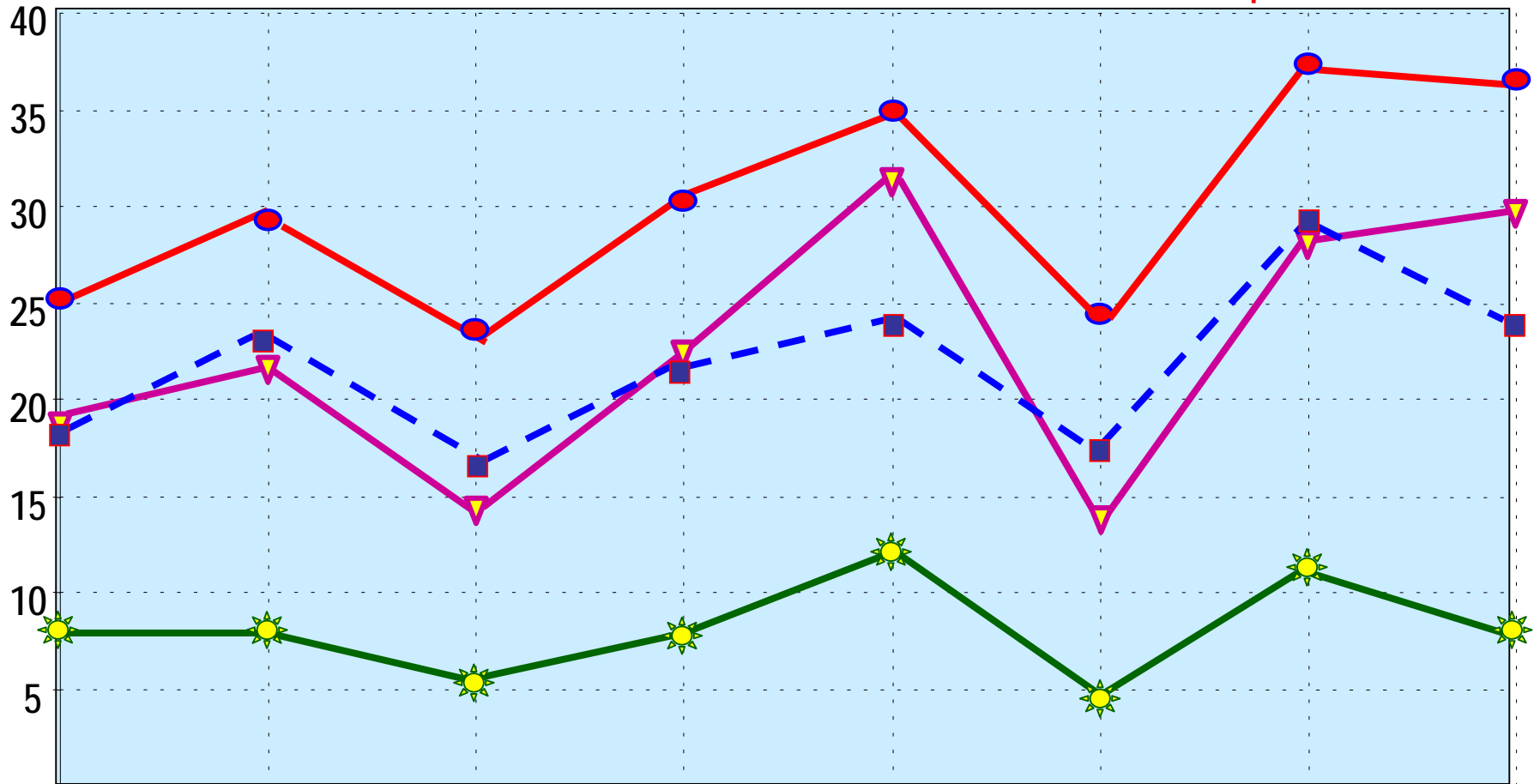
Initial/Follow-up Audit

Global - Initial Audit = 30.3%

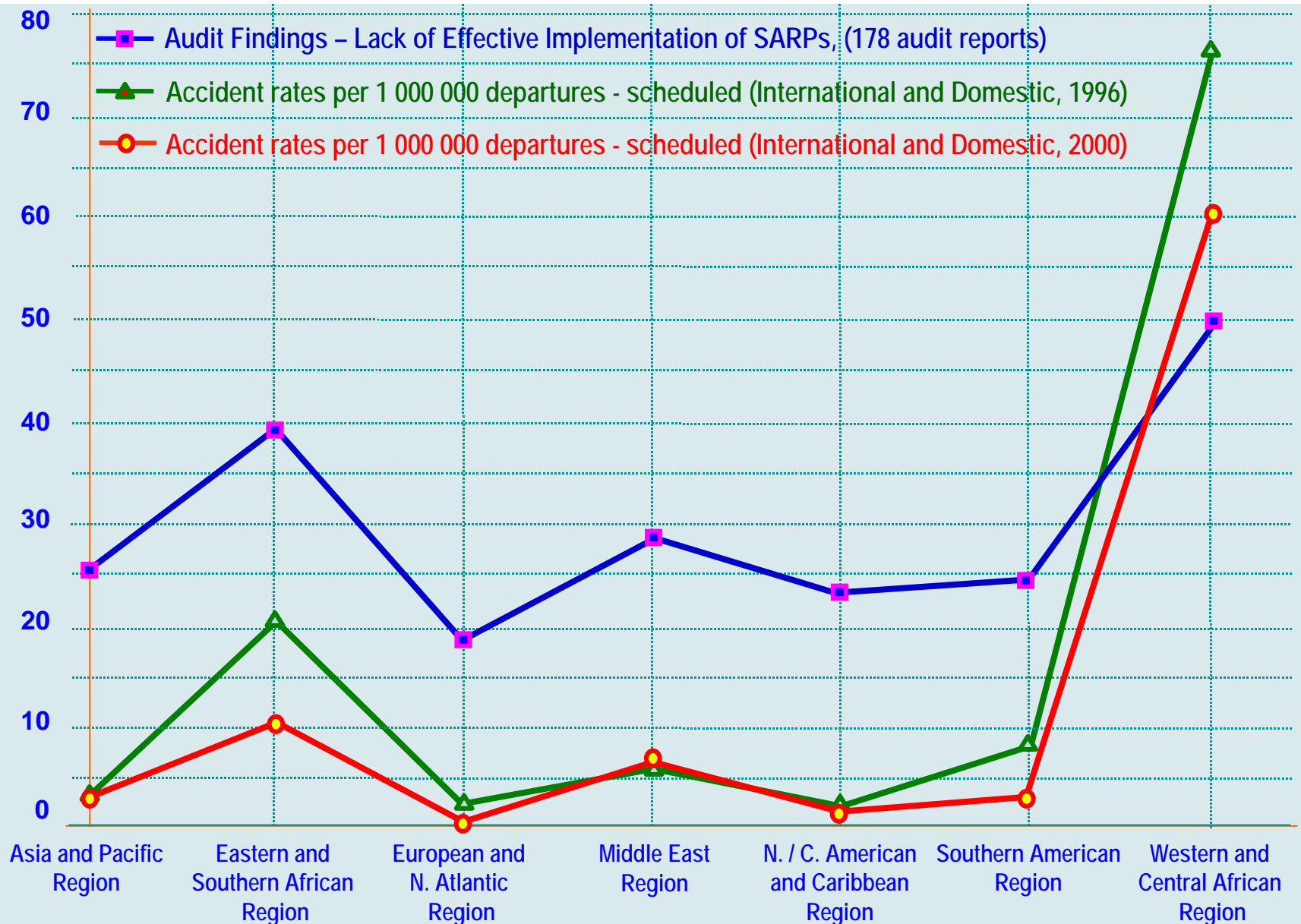
85 States - Initial Audit = 22.7%

Global - Revised = 21.4%

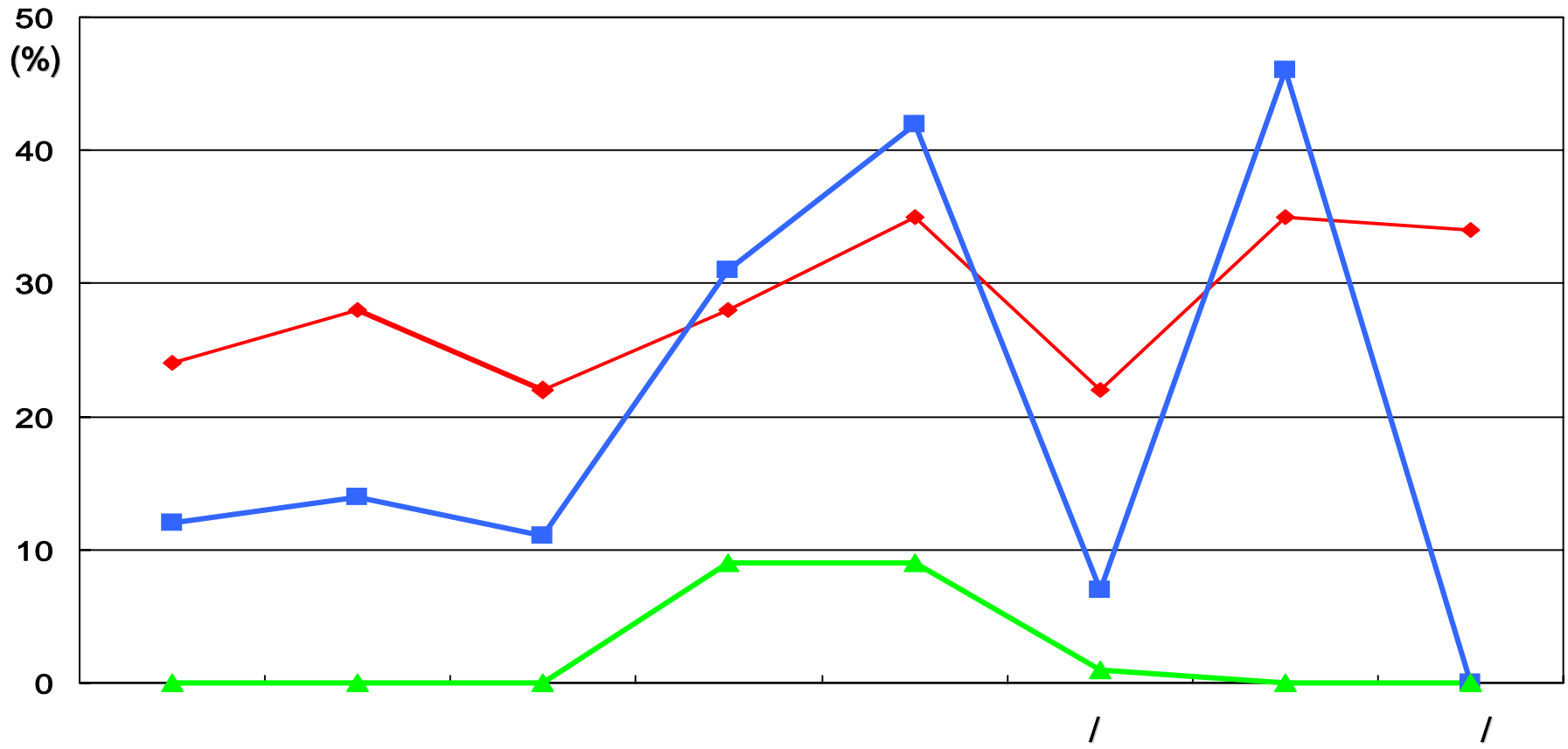
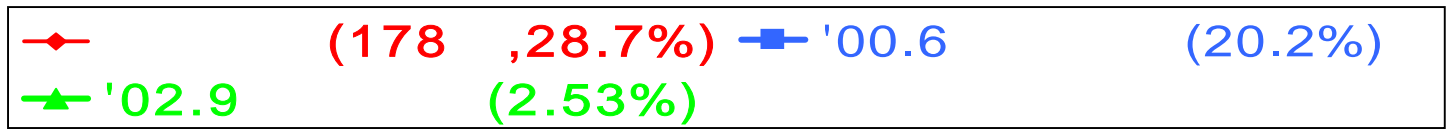
85 States - Follow-up = 7.7%



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가 (ICAO)





Comprehensive Systems Approach

Comprehensive System Approach

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Voluntary Assessment

- 1995-1998
- Annex 1,6,8
- 67 가
- Annex-by-Annex Approach

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USOAP
GASP

Mandatory Audit (USOAP)

- 1999-2004
- Annex 1,6,8
- 181 가
- Annex-by-Annex Approach

Comprehensive Systems Approach

- 2005~2010
- Annexes
- Systems Approach

Comprehensive System Approach



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- 8 (Critical Elements)
(Doc9734A)

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- (Field Validation)
- “Show Me”

Comprehensive System Approach

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Compliance with:

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Conformance with:

- ICAO Standards

Adherence to:

- Recommended practices
- Related procedures
- Guidance material
- Other safety practices

Comprehensive System Approach

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- **A35-6: Transition to a comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme (USOAP)**
 2. **Resolves** that the ICAO Universal Safety Oversight Audit Programme be further expanded **to include the safety-related provisions contained in all safety-related Annexes** to *the Convention on International Civil Aviation* as of 2005;
 3. Requests the Secretary General, from 1 January 2005, to restructure the ICAO Universal Safety Oversight Audit Programme **to adopt a comprehensive systems approach** in conducting safety oversight audits in all Contracting States;
 5. Requests the Secretary General **to restructure the safety oversight audit reports to reflect the critical elements** of a safety oversight system, as presented in ICAO **Doc 9734 — Safety Oversight Manual, Part A - The Establishment and Management of a State's Safety Oversight System**;

Comprehensive System Approach

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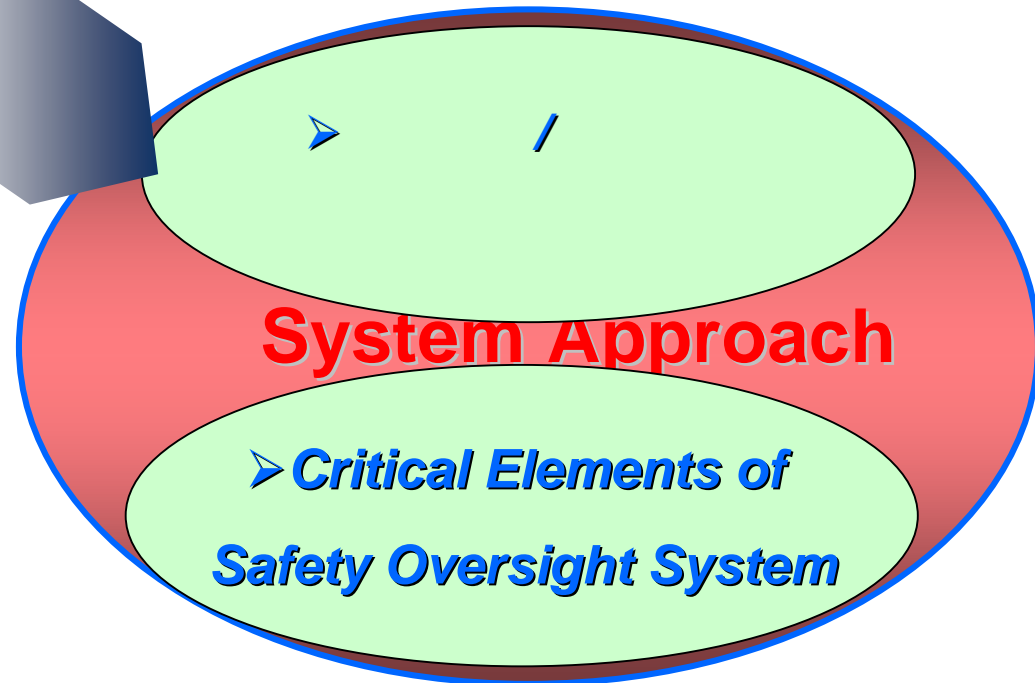
- **A35-7: Unified strategy to resolve safety-related deficiencies**
- 1. **Urges** all Contracting States **to share with other Contracting States critical safety information** which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information;
- 3. **Directs** the Council to further **develop practical means to facilitate the sharing of such safety information** among Contracting States;
- 5. **Directs** the Council **to develop a procedure to inform all Contracting States, within the scope of Article 54 j) of the Chicago Convention, in the case of a State having significant compliance shortcomings with respect to ICAO safety-related SARPs;**

Comprehensive System Approach



*Safety related provisions
in all Annexes (9,17)*

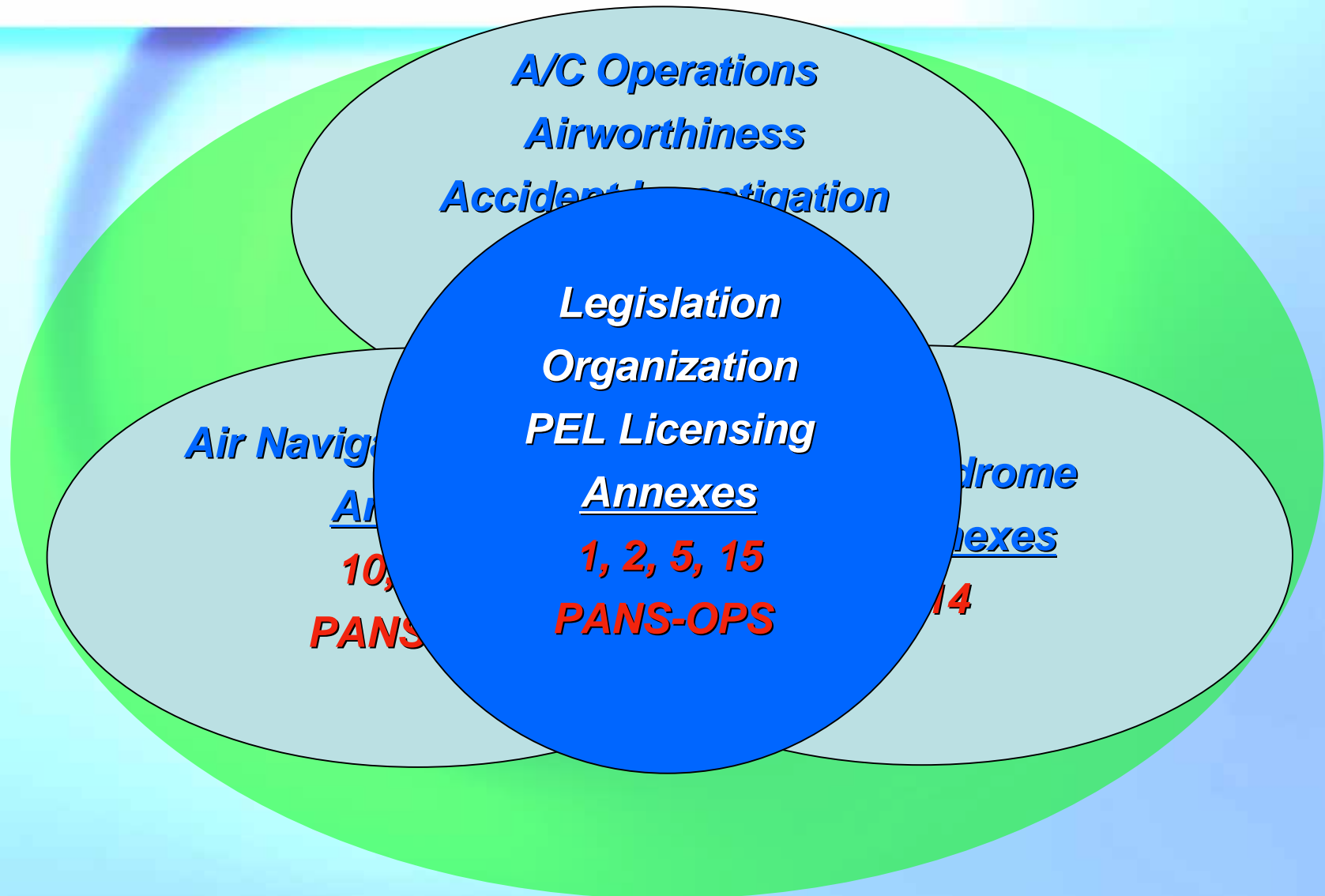
Comprehensive



System Approach

➤ *Critical Elements of
Safety Oversight System*

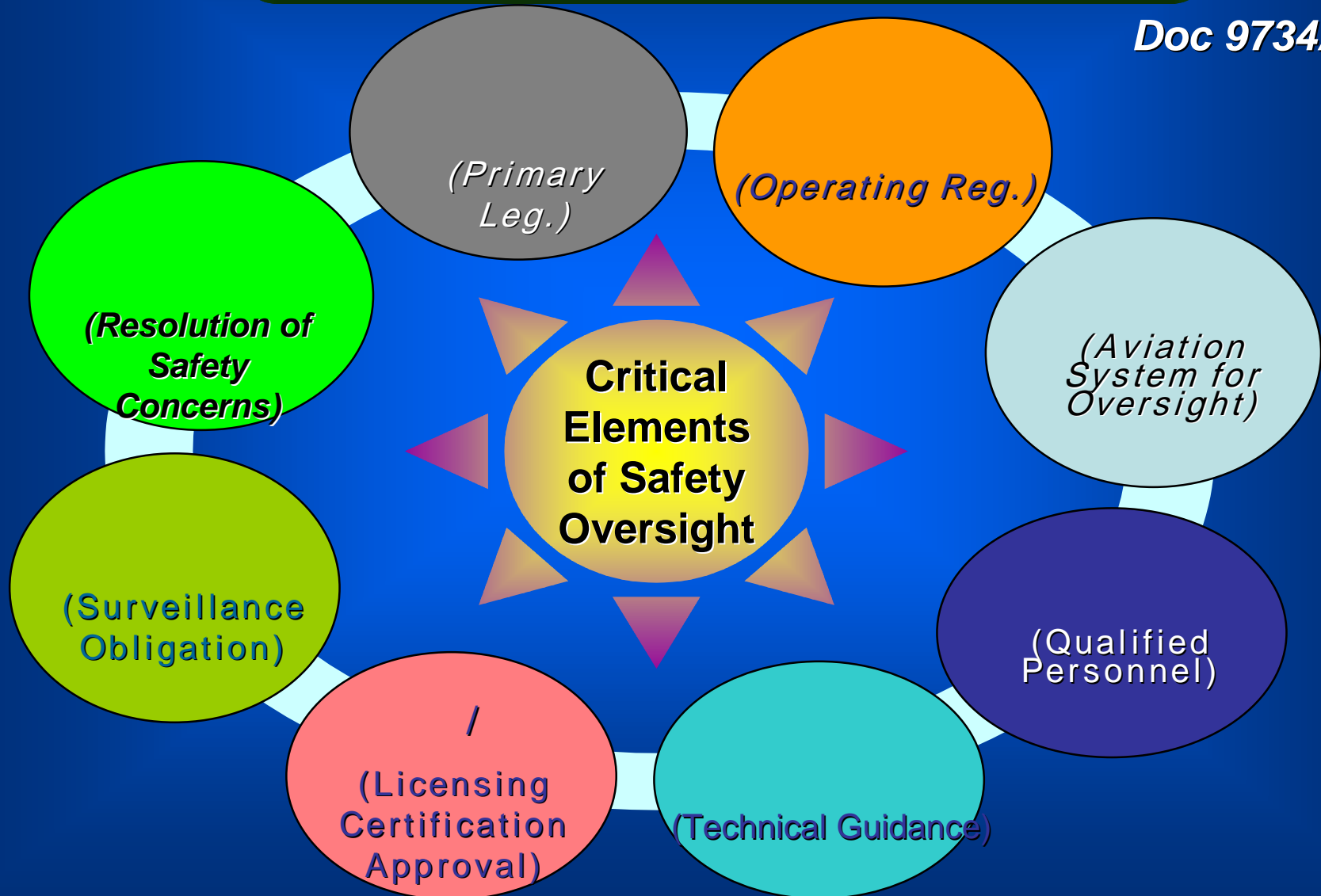
Comprehensive System Approach



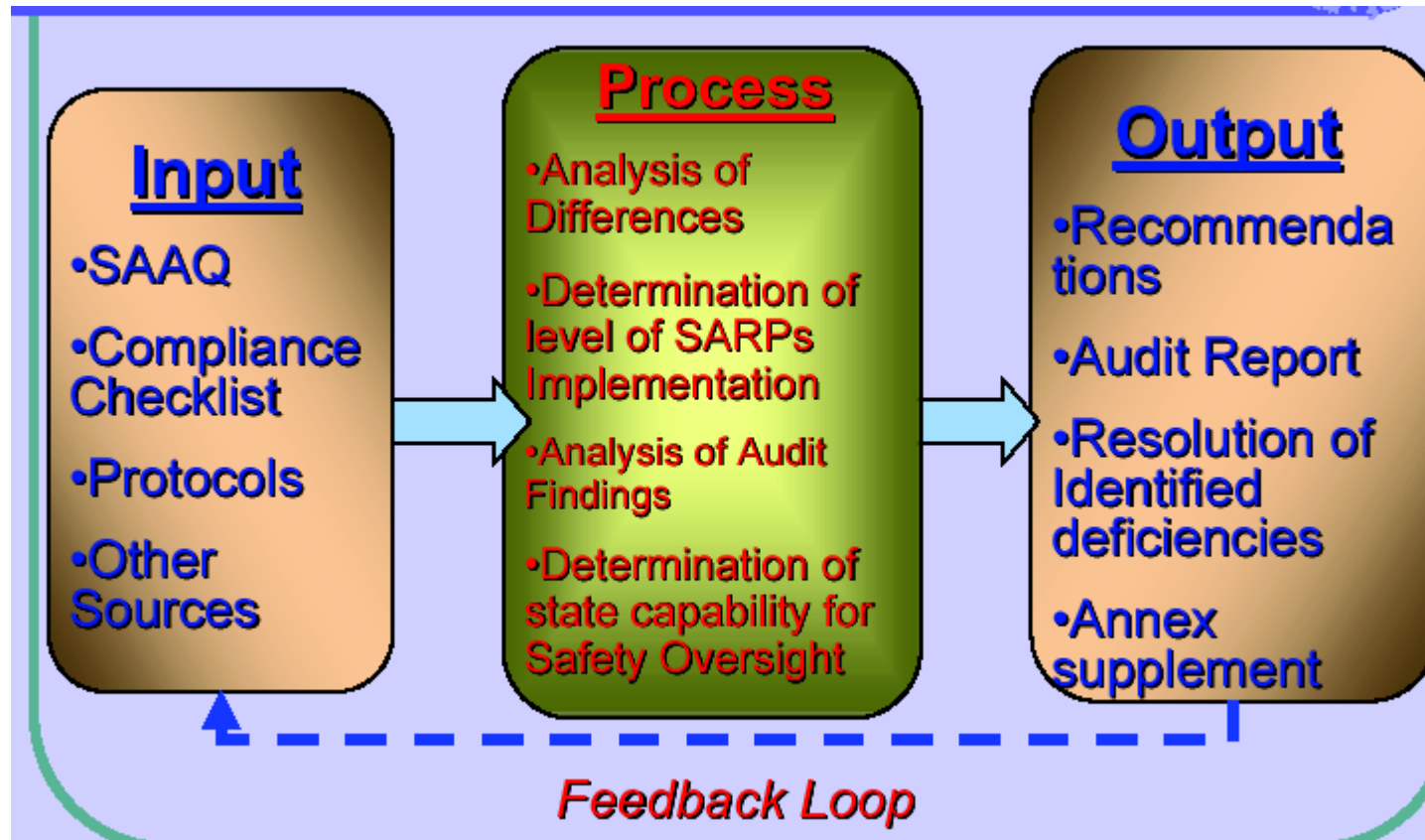
Comprehensive System Approach

Critical Elements(8)

Doc 9734A



The audit process feedback loop





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- 2005 4 2010 (6 1Cycle)
*2005 12 , 2006 34

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- Initial Audit 2 Follow-up Audit

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2005/2006 가

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2005 (12)	2/4	, , ,
	3/4	,
	4/4	, , 가 , , ,
2006 (34)	1/4	, , , , , , , , , , ,
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	3/4	, ,
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Minimum Team Composition : 4

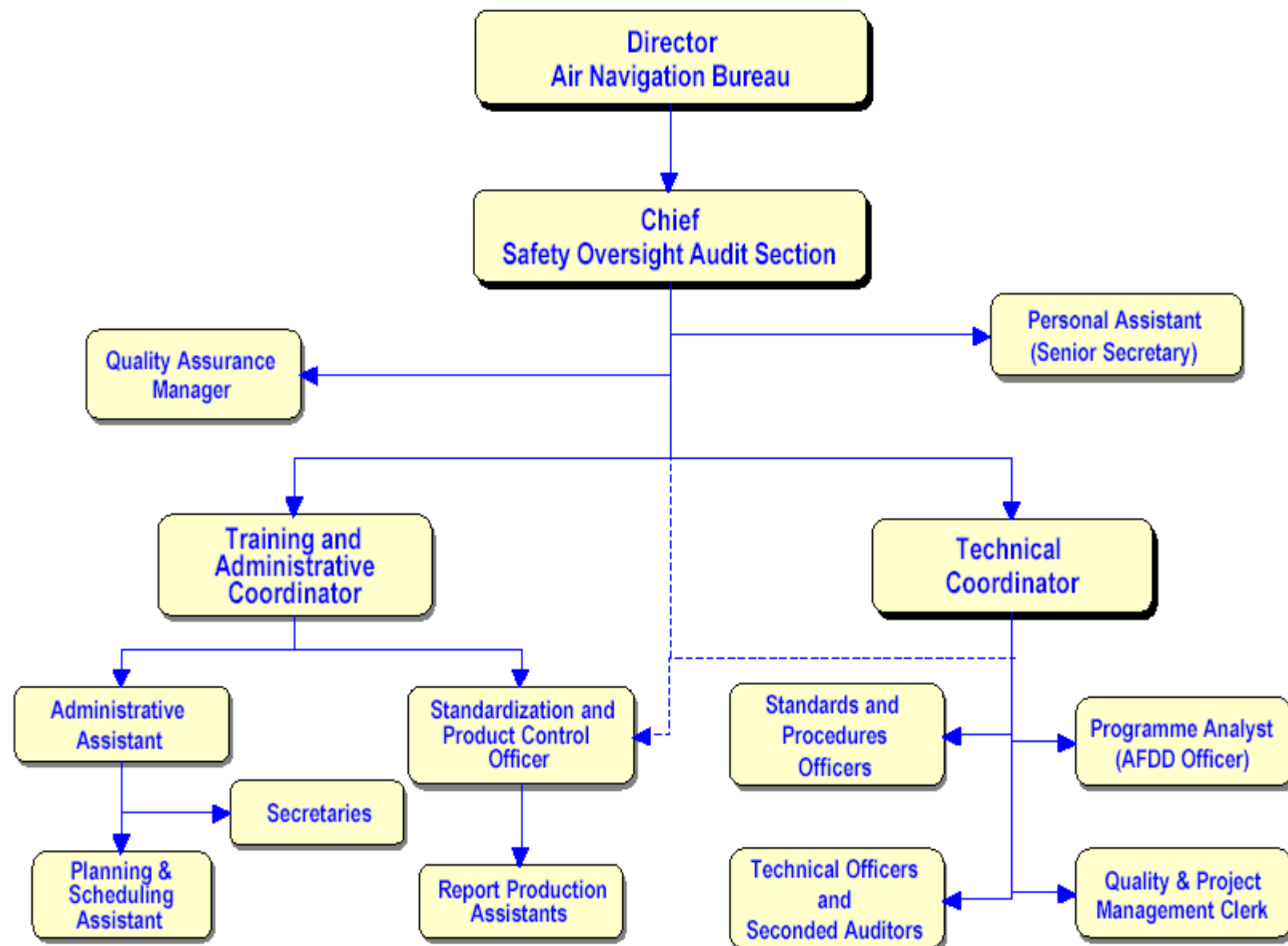
- ✓ (Operations) 가 : 1
- ✓ (Airworthiness) 가 : 1
- ✓ (Aerodrome) 가 : 1
- ✓ (Air Navigation Services) 가 : 1

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Safety Oversight Audit Section



Audit Tool & Guidance

State Aviation Activity Questionnaire(SAAQ)

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Compliance Checklist()

Doc9735 - Audit Protocol

**Doc 9734 Part A – Critical Elements of Safety
Oversight System**

**Doc9734 Part B – Regional Safety Oversight System
Management**

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Audit Protocol Core Area

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Audit Language

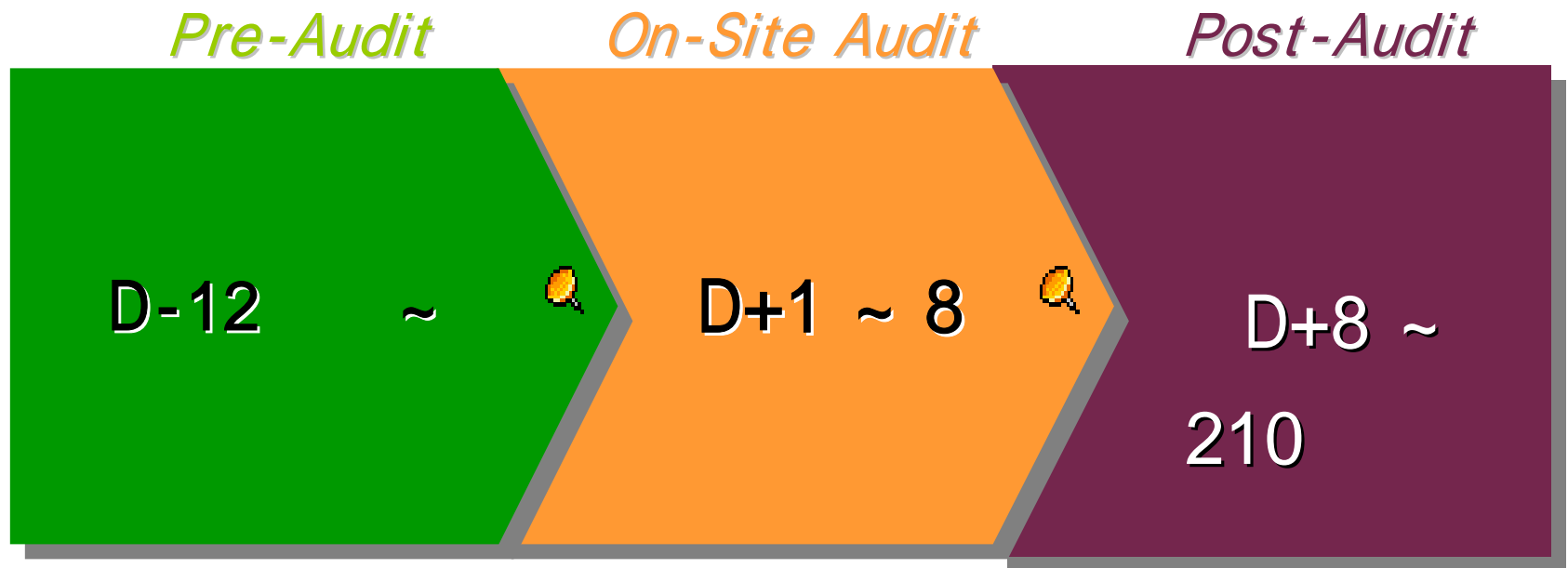
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AUDIT



AUDIT

Pre-Audit Process

2004.10	SAAQ, Compliance Checklist
12	가 가
12	가 ()
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6	SAAQ, Compliance Checklist
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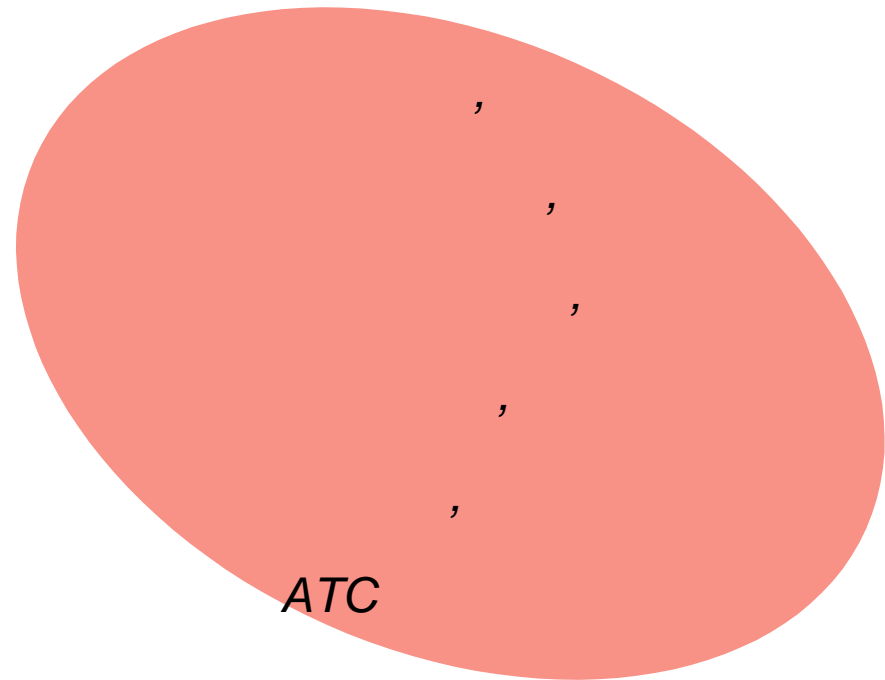
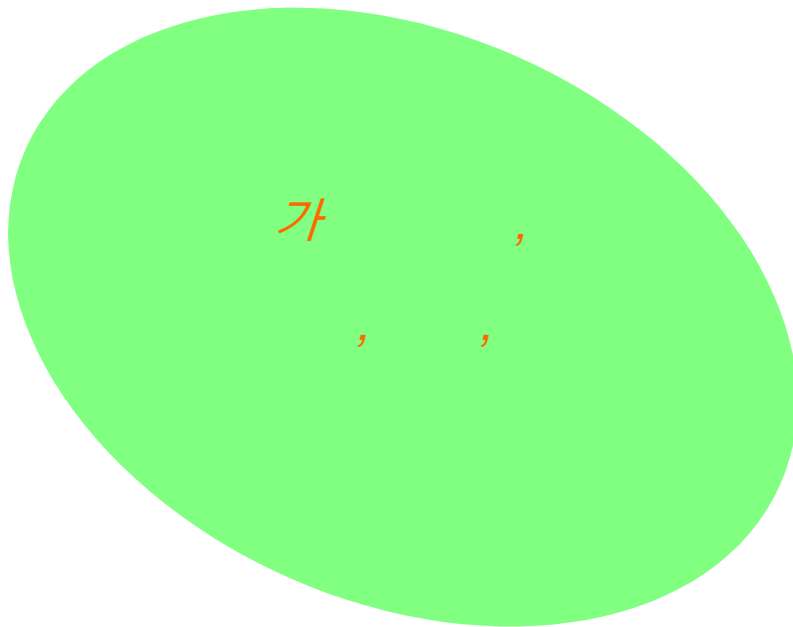
AUDIT

On-Site-Audit Process

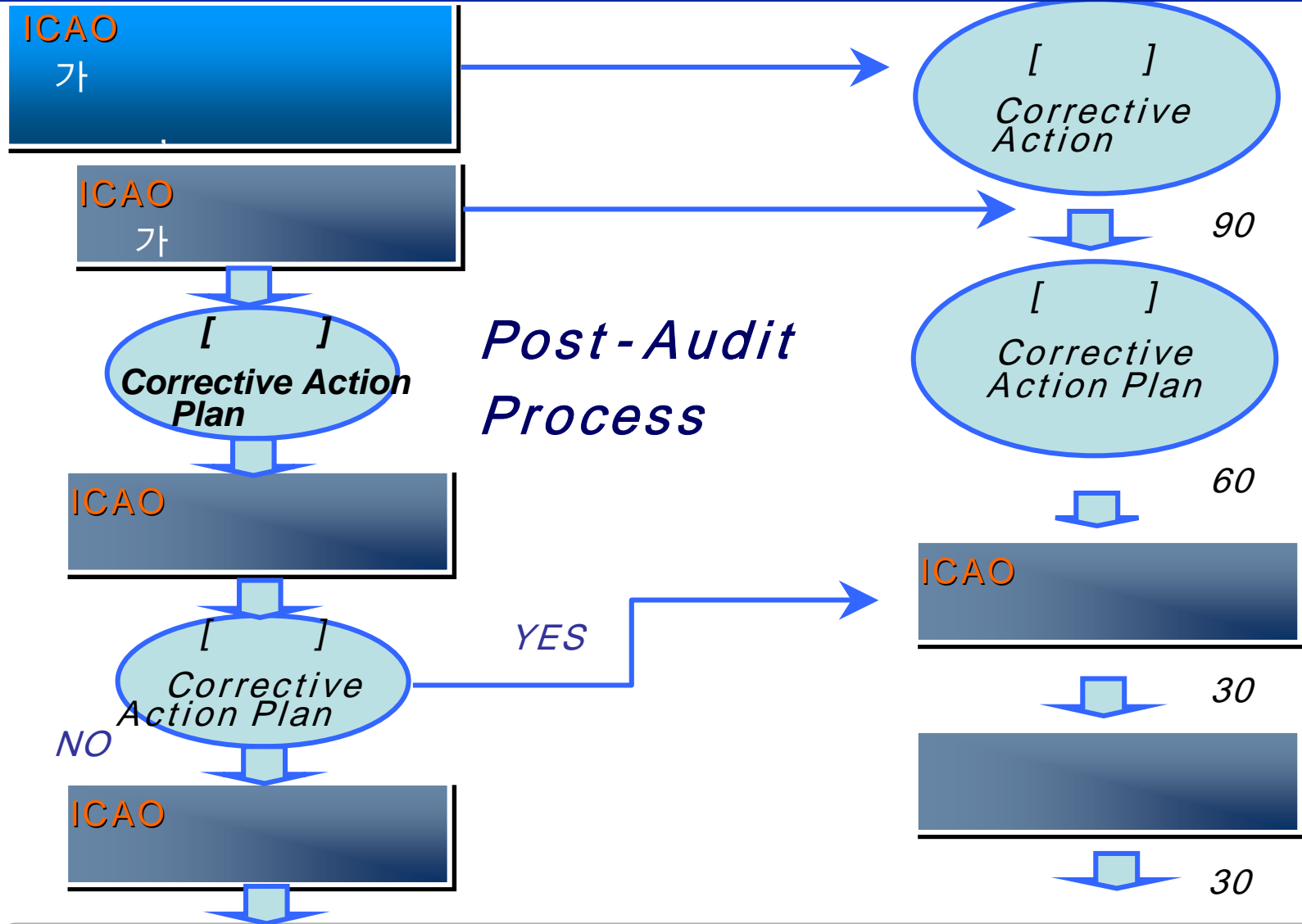
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On-Site-Audit Process



AUDIT



AUDIT

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FINDINGS AND RECOMMENDATIONS RELATED TO								
State:			Finding and Recommendation Number					
Audit Period								
Document Ref.			Audit Protocol Ref.					
Critical Element		CE-1		CE-3		CE-5		CE-7
		CE-2		CE-4		CE-6		CE-8
Finding :								
Recommendation								
Auditor:			Date:					
Team Leader								

AUDIT

Audit Protocol - an example

ICAO Ref.	Aspects to be audited or questions to be answered	Status	Example of evidence to be reviewed	Implementation status	Response/ Comments	Critical Element Ref.
<div>Audit Protocol Question</div> <div>State Response</div> <div>Review Evidence</div> <div>Auditor Assessment</div>						
ATS 7.000 — LEGISLATION						
STD A11 4.1.1	ATS 7.107 Has the State established and implemented flight information service (FIS)?	<ul style="list-style-type: none"> • Yes • No 	Review documented evidence of the implementation of flight information services..	<ul style="list-style-type: none"> • Satisfactory • Not satisfactory • Not implemented • Not applicable • Not audited 	<div>Auditor Notes</div> <div>6</div> <div>3</div> <div>2</div> <div>Applicable Critical Element</div>	
QM Doc 9733 3.1 3.4	ATS 7.115 Has the State established and developed an organizational structure of air traffic services?	<ul style="list-style-type: none"> • Yes • No 	Review copy of the air traffic services organizational structure including positions, names, titles and acronyms for the established authorities. Confirm currency.	<ul style="list-style-type: none"> • Satisfactory • Not satisfactory • Not implemented • Not applicable • Not audited 		
STD A11 2.1.2	ATS 7.245 Does the State have any airspace over the high seas or airspace of undetermined sovereignty where air traffic services are provided?	<ul style="list-style-type: none"> • Yes • No 	Review documented evidence of the airspace for which the State has accepted the responsibility to provide air traffic services and confirm if any thereof over the high seas or airspace of undetermined sovereignty.	<ul style="list-style-type: none"> • Satisfactory • Not satisfactory • Not implemented • Not applicable • Not audited 		

Source Reference

AUDIT

ICAO – 가



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ICAO HQs
(SOA/ Audit Team)



ICAO Regional
Office

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◆ 2000 ICAO 가 2001 FAA 가

Annex 1,6,8

◆ 2002 가

Annex 11,13,14 (2004 가)

Annex

◆ 2004.3 , 2004.6 가

Annex

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Differences

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			ICAO	ICAO	/		
1.		4	-	4	-	-	
2.		1	-	1	-	-	
3.		-	-	-	-	-	-
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5.		2	-	2	-	-	
6.		10	1	4	5	-	(3)
7.		3	-	3	-	-	
8.		3	-	-	3	-	
10.	I.	200	-	-	-	200	
	II.	170	-	-	-	170	
	III.	1,463	-	-	-	1,463	
	IV.	256	-	-	256	-	
	V.	17	-	-	9	8	
11.		17	-	5	-	12	
12.		-	-	-	-	-	-
13.		-	-	-	-	-	-
14.	I.	131	-	9	110	12	
	II.	321		-	321	-	
15.		14	-	14	-	-	
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18.		-	-	-	-	-	-

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- '05.5 ()

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Compliance Checklist Checklist

Annex Reference & SARP Identifier	ANNEX 15 AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION Annex Standard or Recommended Practice	Legislation Compliance Quote Relevant State Act/Regulation or Document Reference	No	Difference Yes			Not applicable	Text of the difference identified by the State including the reason for the difference	Comments
				Level of implementation of SARPs					
				More limiting or Exceeds	Difference in character or Other means of compliance	Less protective or partially implemented or not implemented			
5.2 AIG0000210 Chapter 5 SIL	<i>Investigator-in-charge - Designation</i> The State conducting the investigation shall designate the Investigator-in-charge of the investigation and shall initiate the investigation immediately.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5.6 AIG0000210 Chapter 5 SIL	<i>Investigator-in-charge - Access and control</i> The investigator-in-charge shall have unhindered access to the wreckage and all relevant material, including flight recorders and ATIS records, and shall have unrestricted control over it to ensure that a detailed examination can be made without delay by authorized personnel participating in the investigation.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5.7 AIG0000210 Chapter 5 SIL	<i>Flight recorders - Accidents and incidents</i> Effective use shall be made of flight recorders in the investigation of an accident or an incident. The State conducting the investigation shall arrange for the read-out of the flight recorders without delay.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Provision
for
comments

Level of compliance

SARP
Identifier

Annex
Reference

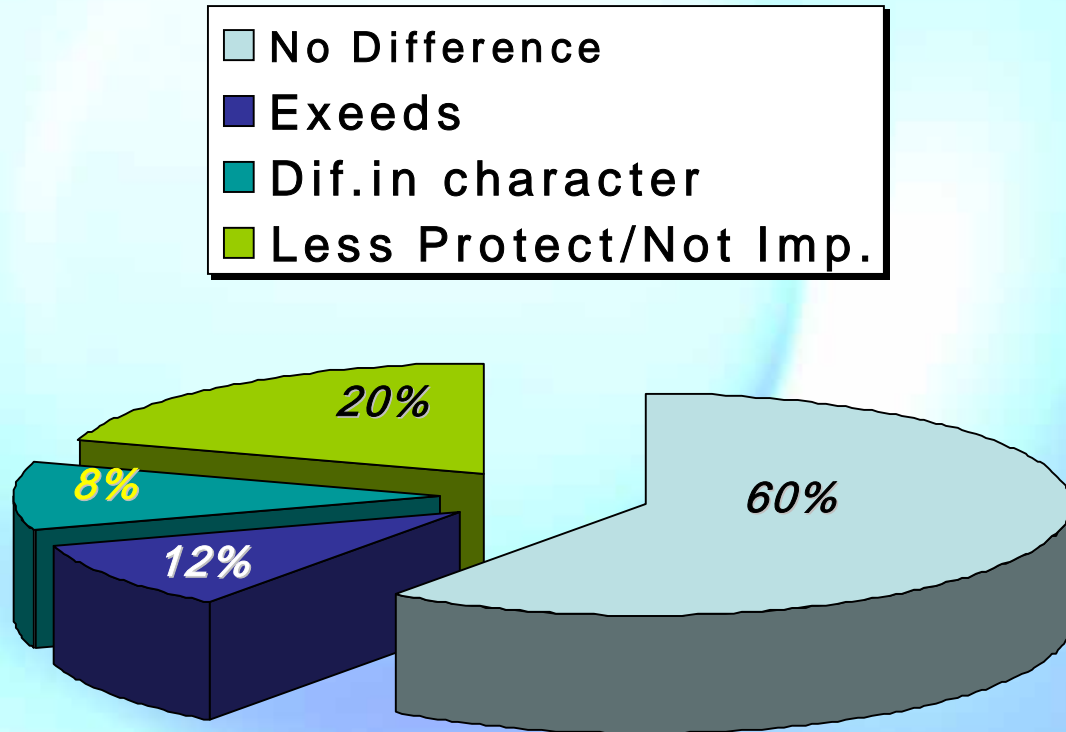
Annex
SARP

Legislation
Reference

Text of
difference

Compliance Checklist Checklist

◆ Annex 14



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✓ EXEMPTION / WAIVER ,

✓ ICAO ()





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