



WORKING PAPER

ASSEMBLY — 39TH SESSION

TECHNICAL COMMISSION

Agenda Item 33: Aviation safety and air navigation monitoring and analysis

ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME CONTINUOUS MONITORING APPROACH (USOAP CMA) – PROPOSAL FOR A POST-IMPLEMENTATION REVIEW

(Presented by Australia, Bangladesh, Chile, India, Japan, Malaysia, Nepal, New Zealand, Republic of Korea, Russian Federation, Singapore, Tonga and Vanuatu)

EXECUTIVE SUMMARY

This paper recognizes that the design and implementation of the USOAP CMA online framework has been successfully implemented and offers the potential for significant benefits to ICAO and its Member States. The paper proposes that ICAO undertake a post-implementation review (PIR) of the USOAP CMA, including the design and functionality of the online framework. The PIR would provide Member States with an opportunity to provide user feedback that would factor into the future design and development of the programme and enable the ICAO Secretariat to develop forward work plans for improvements to the design and function of the USOAP CMA online framework, thereby ensuring it remains an efficient and valuable tool for both Member States and ICAO.

Action: The Assembly is invited to:

- a) establish a task force comprising of representatives from Member States and ICAO;
- b) conduct a post implementation review of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach, including the online framework, with the questions to be addressed as described in paragraph 2.6;
- c) conclude the review by June 2018; and
- d) report the findings of the review at the 40th Assembly in 2019 with recommendations aimed at ensuring the Continuous Monitoring Approach delivers long-term benefits to ICAO and its Member States.

Strategic Objectives:

This working paper relates to the Safety Strategic Objective.

Financial implications:

It is proposed that the Post Implementation Review be carried out within the available resources of the proposed 2017-18-19 ICAO Regular Programme budget and/or from extra-budgetary contributions. Any proposals for major technical improvements and other activities with moderate or significant resource implications arising from the Review would be factored into the formulation of the 2020-21-22 ICAO Regular Programme budget.

<i>References:</i>	Doc 10022: <i>Assembly Resolutions in Force (as at 4 October 2013)</i> <ul style="list-style-type: none">- A32-11, Establishment of an ICAO universal safety oversight audit programme- A37-5, The Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach A38-WP/50 , Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA)
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1. INTRODUCTION

1.1 The 32nd Session of the Assembly in 1998 resolved that a Universal Safety Oversight Audit Programme (USOAP) be established, to enable the International Civil Aviation Organization (ICAO) to carry out regular, mandatory, systematic and harmonized safety oversight audits. The ultimate goal of USOAP is to promote global safety through regular audits of safety oversight systems in all ICAO Member States.

1.2 Following the successful implementation of the USOAP, the 37th Session of the Assembly in 2010 directed the Secretary General to transition the USOAP, commencing in 2011, to integrate a Continuous Monitoring Approach (CMA).

1.3 An online framework supporting the introduction of the CMA was introduced by ICAO as the primary tool for Member States to manage and report on their aviation safety compliance activities. The framework involves the completion of Protocol Questions (PQs), State Aviation Activity Questionnaires, Corrective Action Plans and inputs to the Electronic Filing of Differences System.

1.4 The CMA has been fully operational since 1 January 2013.

2. DISCUSSION

2.1 The transition to the USOAP CMA has the potential to provide significant benefits to Member States around the world in terms of improving safety performance. The implementation of the online framework offers Member States potential efficiencies in managing and reporting on aviation safety compliance activities and managing aviation safety audit obligations. Appropriate resourcing by ICAO to support users of the tool can deliver significant cost benefits to both ICAO and Member States into the future.

2.2 While Member States have had an opportunity to provide feedback on the CMA online framework since it became operational on 1 January 2013, there has been no systemic review of the CMA, including the online framework. Best practice governance of this flagship element of ICAO's work programme should include a transparent and objective review of the design and implementation of the system and the identification of any further structural or systemic improvements which may be required to ensure the best outcomes continue to be delivered to both ICAO and its Member States.

2.3 The conduct of a PIR is recognized as best practice for the implementation of any new system established to achieve specific outcomes. The broad objectives of a PIR are to:

- a) ascertain the degree of success from the project, in particular, the extent to which it has met its objectives, delivered planned levels of benefit, and addressed the specific requirements as originally defined;
- b) examine the efficacy of all elements of the working business solution to see if further improvements can be made to optimize the benefit delivered; and
- c) identify further functional improvements or changes that would deliver greater benefit, including specific improvements required in procedures, documentation or support.

2.4 PIRs are ideally conducted after the initial implementation of a new programme once 'teething' problems have been resolved but before the final design and operation of the programme is accepted as the norm. While it is acknowledged and welcomed that the ICAO USOAP CMA design team has continued to implement new technical improvements to the online framework since 2013, it remains appropriate for the overall program to be evaluated to ensure that it remains fit for purpose.

2.5 The PIR would examine the overall effectiveness of the CMA including, where possible, full participation by Member states with limited resources for compliance activities. While feedback from Member States has generally been very positive, some Member States with limited resources have struggled to fulfill the obligations under the CMA, including the workload associated with managing their responses through the ICAO online framework. In this regard, Member States should have the opportunity to determine the most appropriate and effective means, proportionate to its cost, for the proper monitoring of, and reporting on, aviation safety performance.

2.6 It is proposed that ICAO conduct a PIR to focus on two broad areas, namely process efficiency and USOAP CMA methodology, with the following questions to be addressed:

2.6.1 Process efficiency

- a) Is the systemic and planned review and revision of Annexes efficiently and logically connected to the review of the text of PQs?
- b) Does the current model of the online framework, and the plans for incremental functionality improvements, ensure maximum benefits to Member States with regard to compliance, reporting and planning?
- c) Are there other methods available to make the online framework more efficient?
- d) Can the online framework be further developed to increase the return on effort to Member States by regularly updating their performance data above the annual review of PQs currently in place?
- e) Are there any inconsistencies in the logical structure of the CMA, including the online framework, which need to be addressed?
- f) Are sufficient resources available within the ICAO budget to effectively maintain the online framework and ensure that the monitoring of aviation compliance is continuous?

2.6.2 USOAP CMA methodology

- a) Is the overarching design of the CMA the most effective means of delivering improved aviation safety outcomes for Member States and for ICAO?
- b) Is Effective Implementation (EI) score an effective measure of achieved operational safety?
- c) Is the current prioritization and scheduling of audit and validation exercises informed by appropriate risk assessments of Member States?
- d) Is the current process for re-calculating EI scores the most appropriate for both ICAO and Member States?

2.7 The PIR should be conducted by a task force comprising a small group of representatives drawn from ICAO and Member States acting under the guidance of the Air Navigation Commission. Findings and recommendations arising from the PIR should be considered in the formulation of the 2020-2022 ICAO Regular Programme budget to ensure that the CMA tool remains fit for purpose and is appropriately resourced. The PIR task force should report the findings and recommendations of its review to the 40th Assembly, with an update to be provided to the 2018 Air Navigation Conference.

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