



WORKING PAPER

ASSEMBLY — 37TH SESSION

TECHNICAL COMMISSION

Agenda Item 29: Report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach and Evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010

SUPPORT FOR THE EVOLUTION OF ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME TO A CONTINUOUS MONITORING APPROACH

(Presented by the United States)

EXECUTIVE SUMMARY

The Universal Safety Oversight Audit Programme (USOAP) has been a major achievement for aviation safety and has provided the ability to evaluate States' oversight capabilities and identify areas for improvement. For USOAP to become more resource-efficient and better focused on a safety risk-based approach to auditing, ICAO introduced the concept of a "Continuous Monitoring Approach" (CMA). The United States supports transition of USOAP's evolution to CMA.

Action: The Assembly is invited to adopt a resolution directing the Council to continue to support the evolution of USOAP to CMA by:

- a) providing the appropriate resources to successfully implement CMA;
- b) providing training for Member States to successfully implement CMA;
- c) continuing with Validation Audits to help deficient States progress and monitor a sufficient number of States during the CMA transition process; and
- d) monitoring the progress made during the transition period and adjusting its duration as required.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A: Safety - <i>Enhance global civil aviation safety.</i>
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<i>Financial implications:</i>	None.
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<i>References:</i>	Doc 9902, <i>Assembly Resolutions in Force</i> (as of 28 September 2007) (A36-4)
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1. INTRODUCTION

1.1 USOAP has become an invaluable instrument for evaluating the safety oversight capabilities of ICAO Member States, and in identifying where improvements need to be made. Despite its significant role in providing oversight and evaluation, implementation under the comprehensive systems approach poses a resource challenge for ICAO and Member States. Moreover, the results of an audit provide only a “snapshot” of the safety oversight system, and do not allow for safety performance monitoring on a continuous basis. Assembly Resolution A36-4 directed the Council to examine different options for the continuation of the USOAP beyond 2010, including the feasibility of applying a new approach based on the concept of continuous monitoring.

1.2 The need to make the USOAP more resource-efficient and targeted towards safety risks led ICAO to begin to implement a “Continuous Monitoring Approach” (CMA). In March 2010, at the ICAO High-Level Safety Conference, Member States agreed to move forward with CMA and provided multiple recommendations to effectively evolve USOAP. The successful implementation of the CMA will rely on the full support of all ICAO Member States and the active participation of regional and international bodies.

2. DISCUSSION

2.1 The CMA involves the establishment of a system to monitor the safety oversight capabilities of Member States on an ongoing basis and with a harmonized and consistent approach towards assessing the safety level of aviation activities and evaluating safety management capabilities. An interactive web-based framework and central database capable of processing data from multiple sources on a continual basis is needed to facilitate States participation in CMA. As ICAO works to prepare for the launch of CMA in 2013, these tools and guidance materials will be developed to ease the transition for States and ICAO Regional Offices.

2.2 The evolution of USOAP to CMA should continue to be a top priority for ICAO as the purpose is to provide information about the safety performance of Member States to one another and the public on a continuous basis. This is vital to the enhancement of international aviation safety, therefore participation and support from all Member States is particularly important during the 2011-2012 transition, when the tools and guidance required for the CMA will be developed and refined.

2.3 The United States recognizes that Member States’ sustained support for the transition to CMA is key to moving USOAP to a more efficient and resourceful approach.