



Agenda Item 4: Aviation Safety Matters
4.2 ICAO Universal Safety Oversight Audit Programme (USOAP)

CONTINUOUS MONITORING APPROACH

(Presented by the Secretariat)

SUMMARY

The 36th Session of the ICAO Assembly directed the Council, inter alia, to make appropriate changes to the USOAP and to consider various options for the continuation of the Programme. To this end, the Secretariat established a Safety and Security Audits Branch Continuous Monitoring Approach (CMA) Study Group (SCMA-SG) to look at the future of the USOAP beyond 2010. This paper presents the proposal of the SCMA-SG for a CMA beyond 2010 which was approved by the 187th Session of the Council

References:

- Annex 1, 6, 8, 11, 13 and 14
- Doc 9902, *Assembly Resolutions in Force* (as of 28 September 2007)
- Doc 7300, *Convention on International Civil Aviation*

Strategic Objectives:	This working paper relates to Strategic Objectives A: Safety – <i>Enhance global civil aviation safety</i>
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1. INTRODUCTION

1.1 The 36th Session of the ICAO Assembly directed the Council, inter alia, to make appropriate changes to the USOAP and to consider various options for the continuation of the Programme. To this end, the Secretariat established a Safety and Security Audits Branch Continuous Monitoring Approach (CMA) Study Group (SCMA-SG) to look at the future of the USOAP beyond 2010. This information paper presents the Directors of Civil Aviation of the Central Caribbean the ICAO Council's Decision to approve the CMA as the best option forward. It also presents one of the intervention activities planned within the framework of the USOAP CMA referred to as ICAO Coordinated Validation Missions (ICVMs), to be launched in 2009.

2. TOWARDS A CONTINUOUS MONITORING APPROACH

2.1 In September 2007, the 36th Session of the ICAO Assembly (Assembly Resolution A36-4 refers), directed the Council to examine different options for the continuation of the Universal Safety Oversight Audit Programme (USOAP) beyond 2010, including the feasibility of applying a new approach based on the concept of continuous monitoring. Pursuant to A36-4, the Council directed the Secretariat to look at the future of the Programme beyond 2010, with a view to incorporating the analysis of safety risk factors, adopting a more proactive approach and making a more effective and efficient use of the resources made available to the Programme, including the role of other Bureaus of the organization as well as the Regional Offices. To this end, in July 2008 the Secretariat established a study group to examine the feasibility of adopting a Continuous Monitoring Approach (CMA).

2.2 The study group identified six options to be considered for the continuation of USOAP beyond 2010, including details on the particular objectives, requirements, benefits, constraints and associated costs of each. Based on a comparative analysis of the benefits, constraints and implementation costs, the study group resolved that, in order to ensure efficiency, long-term sustainability and cost effectiveness, preference should be given to the application of a CMA for the continuation of USOAP beyond 2010.

2.3 The Council of ICAO examined the study group's conclusions during its 187th Session and directed the Secretary General to begin to develop the methodology and tools required to implement a CMA, including the necessary detailed guidance to States. The Council also directed the Secretary General to conduct targeted ICAO Coordinated Validation Missions (ICVMs) during the transition phase. Other intervention activities that would normally be found under a CMA are to be phased in gradually, with pilot projects conducted in select States.

2.4 The CMA will involve the establishment of a system to monitor the safety oversight capability of Contracting 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. The CMA will require the establishment of a centralized database to properly manage information received from different sources on an ongoing basis. Under this approach, the USOAP will also provide enhanced flexibility by implementing tailored audits and will be capable of identifying when other types of intervention, such as operational or technical assistance, are required. Continuous feedback from the States will be required under the CMA in order to determine when either full-scale or limited monitoring activities are required. Such activities will include both targeted and full-scale audits of a State's aviation safety oversight capability.

2.5 ICAO will provide Contracting States with formal notification of the decision of the Council to adopt a CMA and provide them with regular updates through Electronic Bulletins. The Secretary General will also provide the Council with a detailed transition plan leading to the introduction of the CMA, including timelines, during the 189th Session. The Secretary General will also propose to the Council, for its consideration, a draft Assembly Resolution to be presented to the next ordinary session of the Assembly in 2010.

3. ICAO COORDINATED VALIDATION MISSIONS

3.1 Amongst the intervention activities planned within the framework of the USOAP CMA are ICVMs. The primary purpose of an ICVM will be to validate the effective implementation of the corrective action plan submitted by a State, including subsequent progress reports received, following an audit carried out in accordance with the comprehensive systems approach (CSA). An ICVM will determine the status of corrective or mitigating measures taken by the State on safety deficiencies, including significant safety concerns identified during the CSA audits.

3.2 ICVM procedures have now been developed and are similar to the standard auditing procedures applied during a regular safety oversight CSA audit. However, ICVMs are generally limited to ascertaining whether safety deficiencies previously identified have been satisfactorily resolved. The ICVM procedures call for ICVMs to be convened and scheduled by ICAO HQ in coordination with Regional Offices (ROs) on the basis of identified safety priorities. ICVMs will normally be conducted by ROs with implementation support provided by the ICAO Safety and Security Audits Branch. The decision to conduct an ICVM may be based on any of the following considerations:

- a) Results of a previous audit under the CSA cycle;
- b) Status of identified safety deficiencies;
- c) Relevant safety information provided by ROs or recognized Organizations;
- d) Specific directions received from the Audit Results Review Board, Secretariat or Council;
- e) Action instigated in pursuance of the global strategy for aviation safety emanating from activities within the framework of the ICAO Global Aviation Safety Plan (GASP) and Regional Aviation Safety Groups (RASGs);
- f) Specific request received from the Contracting State concerned; and
- g) Where an ICVM would benefit ICAO and Contracting States.

3.3 States should be prepared to assist ICVM teams by providing access to staff, facilities and documentation, as required, as well as by providing administrative and technical support.

3.4 During its visit, the ICVM team may identify significant safety concerns (SSCs) in relation to the State's conformance with SARPs, procedures, guidance material or State safety oversight management system or programmes. In such cases, the team leader will communicate potential SSCs to ICAO SSA Branch and, once validated, record and communicate those concerns to the State. SSCs will be processed by ICAO using specific procedures and the State will be encouraged to submit a list of its immediate corrective actions to address these concerns.

3.5 Once the mission results have been reviewed, an ICVM report providing validated information on the status of implementation of the State's corrective or mitigating actions shall be forwarded to the State and posted on the USOAP secure website.

3.6 The first ICVM is scheduled to take place in August 2009. This mission will be used as an opportunity to test the effectiveness and practicality of the ICVM procedures and to make any changes required. States can expect other ICVMs to be conducted through the remainder of 2009 and through 2010 as the USOAP transitions to a CMA.

4. **CONCLUSIONS**

4.1 The Directors of Civil Aviation of the Central Caribbean are to note the information of this paper. In particular, ICAO Council's Decision to approve the CMA as the best option forward for USOAP beyond 2010. In addition one of the intervention activities planned within the framework of the USOAP CMA referred to as ICAO Coordinated Validation Missions (ICVMs), will be launched this year.

4.2 The ICAO Secretariat will provide Contracting States with formal notification of the decision of the Council to adopt a CMA and provide all States with regular updates through Electronic Bulletins.

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