



INTERNATIONAL CIVIL AVIATION ORGANIZATION

**FIFTH MEETING OF DIRECTORS GENERAL OF CIVIL AVIATION (DGCA/5)  
OF ESAF AND WACAF STATES  
(Dakar, Senegal, 4 November 2013)**

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**Agenda Item 3: Aviation Safety**

**UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS  
MONITORING APPROACH (CMA) – THE ONLINE FRAMEWORK (OLF)**

*(Presented by the Secretariat)*

**SUMMARY**

This paper provides a consolidated progress report on the Universal Safety Oversight Audit Programme (USOAP) including the full-scale implementation of the Continuous Monitoring Approach (CMA). The CMA was designed to provide continuous monitoring of safety oversight capabilities of States by ensuring that States develop, maintain and apply national regulations in accordance with ICAO Standards and Recommended Practices (SARPs). CMA incorporates principles of safety management and safety risk assurance concepts which provide a mechanism for collection of data from States and other stakeholders for analysis using a risk based approach. The process also allows for the identification and prioritization of appropriate strategies to rectify deficiencies and reduce or eliminate the associated risks.

The USOAP CMA requires the establishment of a system to monitor the safety oversight capability of States on an on-going basis. It also enables the sharing of safety information between ICAO and relevant stakeholders and hence the need for development of the CMA Online Framework (OLF).

The CMA Online framework is available for interactive use in ‘real-time’ through a suite of web-based integrated application system.

**REFERENCE(S):**

Doc 9958 – Assembly Resolutions in force (as of 8 October 2010)

Doc 9735 – Universal Safety Oversight Audit Programme Continuous Monitoring Manual

**Related ICAO Strategic Objective(s):** Strategic Objective A: Safety – Enhance global aviation safety

**1. INTRODUCTION**

1.1 The Universal Safety Oversight Audit Programme (USOAP) cycle of comprehensive systems approach (CSA) audits were completed in December 2010 followed by a two year transition period, 2011 through 2012, to allow ICAO and member States to gradually implement actions required under the new Continuous Monitoring Approach (CMA). These actions/activities include full or limited

CSA audits, safety audits and ICAO coordinated validation missions (ICVMs), in addition to conclusion of new and amended existing agreements with member States and regional and international organizations for the purpose of sharing of safety information. The gradual implementation of the CMA began in January 2013 having taken into account the necessary time for some States to fully respond to the requirements for fulfilling their obligations under the new approach.

## **2. DISCUSSION**

2.1 The CMA concept required the establishment of a suite of web-based integrated application system called the online framework to monitor the safety oversight capability of Contracting States on an on-going basis. The application of the online framework requires ICAO to adopt a harmonized and consistent approach to assessing the safety level of aviation activities and evaluating safety management capabilities. The system helps to facilitate States' participation in the CMA through the availability of an interactive online framework and a centralized database to properly manage data gathered by the USOAP on an on-going basis. The database includes validated information from ICAO Regional Offices, regional and international organizations, in addition to information received directly from States.

2.2 It would be recalled that during the transition to the Continuous Monitoring Approach, member States were required to complete a number of actions aimed at facilitating the implementation of the new process. States were required to sign new Memorandum of Understanding (MOU) with ICAO and nominate one or more National Continuous Monitoring Coordinator (s) (NMCs) as appropriate. In addition to the Computer Based Training (CBT), NMCs were provided with training on the CMA reporting tools during the CMA Seminars/Workshops conducted, in each ICAO region, as part of the activities during the transition period.

2.3 States, through their NMCs, were required to provide ICAO with certain information prior to the launch of the CMA in January 2013. Such information included updates on the process made in the implementation of the Corrective Action Plans (CAPs) which were developed and submitted in response to the deficiencies identified during the CSA audits. NMCs were also required to provide regular updates on aviation activities within their States through the State Aviation Activity Questionnaires (SAAQs). The information provided by the States is shared through an online interactive system, the online framework, with all ICAO member States.

2.4 Furthermore, States are responsible for timely completion of the CMA protocols using the online framework. The CMA protocols were updated to reflect the latest changes to the ICAO Annexes and to reflect lessons learnt during the CSA audit cycle. Under the CMA, States are required to file any differences to ICAO SARPs using the online mechanism called the electronic filing of differences (EFOD), as opposed to the traditional system of completion of the Compliance Checklists.

2.5 The success of the USOAP CMA is dependent on the continued cooperation of States and their commitment to the programme. These have so far been achieved through State participation in various CMA activities including continuous provision of updated information through the online framework and acceptance of ICVM missions, amongst others.

## **3. ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) note the progress achieved in the overall implementation of the USOAP including the full-scale implementation of the CMA since January 2013; and
- b) support the activities of the USOAP CMA and encourage member States to make use of the available electronic tools developed for the CMA concept.

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