



ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION FOURTH MEETING OF THE REGIONAL AVIATION SAFETY GROUP FOR AFRICA - INDIAN OCEAN (RASG-AFI/4)

(Nairobi, Kenya, from 12 to 13 October, 2017)

Agenda Item 3: Global Update 3.4 – Progress Report on the Implementation of the USOAP-CMA

(Presented by the ICAO Secretariat)

EXECUTIVE SUMMARY	
<p>This paper provides a progress report on the implementation and activities of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) during 2016, and the activities planned for 2017 and 2018. Action by the meeting is in paragraph 5.</p>	
<i>Strategic Objectives:</i>	This paper relates to the Safety Strategic Objective.
<i>References:</i>	EB 2017/44 EB 2017/35 EB 2017/18 EB 2017/4 EB 2016/70 EB 2016/63 EB 2016/20 <i>Report on USOAP CMA results 2013-2015</i>

1. INTRODUCTION

1.1 This paper provides a progress report on the implementation and activities of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA), highlighting the milestones achieved, activities conducted and improvements made in 2016, as well as activities and developments planned for 2017 and 2018.

2. USOAP MILESTONES IN 2016

2.1 During 2016, work continued on improving the user experience and functionality of the USOAP CMA Online Framework (OLF) (<https://www.icao.int/usoap>). The State Aviation Activity Questionnaire (SAAQ) was redesigned with a more uniform look and now allows States to perform offline

updates, extract reports, and provide ICAO with SAAQ updates. In addition, a new mandatory information request (MIR) module was launched. The 2016 edition of “Protocol Questions” (PQs) was published. A new data exchange module was also released, which will allow States to interact between their systems and the OLF (EB 2017/04 refers). The OLF continues to be closely integrated with ICAO’s iSTARS (subscription available at <http://portal.icao.int> – group name: SPACE) as its applications use live data from the OLF, allowing States to conduct more accurate and timely analyses.

2.2 In 2014, ICAO published a set of “new PQs on safety management” for audit use and other continuous monitoring activities. These PQs are used to conduct voluntary, confidential and cost-recovery assessments of State Safety Programme (SSP) implementation at the request of ICAO Member States. Considering the lack of readiness by most States for effectively implementing an SSP, and the fact that the fourth edition of the *Safety Management Manual* (Doc 9859) (SMM) will be published in September 2017, the audit of the new SSP-related PQs has been postponed to January 2018 (further details in paragraph 4.4).

2.3 The increase in effort by States to resolve their safety deficiencies and improve their effective implementation (EI) scores has also created more demand for ICAO to validate the progress reported by States. ICAO has responded to this demand in a timely manner by conducting more off-site validation activities. To perform an increased number of validation activities, ICAO introduced a USOAP CMA designee system in September 2016. The key feature of this system is for ICAO to retain specialized expertise gained through investments in training, conduct of missions and overall USOAP CMA corporate knowledge, under a system that designates functions to highly qualified and experienced USOAP CMA experts. Designees support the performance of off-site validation activities, assessments of Corrective Action Plans (CAPs) and CAP updates. The rollout of the designee system included the establishment of comprehensive processes and procedures (now part of the Monitoring and Oversight Quality Management System) for its administration, as well as the organization of a training session for the designees, which was held in Montréal from 29 August to 2 September 2016, conducted in parallel with a USOAP CMA standardization training (further details in paragraph 2.6).

2.4 In 2016, ICAO rolled out a new initiative to support continuous monitoring in general and off-site validation activities in particular, through more active participation of ICAO technical officers from both ICAO Headquarters (HQ) and Regional Offices (ROs), as well as technical experts from safety partners (specifically from the European Aviation Safety Agency (EASA) for activities in States receiving EASA standardization inspections). When all requirements are met and the PQs are limited in number, continuous monitoring activities resulting from this initiative are then validated by the Safety and Air Navigation Oversight Audit (OAS) Section, in coordination with the concerned RO or safety partner. During a State visit, these experts collect evidence on CAPs implementation and the resolution of USOAP audit findings by the State. The experts then submit the collected evidence to ICAO HQ for validation. The list of designated safety partners for USOAP CMA validation activities may expand to include additional Regional Safety Oversight Organizations (RSOOs) in due time.

2.5 ICAO issued a safety report on the USOAP CMA activities conducted over a three-year period starting with the launch of the CMA on 1 January 2013 until 31 December 2015. This report not only provides statistical data, but also highlights a number of challenges which States continue to face. The report is available on the ICAO public website (<http://www.icao.int/safety/CMAForum>).

2.6 Two USOAP CMA standardization training sessions were held in 2016: the first was conducted in March for team leaders and team members of the Monitoring and Oversight (MO) Office; the second was conducted at the end of August/early September for all USOAP CMA team leaders, prospective team leaders from the ROs and all technical staff of MO. Through such standardization training, USOAP

CMA team leaders are kept informed of the latest updates and improvements in USOAP CMA methodology and tools, thereby ensuring that USOAP CMA activities are conducted in a uniform and efficient manner.

2.7 The USOAP CMA quality management system (QMS) successfully completed its annual surveillance audit in October 2016, ensuring its ongoing compliance with the ISO 9001:2008 Standard. The QMS scope includes: the collection, processing and sharing of safety oversight information; the conduct of continuous monitoring activities; and the provision of safety training and seminars for the enhancement of global aviation safety. USOAP CMA procedures, processes and other documentation managed through the QMS were updated, streamlined and standardized, as applicable. Through the USOAP CMA QMS, ICAO collects data from States regarding their level of satisfaction with USOAP CMA activities. Feedback from States in 2016 indicated an overall satisfaction rate of 92 per cent, a 3 per cent increase of the rate reported in 2015.

3. USOAP CMA ACTIVITIES IN 2016

3.1 **Appendix A** outlines USOAP CMA activities conducted during 2016, including audits, ICAO Coordinated Validation Missions (ICVMs), off-site validations, mandatory information requests (MIRs), SSP implementation voluntary assessments, and seminars/workshops. The USOAP CMA Activity Plan, issued as an electronic bulletin and posted on ICAO-NET twice a year (EB 2017/35 refers), lists the USOAP CMA activities that are planned for 2017 as full-scope activities (covering all eight audit areas) or as limited-scope activities (targeting some of the audit areas). In 2016, a total of forty-six USOAP CMA activities impacted the States' EI scores. The increased number of activities is the result of the maturity of the USOAP CMA and the efficiencies gained in its implementation.

3.2 The current USOAP CMA status at the global level shows the areas with the lowest level of EI are aircraft accident and incident investigation (AIG) and aerodrome and ground aids (AGA). The Critical Elements (CE) with the lowest level of EI are CE-4 (qualified technical personnel) and CE-8 (resolution of safety issues).

3.3 In 2016, Georgia, Kazakhstan, Kyrgyzstan¹, Lebanon, Sierra Leone and Uruguay resolved the significant safety concerns (SSCs) identified by ICAO. At the end of 2016, on a global level, there were eight unresolved SSCs in eight States, all of them in the area of aircraft operations (OPS). In April 2017, Angola resolved its SSC, and in July 2017, Nepal resolved its SSC, leaving six SSCs identified by ICAO which remain unresolved. The ICAO Member States with unresolved SSCs that remain posted on the secure website as of August 2017 are the following: Djibouti, Eritrea, Haiti, Kyrgyzstan, Malawi, and Thailand.

3.4 In support of the ICAO No Country Left Behind initiative, the ICAO Council established the Council President Certificates. The purpose of these certificates is to recognize States from each ICAO region which have made significant progress in resolving their safety oversight deficiencies and improving the effective implementation (EI) of ICAO Standards and Recommended Practices (SARPs). These certificates honour progress achieved but feature no financial rewards.

3.5 The eligibility criteria used for this recognition are objective and transparent and are based on the results of ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) activities, including audits, ICAO Coordinated Validation Missions (ICVMs) and off-site validation activities. They include:

¹ An SSC pertaining to the certification process for the issuance of air operator certificates remains unresolved in Kyrgyzstan.

- a) EI over 60 per cent: States must have achieved an overall EI of 60 per cent or greater;
- b) EI improvement over 15 per cent: States must achieve at least 15 per cent increase in their overall EI compared to their last USOAP audit; and
- c) No Significant Safety Concern (SSC): States with an outstanding SSC will be excluded from consideration until their SSC is resolved.

3.6 Council President Certificates will be issued once each calendar year in recognition of States that have met the criteria during the previous year. The States selected for their achievement in 2016 are: Bolivia, Egypt, Guyana, Honduras, Jamaica, Kazakhstan, Paraguay, the former Yugoslav Republic of Macedonia, Togo, Uruguay, Vietnam and Zambia. The certificates will be awarded at the earliest opportunity.

3.7 In order to be considered for the Council President Certificate, ICAO encourages States to resolve their safety deficiencies and improve their EI by actively implementing their corrective action plans (CAPs) and continuing to update their progress on the USOAP CMA online framework (<http://www.icao.int/usoap>).

4. USOAP CMA ACTIVITIES AND IMPROVEMENTS PLANNED FOR 2017 AND 2018

4.1 ICAO will continue to monitor States' activities through the OLF, prioritizing activities based on risk factors and indicators. The ongoing collection of data from the OLF allows ICAO to determine the appropriate monitoring and assistance activities for each State and to assign resources where required. The criteria used for the selection and planning of USOAP CMA activities are outlined in the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735), Sections 3.6 and 4.7.

4.2 In line with the approved budget and available resources, as well as considering the efficiencies gained in the implementation of the programme, USOAP CMA activities planned for 2017 and 2018 include USOAP CMA audits, ICVMs, off-site validation activities, and regional seminars/workshops (**Appendix B** and EB2017/35 refer). This includes cost-recovery activities which will be conducted as requested by States.

4.3 ICAO also scheduled three additional voluntary assessments of SSP implementation, at the request of States. The results of these assessments will be used to gather additional experience and continue to train OAS experts for the audit of SSP implementation. In the meantime, States with EI above 60 per cent are expected to conduct self-assessments on SSP-related PQs and complete the Annex 19 — *Safety Management* compliance checklists.

4.4 In September 2017, amended SSP-related PQs will be published by ICAO to reflect Amendment 1 to Annex 19, the fourth edition of the SMM and lessons learned to date. Although Amendment 1 does not become applicable until November 2019, selected States will be approached by ICAO with a view to performing audits including the amended SSP-related PQs in 2018 and 2019 on a voluntary, but non-confidential basis. As of 2020, ICAO will perform audits using the amended SSP-related PQs on States meeting the criteria to be established by ICAO, in line with the 2020-2022 edition of the Global Aviation Safety Plan. ICAO will continue to develop and implement a plan to prepare and train USOAP CMA auditors to address SSP-related PQs.

4.5 During 2017, the *Safety Oversight Manual, Part A — The Establishment and Management of a State's Safety Oversight System* (Doc 9734) will be amended to reflect Amendment 1 to Annex 19, and the feedback received from States and other stakeholders. In addition, Doc 9735 will be amended to reflect the evolution of the USOAP CMA, particularly the new types of validation activities introduced in 2016 and the roll-out of the designee system.

4.6 Following the outcome of the 39th Session of the Assembly, ICAO has established a group of experts from selected States, an RSOO, the Air Navigation Commission and the Secretariat, chaired by an expert nominated by a State, to undertake a structured review of the USOAP CMA processes and methodology. The aim of this review is to identify adjustments to the programme with a view to further strengthening it, and taking into consideration the evolving safety strategy of ICAO and States' progress in implementing Annex 19, in particular, SSP requirements. It is expected that such a review should be completed by the end of 2017.

5. ACTION BY THE MEETING

5.1 The meeting is invited to:

- a) note the contents of this paper; and
- b) adopt the following draft conclusion.

DRAFT Conclusion – ICAO USOAP CMA Implementation

That States are urged to fulfil their obligations under the USOAP CMA Memorandum of Understanding (MOU) and to take actions as needed to provide up-to-date information on their safety oversight systems, with particular attention to:

- a) States with an SSC, focus on implementing sustainable corrective and immediate mitigation actions to resolve the SSC with a high priority;
- b) complete and update the Corrective Action Plans (CAPs) on the On-line Framework (OLF), as required;
- c) implement CAPs and report progress on the OLF, informing the ICAO Regional Office when ready for validation;
- d) complete the compliance checklist/EFOD and self-assessment of the PQs on the OLF, including uploading the evidence documents; and
- e) request assistance from the ICAO Regional Office and/or COSCAP/RSOO, if required.

APPENDIX A

The table below provides details on USOAP CMA activities and developments during 2016.

Activity	Planned/Conducted	Comments
1. On-site USOAP CMA Activities		
1.1	<i>USOAP CMA Audits</i>	
	Determine States' capabilities for safety oversight by assessing the effective implementation of the critical elements of a State's safety oversight system.	As planned for 2016, 12 audits were conducted (in chronological order): Kyrgyzstan, Nigeria, Kuwait, Ukraine, Malaysia, Senegal, Morocco, Tajikistan, Honduras, Israel, Cambodia and New Zealand.
1.2	<i>ICAO Coordinated Validation Missions (ICVMs)</i>	
	Assess the status of corrective actions taken by the State to address previously identified findings and determine whether or not the State has satisfactorily resolved deficiencies, including any significant safety concerns (SSCs).	15 ICVMs were planned for 2016. By the end of the year, 17 ICVMs were conducted across all ICAO regions (in chronological order): Uruguay, Zambia, Kazakhstan, Georgia, Lebanon, Togo, Jamaica*, Viet Nam, Paraguay*, Bolivia, the former Yugoslav Republic of Macedonia, Sweden, Egypt, Cyprus, Guinea, Guyana and Equatorial Guinea.

Audit results are available on the USOAP CMA online framework at: <https://www.icao.int/usoap>.

ICVM results are available on the USOAP CMA online framework at: <https://www.icao.int/usoap>.

* ICAO also conducted off-site validation activities for these States (see 2.1 below).

Activity	Planned/Conducted	Comments
2. Off-site USOAP CMA Activities		
2.1	<i>Off-Site Validation Activities</i>	
	Assess the status of corrective actions taken by the State to address previously identified findings and determine whether or not the State has satisfactorily resolved its deficiencies, without conducting an ICVM.	<p>18 off-site validations were conducted (in chronological order): Namibia, Nepal, Germany***, Vanuatu, France***, Hungary***, Paraguay*, Finland***, Indonesia, Australia, Liberia, Jamaica*, El Salvador, the Dominican Republic**, Ireland***, Serbia*** and Congo.</p> <p>* ICAO also conducted ICVMs in these States in 2016 (see 1.2 above).</p> <p>** 2 off-site validation activities were completed for the Dominican Republic in 2016.</p> <p>*** The evidence for 6 of the off-site validation activities was collected and assessed by experts from the European Aviation Safety Agency (EASA), on behalf of ICAO, as part of an agreement between the two organizations and agreed to by the States. The evidence was subsequently reviewed and validated by experts from the OAS Section.</p>
2.2 <i>Mandatory Information Requests (MIRs)</i>		
	Request information or documentation needed for USOAP CMA assessment and validation.	<p>In 2016, 3 MIRs were issued, bringing the total number of MIRs issued to date to 19.</p> <p>The processing of an MIR is considered as an off-site USOAP CMA activity.</p>

Activity	Planned/Conducted	Comments
3. Training		
3.1	<i>Training of Auditor and Subject Matter Expert Nominees</i>	
	<p>Manage the USOAP CMA computer-based training (CBT) as a tool for the selection and training of potential auditors and subject matter experts of the USOAP CMA.</p>	<p>41 nominees, qualified for the training of auditors and subject matter experts, took the USOAP CMA CBT in 2016.</p> <p>As of December 2016 and since the launch of the CBT in 2011, 348 participants from 64 States and 6 international/regional organizations have completed the CBT.</p> <p>The USOAP CMA roster now includes a total of 99 qualified USOAP auditors and/or subject matter experts.</p>
3.2	<i>Familiarization Training for State Employees</i>	
	<p>Provide training to States' National Continuous Monitoring Coordinators (NMCs) and familiarize States' safety oversight employees with USOAP CMA methodology and activities.</p>	<p>As of December 2016 and since the launch of the CBT in 2011, 522 participants from 91 States and 13 international/regional organizations have taken the CBT for NCMC and familiarization training.</p> <p>NCMC and familiarization training allows States to enhance the knowledge and competency of their aviation safety personnel regarding USOAP CMA, particularly in preparation for an upcoming USOAP CMA activity.</p>

Activity	Planned/Conducted	Comments
3.3 <i>Seminars/ Workshops</i>		
<p>Assist States with their participation in USOAP CMA and, specifically, with preparations for an upcoming USOAP CMA activity.</p>	<p>9 seminars/workshops were conducted with 335 participants from 48 States and 2 international/regional organizations.</p> <p>2 regional seminars/workshops were budgeted and conducted by ICAO: one was hosted by the Asia and Pacific Regional Office (APAC) in Bangkok, Thailand for States in the APAC Region and another was hosted by the Eastern and Southern African Regional Office, (ESAF) in Nairobi, Kenya for the States in the ESAF Region. A regional meeting/workshop for the North American, Central American and Caribbean Regional Office, (NACC) NCMCs was also held in Mexico City, Mexico.</p> <p>6 seminars/workshops were conducted on a cost-recovery basis in: Angola, Canada, the former Yugoslav Republic of Macedonia, Guyana, the Islamic Republic of Iran and South Africa.</p>	<p>Since the transition period and launch of the USOAP CMA, seminars/workshops have been conducted in all ICAO regions.</p>
