

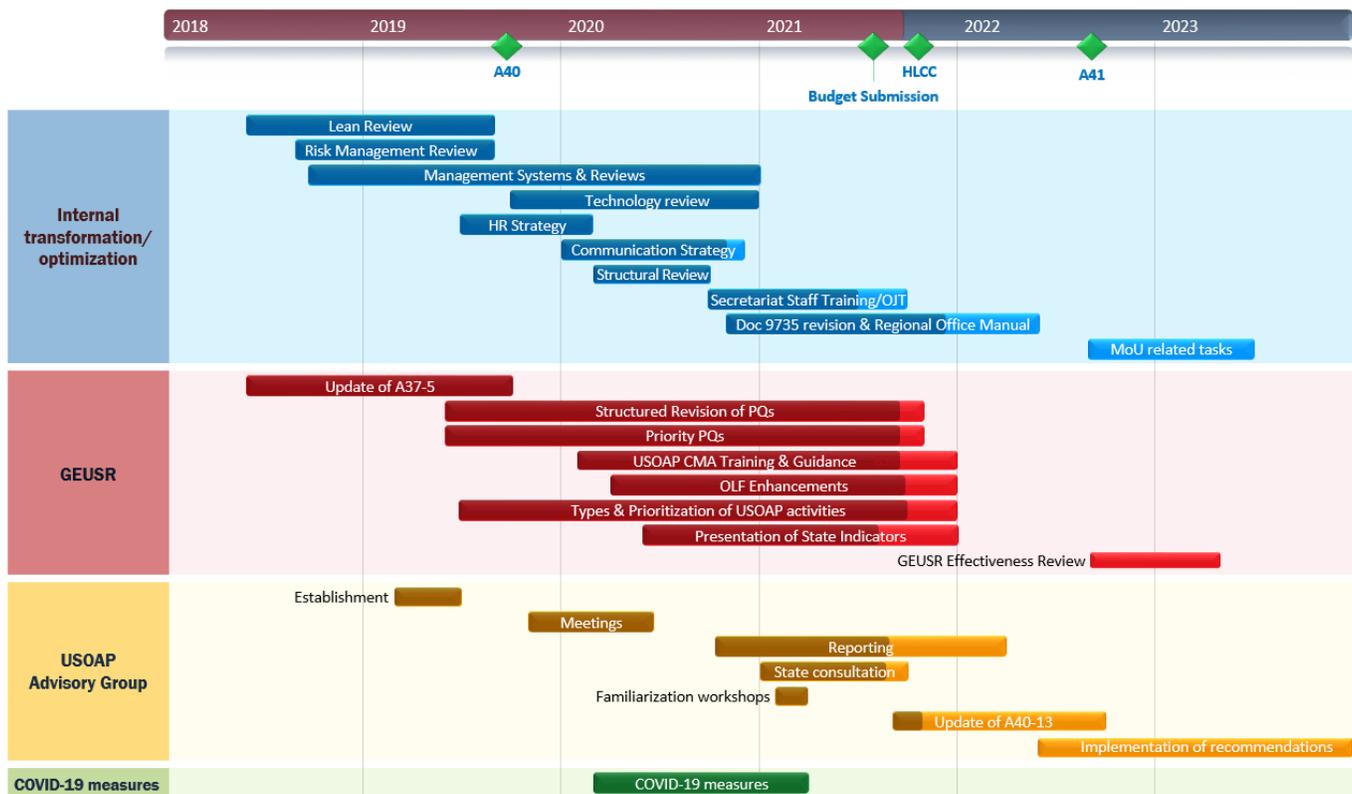
USOAP CMA evolution update

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This document provides an update on the evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA). Its objective is to communicate the status of the four streams of work, including the achievements reached by 30 September 2021 and its interaction, to facilitate the understanding of the overall evolution of the programme. More information on the programme is available in the [USOAP CMA flyer](#) and [frequently asked questions](#).

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The chart above presents the status of the four streams of work of the general evolution plan for the USOAP CMA by 30 September 2021. The responsible managers within the USOAP CMA identified specific tasks, time-lines and resources needed to progress each stream. Every triennium, the USOAP CMA identifies the overall resources needed for the evolution and execution of the programme, and presents its budget to the regular budget process of ICAO. Progress reports on the evolution of the USOAP CMA are provided to the Council and the Assembly on a regular basis since the inception of the programme.

Internal Transformation and Optimization Stream

The USOAP CMA underwent a series of reviews to implement the organizational improvements necessary and manage the changes brought about by the long-term evolution of the programme to better serve ICAO's mission and vision. This stream of work was launched in 2018 and its completion is anticipated in December 2021. The reviews included:

- ⇒ a Lean review to streamline the programme's processes;
- ⇒ a risk management review, regularly updated, resulting in a redirection of resources to high-risk areas in order to increase the effectiveness of the programme;
- ⇒ a management systems review that serves as a continuous improvement tool;
- ⇒ a technological review that resulted in enhancements to OLF infrastructure and features provided to States;
- ⇒ a communications strategy developed to improve the sharing of information and updates on the programme to States;
- ⇒ a structural review that redefined the organigram of the programme;
- ⇒ a human resources review that identified resource requirements and provided changes to training strategies to support the evolution of the programme;
- ⇒ a revision to the Universal Safety Oversight Audit Programme Continuous Monitoring Manual (Doc 9735) and to the Regional Office Manual (launched in May 2021) is expected to reflect the recent changes to the USOAP CMA resulting from the internal transformation and optimization, Group of Experts for a USOAP CMA Structured Review (GEUSR) and COVID-19 measures streams of work; and
- ⇒ a review of the memorandum of understanding (MoU) on USOAP CMA planned following the decision of the Council on the recommendations of the USOAP Advisory Group (AG) expected in during the 225th Session of the Council.

In parallel, ICAO continues to work with States to ensure that long-term secondments are provided to successfully evolve and operate the programme. As of September 2021, China, the Dominican Republic, France, the Republic of Korea, Saudi Arabia, and the United States are contributing with long-term secondments.

Group of Experts for a USOAP CMA Structured Review (GEUSR) Stream

The ICAO Council (C-DEC 214/5) agreed to the 37 recommendations consolidated in six groups provided by the GEUSR. This stream of work deals only with the review of internal methodologies, processes and tools. The implementation of these recommendations began in the 2nd quarter of 2019 and its completion is anticipated in December 2021.

The recommendations in **Group A: Structured revision of the Protocol Questions** and **Group B: Priority Protocol Questions (PQs)** are aimed at rationalizing and prioritizing PQs with the objective of reducing the administrative burden on both States and ICAO. The implementation of these groupings was concluded in December 2020 with the publication of the newest amendment of PQs in the online framework (OLF). The structured revision resulted in a reduction from 943 to 790 PQs as well as a subset of which are identified as Priority PQs. Publication of the 2020 PQs is planned for October 2021 and will be available in English, Arabic, Chinese, French, Russian and Spanish.

The implementation of **Group C: Types and prioritization of USOAP CMA activities** recommendations expanded the programme's access to a variety of auditing and validation activities and provided recommendations for the development of the State Safety Programme (SSP) implementation assessments (SSPIAs). The implementation of this grouping was concluded with the development of methodologies and processes for these activities (completed in September 2021), including the maturity level matrix of the SSP PQs published in the OLF as of December 2020. Further to the development of the SSPIA and in support of its phase 2 rollout, the USOAP CMA introduced an SSPIA module on the OLF, including a self-assessment tool, a dedicated workshop, an SSP-related section in the State Aviation Activity Questionnaire (SAAQ), a questions-and-answers sheet, and the OLF SSPIA module guidance material. Additional tools are in development, such as the computer-based training (CBT) and an assessors' preparation course. More information on SSPIAs is available in the [USOAP CMA Newsletter, Vol. 2, Issue 2](#).

Group D: Presentation of State indicators recommendations are expected to benefit States and ICAO by providing functional improvements to the SAAQ and enhancing the data and information that the programme conveys to decision-makers through the improvement of the OLF dashboard. The implementation of this group is expected to be concluded with the publication of the updated SAAQ in October 2021 and the release of the new OLF dashboard in November 2021.

Group E: Training and guidance recommendations will offer additional guidance, training and tools to support the national continuous monitoring coordinator (NCCM) and NCCM team in fulfilling their roles and further promote their appointment stability. The implementation of this group of recommendations included the development and distribution of NCCM guidance material to States in June 2021, a training update for OLF tools and enhanced communication through increased participation in regional NCCM meetings starting in January 2021. Additional guidance material on CAPs has been completed and will be included in the next edition of Doc 9735. A feedback module in the OLF was included to enable NCCMs to provide comments, suggestions and report issues directly to ICAO. A summary of all available OLF training is shared amongst participants in each USOAP CMA-related course. An updated USOAP CBT (Phases I and II) will be completed and released by December 2021. An Auditor Preparation Course has been developed and will be ready for delivery soon. Workshops and advocacy for NCCM and their role will continue to be planned once travel restrictions allow for in-person meetings to restart.

GEUSR Stream *cont.*

Group F: Tools enhancements (OLF) recommendations have the objective of bringing functionalities to the OLF that will further facilitate the use of this platform by States. The implementation of this group of recommendations was concluded with the update of the OLF that allows States to complete the self-assessment and CAP modules off-line. Other currently available updates include the data exchange feature between States and the OLF, the inclusion of an OLF function for States to provide feedback regarding the USOAP CMA, and continuous enhancements to all OLF modules.



Ad Hoc USOAP CMA Advisory Group (USOAP-AG) Stream

Pursuant to Recommendation 6.3/1 — *Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)* emanating from the Thirteenth Air Navigation Conference (AN-Conf/13), ICAO established the USOAP-AG to further evolve the programme, beyond the GEUSR recommendations, to address duplication of effort and find synergies to enhance the efficiency of the USOAP CMA while maintaining safeguards to guarantee the independence, universality, standardization and global acceptance in the implementation of the programme (*Report of the Thirteenth Air Navigation Conference (AN-Conf/13)* (Doc 10115) refers). The USOAP-AG provided 43 recommendations categorized into six groups as well as advice that were presented to the Council during its 221st Session (see C-WP/15097). The Council (C-DEC 221/7) requested the Secretary General to consult with Member States (State letter 2021/24 refers) on the proposed recommendations and the envisaged expanded scope of the programme.

As of 30 September 2021, the Secretariat received 67 responses from 66 States and the European Union Aviation Safety Agency (EASA). The responses are being analysed and the result is expected to be presented to the Council during its 225th Session. The Council decision will launch the development of an action plan identifying specific tasks, timelines and resources to implement the agreed recommendations.

33 USOAP CMA activities conducted since travel restrictions started until 30 September 2021

Virtual focused audit: Spain

Documentation-based audit: Djibouti and Libya

Virtual ICVM: Colombia, Croatia, Iceland, Kazakhstan, Malta and San Marino.

Off-site validation activities: Armenia, Azerbaijan, Cote d'Ivoire, Denmark, Eswatini, France, Gambia, Germany, Iceland, Kyrgyzstan, Malaysia, Morocco, Myanmar (2), Nigeria, Poland, Seychelles, Slovenia, South Africa, Spain, Sri Lanka, Switzerland, Thailand, and United Republic of Tanzania.

COVID-19 Measures Stream

During the COVID-19 pandemic, contingency measures were implemented and the USOAP CMA adapted its practices to continue monitoring States in the changing environment. On-site activities were suspended as of March 2020 and an increased amount of off-site activities were performed. New methodologies were developed and implemented to support this increase in off-site and virtual activities. The increase of off-site validations were enabled by a project launched to assess over 2,400 corrective action plans (CAPs) submitted by 32 States. Different technologies were used to enable virtual activities for those States with an adequate environment. Since the beginning of the travel restrictions until 30 August 2021, the USOAP CMA conducted 30 remote, 22 off-site validations, seven virtual ICAO Coordinated Validation Missions (ICVMs) and one focused audit conducted by virtual means. These events have been instrumental in maintaining the execution of activities that update the Effective Implementation (EI) of States.



Streams' Interaction

As the USOAP CMA is evolving through recommendations provided by different groups, regular meetings take place to ensure that the progress of tasks is coordinated among the ongoing streams of work. The GEUSR provided recommendations addressing internal aspects of the programme, i.e. methodologies, processes and tools, and provided guidance for the development of SSPIAs. The USOAP-AG addressed recommendations beyond the GEUSR, in particular, efficiencies gained from enhanced interactions with external stakeholders and industry partners. The internal transformation and optimization stream represented improvements and measures taken as a result of effective management practices introduced, and the COVID-19 stream was created to face the disruption generated by the pandemic that also affected the programme.

Through the evolution of the USOAP CMA, ICAO aims to maintain the programme's status as the global aviation monitoring system of States, providing targeted activities that determine the level of effective implementation of the eight critical elements of States' safety oversight systems, aircraft accident and incident investigation capabilities and/or the assessment of SSP implementation. The internal transformations and optimizations along with the COVID-19 measures have brought resilience to the programme and progressed it in line with the evolving safety strategy of ICAO. The implementation of GEUSR recommendations improved internal methodologies, processes and tools, including the implementation of SSPIAs. The approval of the USOAP-AG recommendations has the potential to further enhance synergies between ICAO and relevant stakeholders by improving the overall efficiency of the USOAP CMA and avoiding duplicated interventions in States.

Monitoring and Oversight websites:

ICAO public websites:
www.icao.int/safety/CMAForum

USOAP CMA Online Framework:
www.icao.int/usoap