



WORKING PAPER

THIRTEENTH AIR NAVIGATION CONFERENCE

Montréal, Canada, 9 to 19 October 2018

COMMITTEE B

- Agenda Item 6.3 Monitoring and oversight
6.3.1: The evolution of the Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach (CMA)

THE EVOLUTION OF THE UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA)

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
This paper addresses the evolution of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) methodology, processes and tools. Its content derives from the work undertaken by the Group of Experts for a USOAP CMA Structured Review (GEUSR) and calls the Conference to support such evolution based on the GEUSR recommendations as agreed by the ICAO Council.	
Action: The Conference is invited to agree to Recommendation 6.3/xx — USOAP CMA in paragraph 3.	
<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	<i>Impact for the aviation community:</i> The implementation of the recommendations made by the GEUSR would decrease the burden for States fully engaged in USOAP CMA activities. For States with minimum or no engagement, it would result in a moderate impact that is already expected from their commitment to the programme. The aviation community will benefit from the enhanced efficiencies and opportunities resulting from the evolution of the USOAP CMA. <i>Impact for ICAO (relative to the current Regular Programme Budget resource levels):</i> Since the implementation of the GEUSR recommendations will continue over the next triennia, additional resources are required, both financial and human, to support ICAO's efforts in evolving the USOAP CMA based on the GEUSR recommendations.
<i>References:</i>	Doc 10071, <i>Assembly 39th Session — Technical Commission Report</i> Doc 10075, <i>Assembly Resolutions in Force</i> (as of 6 October 2016) C-WP/14757, C-DEC 210/6, C-DEC 214/5.

1. INTRODUCTION

1.1 The Universal Safety Oversight Audit Programme (USOAP) was launched more than two decades ago. In January 2013, the USOAP transitioned to the Continuous Monitoring Approach (CMA), evolving towards a more information-driven, risk-based and result-oriented programme.

1.2 To support the continuous evolution of the USOAP CMA, the 39th Session of the ICAO Assembly recommended that ICAO undertake a review of the USOAP CMA methodology, processes and tools to give Member States an opportunity to provide user feedback and enable ICAO to plan improvements to the programme (A39, TE Report ([Doc 10071](#)) refers). Following the consideration of C-WP/14559 *Review of Assembly resolutions and decisions* by the Council at the sixth meeting of its 210th Session held on 3 March 2017 (C-DEC 210/6), the Secretariat established the Group of Experts for a Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) Structured Review (GEUSR). The aim of this independent review was to identify changes required to the USOAP CMA to further strengthen it, taking into consideration the evolving safety strategy of ICAO and States' progress in implementing Annex19 — *Safety Management*, in particular State Safety Programme (SSP) requirements.

1.3 The GEUSR comprised experts nominated by Australia, Brazil, Cabo Verde, Dominican Republic, Egypt, Finland, Singapore, South Africa, Switzerland, the United States and the European Aviation Safety Agency (EASA). The Group held three meetings (April, September 2017 and February 2018), conducted five teleconferences and exchanged correspondence throughout the structured review of the USOAP CMA. In addition, the GEUSR launched a high-level survey to receive feedback from Member States on its work.

1.4 During its 214th Session, the ICAO Council (C-DEC 214/5) approved the recommendations made by the GEUSR and requested the Secretariat to present an update of the evolution of the USOAP CMA to the Thirteenth Air Navigation Conference (AN-Conf/13).

2. DISCUSSION

2.1 Following a structured work programme, the GEUSR reviewed the methodology, processes and tools of the USOAP CMA. The group was presented with briefings on the activities of the Global Aviation Safety Plan Study Group (GASP-SG) and the Global Aviation Safety Oversight System Study Group (GASOS-SG) as well as on the iSTARS dashboards, which contributed to the development of its recommendations. The high-level survey launched to receive feedback on the GEUSR's work received a total of 130 responses from 110 ICAO Member States, which showed support from a majority of respondents. The analysis of the feedback was used to further improve the recommendations. Additional information in this regard is available in C-WP/14757, *Report of the GEUSR*.

2.2 The ICAO Council (C-DEC 214/5) reviewed and agreed to the 37 GEUSR recommendations which had been consolidated into six groups. The recommendations identify functional improvements or changes to support the enhancement and evolution of the USOAP CMA. Details on the GEUSR recommendations can be found at <https://portal.icao.int/anc/Other%20Documentation/GEUSR-Recommendations.pdf>. The following groups of recommendations were identified:

- Group A: Structured revision of the Protocol Questions;
- Group B: Priority Protocol Questions;
- Group C: Types and Prioritization of USOAP CMA activities;
- Group D: Presentation of State Indicators;
- Group E: Training and Guidance; and
- Group F: Tools Enhancements (OLF)

2.3 For each one of the six groups of recommendations, the following information was provided to ICAO:

- a) **Objectives.** This section indicates what the recommendations aim to achieve;
- b) **Rationale.** This section highlights the main reasons for the recommendations;
- c) **Recommendations.** This section includes the enhancements or changes envisioned;
- d) **Benefits and challenges.** This section lists the pros and cons that may result from the implementation of the recommendations; and
- e) **Resource implications.** This section provides information on the resources needed to address the recommendation. In addition, this section indicates whether a review of the USOAP CMA Memorandum of Understanding (MoU) would be required.

2.4 The GEUSR recognized that the USOAP CMA has been a successful programme of ICAO that meets, delivers and adheres to Resolutions A32-11, Establishment of an ICAO Universal Safety Oversight Audit Programme, and A37-5, the Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach. With the implementation of the recommendations, specifically those contained in Group C, the USOAP CMA methodology, processes and tools will further support ICAO's evolving safety strategy and enable assessment by ICAO of States' progress in implementing Annex 19, in particular the SSP requirements.

2.5 To address the GEUSR recommendations, the Secretariat is taking action to develop a plan that will be presented as part of the evolution of the USOAP CMA to the 40th Session of the Assembly.

3. CONCLUSION

3.1 The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) has evolved over time. In support of continued evolution of the programme, the Group of Experts for a USOAP CMA Structured Review (GEUSR) undertook a review of the USOAP CMA methodology, processes and tools. The Council agreed to the GEUSR recommendations. The Conference is invited to agree to the following recommendation:

Recommendation 6.3/xx — Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)

That the Conference:

- a) request States to continue to engage fully in the USOAP CMA;
- b) note that the Council agreed to the recommendations of the Group of Experts for a USOAP CMA Structured Review; and
- c) request ICAO to continue evolving the USOAP CMA methodology, processes and tools.

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