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North American, Central American and Caribbean Office (NACC)

**Twenty Second Meeting of Directors of Civil Aviation of the Eastern Caribbean (E/CAR/DCA/22)**

Port of Spain, Trinidad and Tobago, 8 to 11 December 2009

E/CAR/DCA/22 — IP/04

10/11/09

**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:**

- Electronic Bulletin EB2009/27, 18 September 2009 “Transition of the Universal Safety Oversight Audit Programme to a Continuous Monitoring Approach, Including the Implementation of ICAO Coordinated Validation Missions”
- C-WP/13356 (7/05/09), Evolution of the ICAO USOAP beyond 2010;
- C-DEC 187/7, 187/8
- C-WP/13357 (8/06/09), Evolution of the ICAO USOAP beyond 2010
- Annexes 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 – *Enhance global civil aviation safety*

**1. INTRODUCTION**

1.1 The 36th Session of the ICAO Assembly directed the Council, *inter alia*, to make appropriate changes to the Universal Safety Oversight Audit Programme (USOAP) and to consider various options for its continuation. After forming a Continuous Monitoring Approach (CMA) Study Group to look at the future of the USOAP beyond 2010, the Secretariat presented the study group’s report to the 187th Session of the Council. The purpose of this information paper is to present the Directors of Civil Aviation (DCAs) of the Eastern Caribbean (E/CAR) with the Council’s decision to approve the CMA as the best option going forward. It also presents one of the intervention activities planned within the framework of the USOAP CMA, namely ICAO Coordinated Validation Missions (ICVMs), the first of which was tested in August 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 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 Bureaux 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 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 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 and online reporting system to properly manage information received from different sources on an ongoing basis. Under this approach, the USOAP will 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 necessary under the CMA in order for ICAO to determine the type of intervention strategy required in each case. Such intervention activities will include both targeted and full-scale audits of a State's aviation safety oversight capability.

2.5 ICAO has provided Contracting States with a formal notification of the decision of the Council to adopt a CMA and will provide them with regular updates through Electronic Bulletins. The Secretary General will 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 are now being 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 Standards and Recommended Practices, 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 field test of an ICVM was conducted in August 2009. The mission carried out a thorough validation of the status of implementation of the State's Corrective Action Plan. Feedback received from the ICVM team members and State counterparts was very positive. Other ICVMs will be field tested through 2009 and 2010 in order to finalize the procedures applicable to this intervention strategy.

4. **CONCLUSION**

4.1 The E/CAR DCAs are invited to note the information contained in this paper. In particular, they should be aware of the Council's decision to approve the CMA as the best option for the USOAP beyond 2010. They should also note that ICVMs, one of the intervention activities planned within the framework of the USOAP CMA, were first field tested in August. A number of other such test missions will be conducted in order to finalize the ICVM methodology.

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