



International Civil Aviation Organization

WORKING PAPER

A42-WP/5
EX/2
3/4/25

ASSEMBLY — 42ND SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: Audit Programmes — Continuous Monitoring Approach

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

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This working paper presents the plans to evolve the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) in 2026-2027-2028 and the procedures addressing data management in the USOAP online framework (OLF). The evolution of the USOAP CMA is managed through the following streams of work: USOAP sustainability and improvements; as well as recommendations of the Ad hoc USOAP Advisory Group (USOAP-AG); and the High-level Conference on COVID-19 (HLCC) approved by the Council and endorsed by the Assembly.

Action: The Assembly is invited to:

- note the procedures addressing data management in the USOAP OLF, as outlined in 2.3.3 and Appendix B;
- endorse the streams of work and timelines proposed for the evolution of the USOAP CMA for the upcoming triennium and beyond, as outlined in 2.3, 2.4 and Appendix C; and
- adopt the Resolution on the USOAP CMA in Appendix D to supersede Assembly Resolution A40-13.

Strategic Goal:

This working paper relates to *Every Flight is Safe and Secure*.

Financial implications:

The activities referred to in this paper represent an increase of 15 per cent in staff costs for 2026-2027-2028 compared to the current staff levels of the USOAP CMA. The activities to be undertaken are subject to the resources available in the 2026-2027-2028 Regular Budget, extra-budgetary funds and/or voluntary contributions.

References:

C-DEC 225/6
C-DEC 225/7
C-DEC 193/3
Doc 10184, *Assembly Resolutions in Force (as of 7 October 2022)*
Doc 10160, *Report of the High-Level Conference on COVID-19*
Doc 10115, *Report of the Thirteenth Air Navigation Conference*
Doc 9735, *Universal Safety Oversight Audit Programme Continuous Monitoring Manual*
A42-WP/4-EX/1, *Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes*
A41-WP/665
State letter AN 19/34 - 24/80

1. BACKGROUND

1.1 The Universal Safety Oversight Audit Programme (USOAP) was launched 25 years ago and transitioned to a full-scale implementation of the Continuous Monitoring Approach (CMA) in January 2013. The USOAP CMA is an information-driven, risk-based and result-oriented programme. Its objectives include monitoring States' safety oversight systems using a web-based platform (the online framework (OLF)), determining States' effective implementation of safety oversight systems, validating their progress in addressing identified deficiencies and assessing State Safety Programmes (SSP) implementation.

1.2 The USOAP CMA continues to evolve, improve and expand while increasing the effectiveness and efficiencies of its processes. The vision for this evolution aims to maintain the status of the Programme as a global aviation monitoring system for States' safety oversight, accident and incident investigation capabilities, and SSP implementation.

1.3 The Programme continues to innovate its practices, building its sustainability and progressing its continuous monitoring concept through the implementation of recommendations from expert groups and internal mechanisms. This evolution is managed under three streams of work¹ with an associated timeline.

2. USOAP CMA STREAMS OF WORK 2026-2027-2028

2.1 USOAP sustainability and improvements stream

1.1.1 ICAO sees the need for the mobilization of resources for the evolution and execution of the USOAP CMA, even with an increase in the allocation of staff and non-staff funding in the 2026-2027-2028 budget proposal. Work with States and partners will continue to ensure that long term secondments are available to successfully evolve and operate the Programme. States will continue to be encouraged to nominate suitable candidates to complement the roster of USOAP auditors in audit areas and language skill required (see Appendix A and State letter 2024/80). The Programme will also require extra-budgetary funding and voluntary contributions.

2.1.1 Amendments to the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) and the *Regional Office Manual* are planned to reflect the revised USOAP methodology that integrates the SSP implementation assessments (SSPIA) into traditional activities, along with the enhanced procedures on data management in the OLF. Consistent with the updates of these documents, ICAO will review the Memorandum of Understanding on CMA (MoU) and propose amendments, if applicable.

2.1.2 The USOAP CMA will launch the OLF² 2.0 with enhanced capabilities, new tools and updates. Analysis tools to support USOAP activities and other decision-making activities will be improved

¹ The three streams of work are a) organizational improvements; b) the recommendations of the Ad hoc USOAP CMA Advisory Group (USOAP-AG); and c) High-level Conference on COVID-19 (HLCC).

² The Online Framework (OLF) was launched in 2013 as a web-based platform to enable interactive participation of States in continuous monitoring activities. During the reporting year, the OLF provided the services to:

- ICAO USOAP manager – monitoring/audit States
- ICAO Universal Security Oversight Audit Programme (USAP) manager – monitoring/audit States

and developed in the OLF 2.0, including the USOAP State profile. The digitalization and evolution of USOAP data analytics is expected to improve decision-making for the development of PQs, SARPs and implementation support strategies. The OLF will continue to provide data directly to other ICAO applications, such as iSTARS, the ICAO Data Service, and the Global Aviation Safety Plan (GASP) dashboards to ensure data consistency.

2.1.3 Communication within ICAO, with Member States and partners, will continue to be a priority for the Programme. In addition to official documentation, USOAP will use newsletters, OLF latest news and the recently launched USOAP Community (<https://www.usoap-community.icao.int/>) as channels to keep States abreast of latest developments. Regular meetings are planned with the ICAO Regional Offices to obtain information in support of the prioritization of Member States for USOAP CMA activities and associated planning tasks, as well as with ICAO partners³ to enable the coordination of monitoring activities to minimize burden on States and contribute to the USOAP CMA prioritization process.

2.1.4 As the entity responsible for the execution of the USOAP CMA, the Monitoring, Analysis and Coordination (MAC) branch of the Air Navigation Bureau (ANB) will continue implementing its quality management system (QMS) consistent with the ISO 9001. The QMS is planned to be expanded to include the processes supporting the establishment and management of the OLF, if resources are available.

2.1.5 As part of the evolution of the USOAP, ICAO plans to enhance its analytic capacity to feed audit activity results into implementation support activities performed by ICAO through its implementation support platform, to support States with low Effective Implementation (EI) scores in specific domains. These implementation support activities will be aligned with the No Country Left Behind Strategic Goal.

2.1.6 Recognizing the challenges involved with auditing performance-based provisions, ICAO will continue to enhance the risk-based methodology used by the USOAP CMA to enable the auditing of performance based Standards as they are adopted by ICAO. In addition, the USOAP CMA methodology will be analysed to consider outcome-based assessments of PQs, while safeguarding the principle of standardization in USOAP CMA practices.

2.2 USOAP-AG stream

2.2.1 Following a recommendation from the AN-Conf/13, the USOAP-AG was established and provided recommendations to address the duplication of efforts 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 (Doc 10115, Recommendation 6.3/1, refers). The Council agreed to 42 recommendations resulting from the outcome of a consultation with Member States, in addition to certain comments raised by the Air Navigation Commission (C-DEC 225/6). These recommendations were endorsed by the 41st Session of the Assembly as a part of the USOAP CMA evolution plan (A41-WP/665, paragraph 15.4 refers) and are available at [USOAP-AG recommendations as agreed by the Council.en.pdf](#).

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- ICAO RSOO and RAIO Assessment Programme (RAPP) manager – monitoring/audit of Regional Safety Oversight Organizations
 - UN World Food Programme Aviation Activities manager – evaluation of WFP aviation activities
 - ICAO State Aviation Activity Questionnaire (SAAQ) manager – monitoring aviation activity of States
 - ICAO Electronic Filing of Differences (EFOD) manager – States' filing of differences against SARPs
 - ICAO annex manager – amendments tracking/tagging CC/SARPs/PANS/GM
 - ICAO USOAP prioritization manager – internal and external indicators for prioritization of States for USOAP activities
 - ICAO USOAP/USAP planning manager – planning and scheduling of auditing activities.

³ The United States, the European Union Aviation Safety Agency (EASA) and the European Commission.

2.2.2 A report on the implementation of the action plan to address the USOAP-AG recommendations is presented to the Council on a yearly basis as part of the report of the evolution and performance of the USOAP CMA. ICAO plans to close the remaining recommendations by the 43rd Session of the ICAO Assembly. The most notable projects in the upcoming triennium are:

2.2.2.1 *Recommendations regarding data, information and intelligence in support of the USOAP CMA.* ICAO uses information and indicators to feed a model for annual prioritization to select States for the conduct of USOAP CMA activities (see Doc 9735, Chapter 3, 3.4.1 and 3.5.1.2). To progress relevant recommendations, ICAO and its partners explored possible data inputs to the USOAP CMA for monitoring purposes. The USOAP CMA identified five possible sources⁴ of data from three Partners that may contribute to the prioritization of USOAP activities. The USOAP indicator forms developed and new indicators are available at <http://www.icao.int/safety/CMAForum/Documents/USOAP%20Indicators%20Forms.pdf>. Subject to the availability of data, ICAO is exploring the use of different sets of safety data to continue evolving the CMA concept, including occurrence and incident reports, as well as data from other types of programmes, such as EASA Standardisation Inspections.

2.2.2.2 *Recommendations regarding the validation by USOAP of outputs from stakeholders' audit/assessment programmes.* In the past triennium, ICAO launched the mapping of USOAP CMA methodologies, processes and tools, including the USOAP CMA Protocol Questions, with those from stakeholders' auditing and assessment programmes, such as EASA Standardisation Inspections. This work will enable, whenever and to the extent possible, collection of data and information (e.g. findings, progress, and supporting evidence), for their use by ICAO in coordination with the State concerned, of the outcomes of stakeholders' audit and assessment programmes. The implementation of these recommendations aims at further enhancing synergies between ICAO and stakeholders to further reduce duplicated efforts and burden on States.

2.3 HLCC stream

2.3.1 The HLCC, held from 12 to 22 October 2021, recommended that ICAO inter alia integrate SSPIAs with traditional USOAP CMA activities and noted the development of procedures on data management for USOAP, including the use, management and protection of USOAP data and information (*High-level Conference on COVID-19 Report* (Doc 10160)). The Council approved the recommendations and follow-up actions proposed (C-DEC 225/7), which were endorsed by the 41st Session of the Assembly as a part of the USOAP CMA evolution plan (A41-WP/665, paragraph 15.4 refers). The implementation of these recommendations was initiated in May 2022 and August 2023, respectively. Remaining recommendations related to the USOAP CMA were addressed by other streams of work.

2.3.2 In the past triennium, ICAO developed the new methodology, processes and tools to conduct beta testing of integrated USOAP CMA activities. A set of new Protocol Questions (PQs) addressing SSP and safety management systems (SMS) were developed to fit in the existing audit PQs structure and topics. Following the beta tests and adjustments to be conducted in 2025, and according to

⁴ FAA ramp inspection data – contributes to new indicator 14 Stakeholders Ramp Inspection Programs.

EASA SAFA inspection data (for third country operators to the EU) – contributes to new indicator 14 Stakeholders Ramp Inspection Programs.

EASA SACA inspection data (for community operators – checked against EU standards) – contributes to new indicator 14 Stakeholders Ramp Inspection Programs.

IOSA inspection program data – contributes to new indicator 15 Industry Inspections programs.

FSF accident data – contributes data to existing indicator 8 Accidents Ratio.

the results already achieved, the Programme plans to deploy globally the methodology that integrates SSPIA with traditional USOAP activities. ICAO aims at fully deploying this new methodology in 2026.

2.3.3 ICAO developed procedures on data management for the USOAP OLF as recommended by the HLCC and addressed comments resulting from the consultation of the recommendations of the USOAP-AG. The procedures, presented in Appendix B, will provide guidance on the collection, storage, usage, management, sharing and protection of USOAP information while supporting activities of Member States when dealing with the OLF for monitoring purposes (Doc 10160, Recommendation 5/2 c)). These procedures, developed in coordination with ICAO's standing digital transformation and information security strategies, will be formalized as they are incorporated into the next amendment of Doc 9735 planned for 2026.

3. TIMELINES AND RESOURCES

3.1 An action plan developed to support the evolution of the Programme through its streams of work is maintained by the Secretariat. The action plan includes the tasks, timelines and resources needed to conduct the streams of work which feed the Business and Operational Plans as well as budget processes. An estimated timeline of the streams of work is presented in Appendix C. Updates will be made on the evolution of the USOAP CMA as part of the annual report to Council.

3.2 The sustainability and effectiveness of the USOAP CMA are challenged by a reduction of its human capital over time due to retirement of experienced staff and limitations on hiring human resources given the zero nominal growth of the budget of ICAO. The current staffing of the Programme has challenges to sustainably and effectively cope with the expected volume of required tasks. The Programme also depends on long- and short-term secondments to support its evolution and operation. An increase in human resources resulting from filling vacant posts and recruitment of additional staff will support the evolution and operation of the USOAP CMA, so that ICAO can perform the expected volume of functions and tasks sustainably and effectively. Increased funding to complement the operating costs of planned activities is also part of the non-staff allotment of the 2026-2027-2028 Regular Budget proposal.

4. CONCLUSION

4.1 Through the evolution of the USOAP CMA, ICAO aims to maintain the Programme's status as a global aviation monitoring system of the safety oversight, aircraft accident and incident investigation and safety management capabilities of ICAO Member States. The projects planned will progress the CMA concept, including enhanced use of data, and strengthen the Programme in line with the evolving Standards and Recommended Practices (SARPs), implementation support, and transformation strategies of ICAO. The evolved USOAP CMA is also expected to enhance the analysis of data to better inform decision-making and continuous improvement processes. The implementation of recommendations expected during the next triennium aiming at enhancing synergies between ICAO and relevant stakeholders have the potential of improve the efficiency of the USOAP CMA by avoiding duplicated activities in States while abiding by the principles of, inter alia, independence, universality, standardization and transparency. The implementation of said recommendations will further strengthen global acceptance and relevance of the Programme and its results. Furthermore, the improvements to be implemented throughout the upcoming triennium will result in a more efficient Programme with enhanced technology, structure and management systems which together will better support ICAO implementation support efforts. An updated Resolution is presented in Appendix D for adoption by the Assembly.

APPENDIX A

STATUS OF AUDITORS AND SUBJECT MATTER EXPERTS IN THE USOAP CMA ROSTER

- The figures below provide a summary of active USOAP CMA auditors by technical audit area, language, age, and gender. The total number of auditors in the roster is 114. In Figures A-1 and A-2 the same auditor is counted in more than one technical audit area and language, if those qualifications also apply.

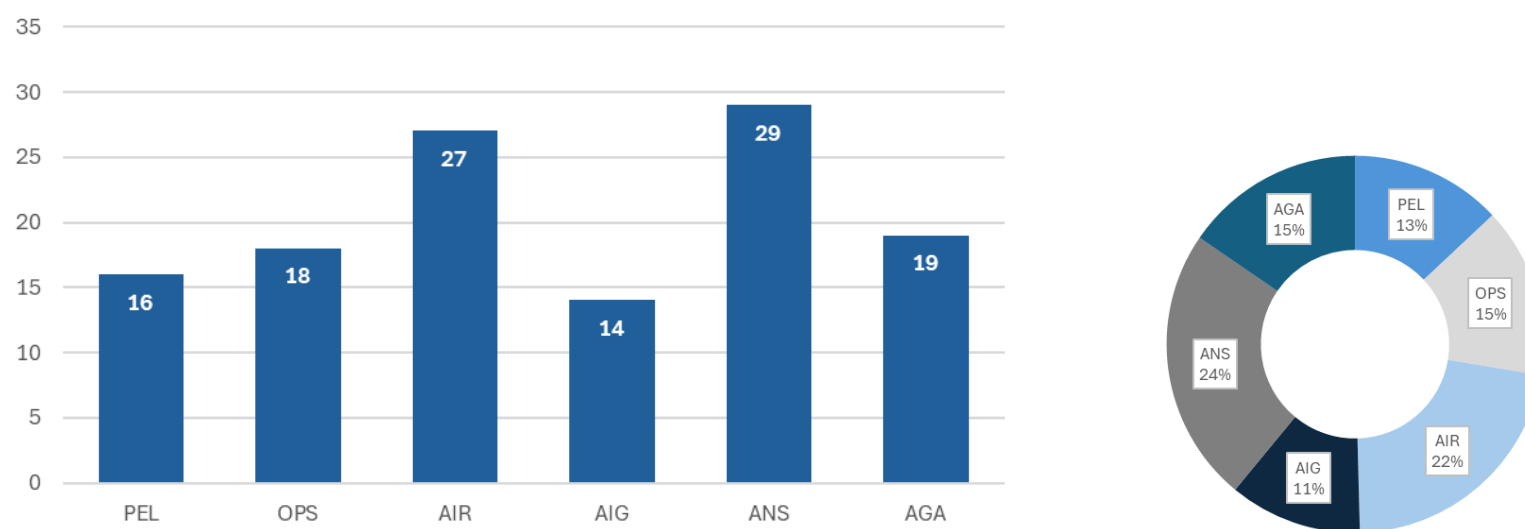


Figure A-1. Active USOAP auditors by technical audit area in number and percentage.

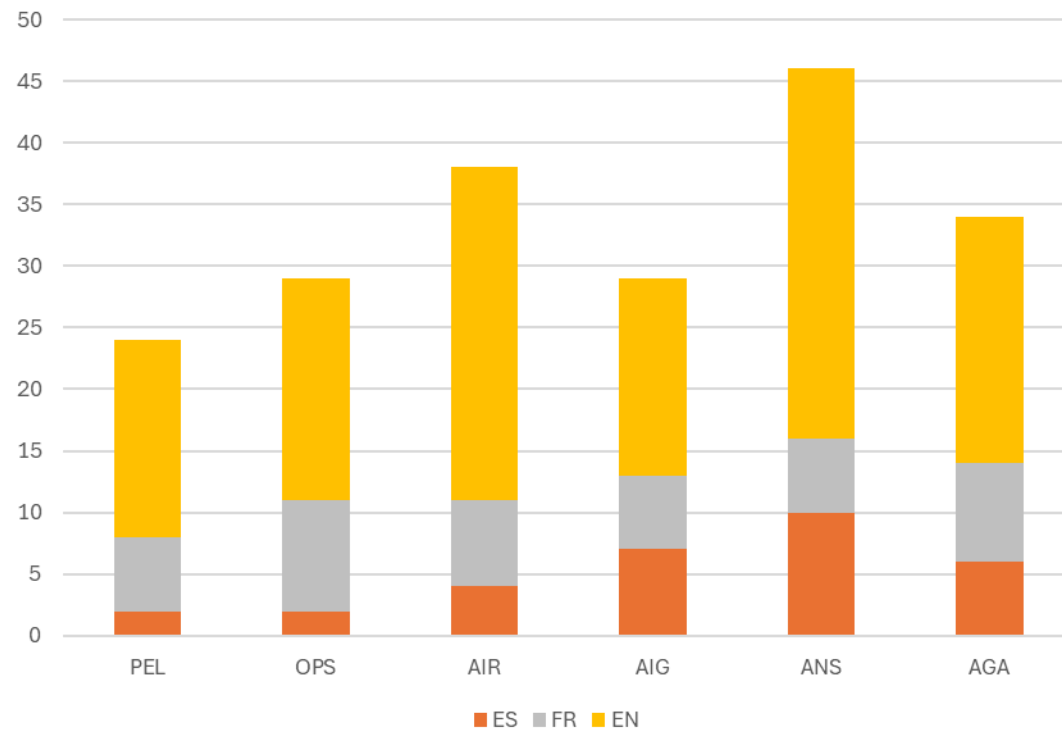


Figure A-2. Active USOAP auditors by technical audit area and language

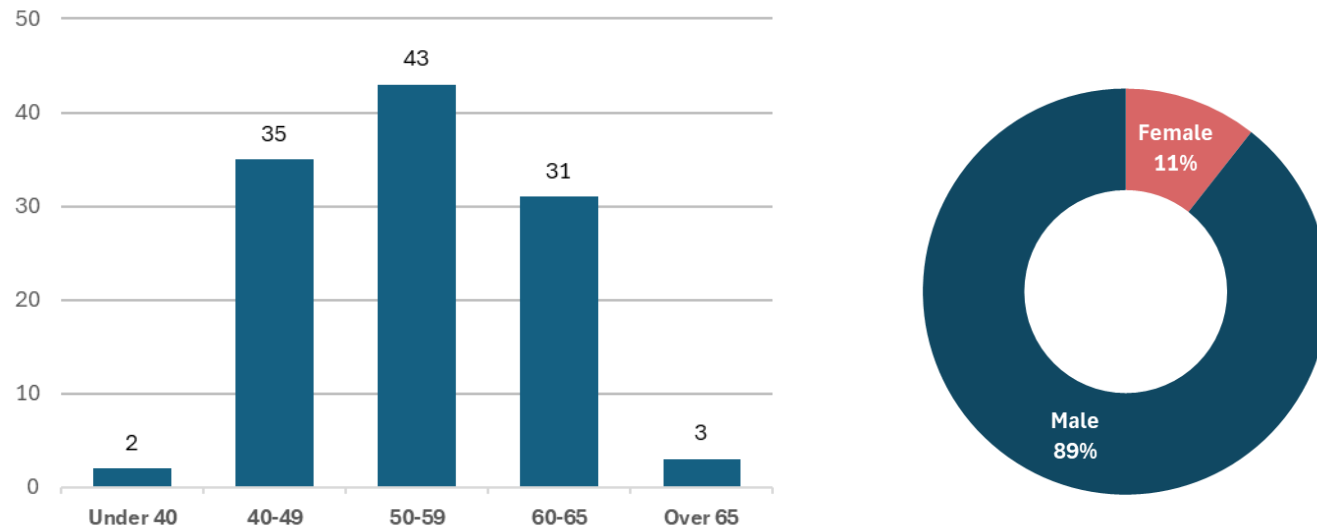


Figure A-3 Active USOAP auditors by age and gender

APPENDIX B

DRAFT PROCEDURES ON DATA MANAGEMENT FOR THE OLF

1. OVERVIEW

1.1 In 2013, ICAO launched the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) online framework (OLF) which presents a suite of -web integrated applications and centralized database systems that enable the following:

collection of safety-related information and documentation from ICAO, the States, and other authorized users;

analysis of data and information for continuous monitoring of safety oversight, accident investigation and safety management capabilities of States; and

administration and management of Protocol Questions, Findings, significant safety concern (SSCs), mandatory information requests (MIRs), corrective action plans (CAPs), State Aviation Activity Questionnaires (SAAQs) and Electronic Filing of Differences (EFOD).

1.2 The OLF has three types of modules available for States that define the use of data and information contained therein:

to provide and submit information to ICAO;

to access and obtain information and data from ICAO; and

to administer users and obtain support.

1.3 This section includes procedures intended to provide ICAO and States a common understanding concerning management of audit data and information and increases the reliability and confidence of the community in USOAP CMA.

2. MODULES

2.1 Modules for States to provide and submit data and information

2.1.1 Collecting essential and critical audit information of each State is recognized as an integral part of the monitoring of States under the USOAP CMA. The modules for States to provide data and information support USOAP CMA monitoring functions. As such, the data and information provided by States are not validated but collected by ICAO to be used for prioritization of States for USOAP activities, determination of the scope of these activities and preparation for their conduct. The data and information collected and stored in the OLF through these modules are only available to the State that provides it and can only be used by ICAO for monitoring purposes unless the State concerned authorizes the release of the PQs self-assessment and supporting evidence, CAPs, SAAQ and EFOD modules to all States.

2.1.2 If a Regional Safety Oversight Organization (RSOO)/ Regional Accident and Incident Investigation Organizations (RAIO) or any other entity performs safety-related activities on behalf of one or more States, ICAO, with the consent of these States, may elect to enter into a working arrangement with this

RSOO/RAIO or entity, as appropriate, to facilitate monitoring of these States. This may include the contribution of RSOO/RAIO to USOAP CMA activities. These RSOOs/RAIOs are enabled to access the PQ self-assessment, SAAQs and EFOD, and CAPs of States party to the Chicago Convention on International Civil Aviation, being also members of such RSOO/RAIO provided that working arrangements on monitoring activities are concluded between the RSOO/RAIO and ICAO.

2.1.3 *Self-assessment.* This module allows States to conduct PQ self-assessments by regularly updating the status of PQs and related evidence and documentation. Regular PQ self-assessments allow States to monitor and report the level of effective implementation of their aviation system on a continuous basis. See the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735), Chapter 2, 2.7.1.

2.1.4 *State Aviation Activity Questionnaire.* This module allows States to respond to the SAAQ. States are encouraged to complete and continue to update it on a regular basis. The SAAQ is an important source of aviation information provided by the State for monitoring purposes. See Doc 9735, Chapter 2, 2.7.2.

2.1.5 *PQ Findings – comments.* In the module PQ Findings, States provide comments on the Finding(s) issued to a State as a result of their last USOAP CMA activity within 45 days calendar days from the receipt of the draft report provided by ICAO.

2.1.6 *CAP.* Through this module:

States submit and upload the corrective action plans (CAPs) that they have developed to address findings generated from USOAP activities;

ICAO evaluates the CAPs to determine if they are acceptable to satisfactorily address and resolve the findings; and

once a State indicates that a CAP has been fully implemented and submits supporting evidence, ICAO validates the evidence and the implementation of the CAP through this module. See Doc 9735, Chapter 2, 2.6.3, Chapter 9, 9.4.17 to 9.4.25 and Appendix E.

2.1.7 *EFOD.* Through the EFOD module, States report compliance and preliminarily notify ICAO on the differences between ICAO Standards and Recommended Practices (SARPs) (with exception of Annex 17 — *Aviation Security*) and its legislation and practices, as referenced in Doc 9735. The report menu offers EFOD report selection by Annex, Region or State as well as several exporting options including printed, electronic (several file formats) or complete/partial report (selected pages). These inputs do not represent the official Notification of Differences under Article 38 of the Convention on International Civil Aviation. Once the information is completed in the EFOD system, the registered user clicks the *confirmation* button to generate the differences information that is fed to the E-supplement module referenced in 2.2.7 below.

2.2 **Modules for States to obtain data and information**

2.2.1 Following the conduct of USOAP CMA activities, ICAO produces data and information, which can be accessed through these modules in the OLF by all Member States (A42-XX, clause 8 refers). In accordance with the Code of Conduct on the sharing and Use of Safety Information endorsed by the Council on 17 June 2022 (C-DEC 193/3), the data and information generated by ICAO shall be used in an appropriate, fair and consistent manner, solely to improve aviation safety.

2.2.2 RSOOs/RAIOs mentioned in 2.1.7 are enabled to access the USOAP CMA State Profile, Significant Safety Concerns, final reports of USOAP CMA activities as they are published, e-Supplements, and PQ findings modules for all States.

2.2.3 *USOAP CMA State Profile.* This module allows States to view statistics and charts that provide a high-level overview of the State's status within the USOAP for use by State officials. The data and information presented in this module includes but it is not limited to: the name of the Director General (DG) and National continuous monitoring coordinator (NCCM); results from the USOAP CMA activities, including activity scope, dates, effective implementation (EI) score, global and regional averages; scheduled, ongoing and postponed USOAP CMA activities; indication of a SSC, if any; MIRs, if any; EI indicators (overall, Priority PQ, Implementation EI, heat map of Not Satisfactory PQs, results by audit area or CE); CAPs status and progress; PQ self-assessment and SAAQ percentage of completion and latest updates; and EFOD data, including reported levels and completion percentages. This information assists States in monitoring their progress within the USOAP CMA.

2.2.4 *Significant Safety Concerns.* This module provides information of unresolved SSCs and CAPs submitted by the State as described in Doc 9735, Chapter 2, 2.6.4 and Appendix C.

2.2.5 *USOAP reports.* This module provides access to published final reports of USOAP activities.

2.2.6 *PQ Findings.* This module allows States to search and review the Finding(s) issued to a State as a result of their last USOAP CMA activity. Information on the evidence reviewed is available in this module as well as progress documented through validation activities.

2.2.7 *E-supplements.* This module shows differences filed for Annexes to the Convention. E-Supplements include only differences between the national regulations and practices of the Contracting States and the International Standards and Recommended Practices of Annexes which were verified by Contracting States as per State letter AN 1/1-11/28 dated 1 April 2011 regarding the establishment of the EFOD System. The OLF creates the E-supplements from the differences entered in the EFOD application that are confirmed by each State. Only differences filed and confirmed via the EFOD module are displayed.

Note.— E-Supplements do not contain differences which were notified through the paper-based process.

3. DATA MANAGEMENT

Note.— The procedures related to the management of data results from the evolution of USOAP CMA and how States and different stakeholders interact with the data and information available in the OLF. Its development promotes quality and provides clarity on the users enabled to access and submit data and information in the OLF.

3.1 This section defines the management of data and information collected and generated by ICAO in the implementation of the USOAP CMA.

3.2 Data management within the OLF has two components:

Sources of data and information

data and information management.

3.3 Sources of data and information

3.3.1 The sources that feed the USOAP CMA component of collection of safety data and safety information are referred in Doc 9735, Chapter 3, Section 3.2.2. The following sources provide data and information for USOAP CMA monitoring purposes:

States as referred in Doc 9735, Section 3.3, and paragraph 2.1 above;

different areas within ICAO as referred in Doc 9735, Sections 3.4.1, f) and 3.5.1.2, d); and

external stakeholders as referred in Doc 9735, Sections 3.5.1.2, f).

3.4 Data and information management

3.4.1 The management of data and information within the OLF is consistent with the ICAO Enterprise Data Management, implying that each dataset abides by these standards of collection, storage, processing, and use, as well as ICAO Cybersecurity Strategy. These ICAO policies must be viewed as complementary, yet distinct. This component has the following elements:

Collection

3.4.2 Data is primarily collected through information submitted by Users on the OLF, as described in Sections 2.1 and 3.3 above. Additional data is also collected from other ICAO data assets managed by other sections within ICAO and external stakeholders.

Storage and protection

3.4.3 Data, including attachments (e.g. evidence files submitted for the Self-Assessment), is stored in a centralized database server within ICAO according to ICAO Information Security established practice.

3.4.4 Historical data is preserved for the most part in the database for the purpose of change tracking, backup of information, and identification of bugs and issues.

3.4.5 Any data and information available in the OLF are subject to protection measures in alignment with the ICAO Cybersecurity Strategy which is part of the ICAO Information Security established practice. These measures ensure that such data and information is not used for purposes other than those intended.

Analysis

3.4.6 Data and information are used in the prioritization process described in Doc 9735, Section 3.5.1.1, determination of scope of USOAP activities in Doc 9735 Section 4.3, preparation for specific activities in Doc 9735 Section 9.2 and the USOAP State profile in Doc 9735 Section 6.3.1. Data and information used for monitoring purposes do not affect the EI score or a PQ determination.

Use

3.4.7 ICAO and OLF users (States/RSOO/RAIO) uses of data and information contained in the OLF in accordance with Sections 1 and 2 above.

4. OLF ACCESS MANAGEMENT

4.1 OLF Administrators and Users

4.1.1 OLF users are natural persons designated by an Administrator who is entitled to act as such regarding the services of the OLF. OLF Users may receive access, read, and write rights as granted by an administrator.

4.1.2 The OLF includes two types of administrators:

ICAO administrators: those natural persons assigned by ICAO to create State administrators and ICAO users; and

State administrators: those natural persons nominated by Member States and assigned by an ICAO administrator to create State users.

4.1.3 While States are enabled to designate one or more qualified NCMCs as mentioned in Doc 9735, Chapter 7, 7.3.6, only one natural person may act as a State administrator of the services of the OLF for its State.

Note 1.— Considering specific organizational structures, certain States may have exceptionally two State Administrators.

Note 2. — RSOOs/RAIOs mentioned in Doc 9735, Chapter 7, 7.5 are enabled to nominate an RSOO/RAIO coordinator user who will also create and be responsible for the RSOO/RAIO OLF users associated with that RSOO/RAIO.

4.1.4 The OLF includes three types of users:

- a) ICAO users: ICAO staff members who perform the roles and responsibilities indicated in Doc 9735, Chapter 7, 7.2.1.5, 7.2.1.6., 7.2.2., 7.2.5 and Appendix F, 2.3.2.
- b) State users: natural persons designated by the State Administrator to perform the roles and responsibilities indicated in Doc 9735, Chapter 7, 7.3.7 and Appendix F, 2.2, 3.1 and 3.4. Such users may be granted read or read/write access by the State administrator.
- c) Non-ICAO users: natural persons designated by the ICAO Administrator to access the OLF. These users are only granted read access.

4.2 *User Management – Support Module.* This module allows State administrators to manage the access, read, and write rights of their State users in the OLF. The ICAO Administrator gives necessary rights to State administrators who then manage State user accounts for their State, including the addition of new State user accounts and deactivation of expired or inactive accounts. State Administrators remain responsible for their users and the access to the data and information contained in the OLF.

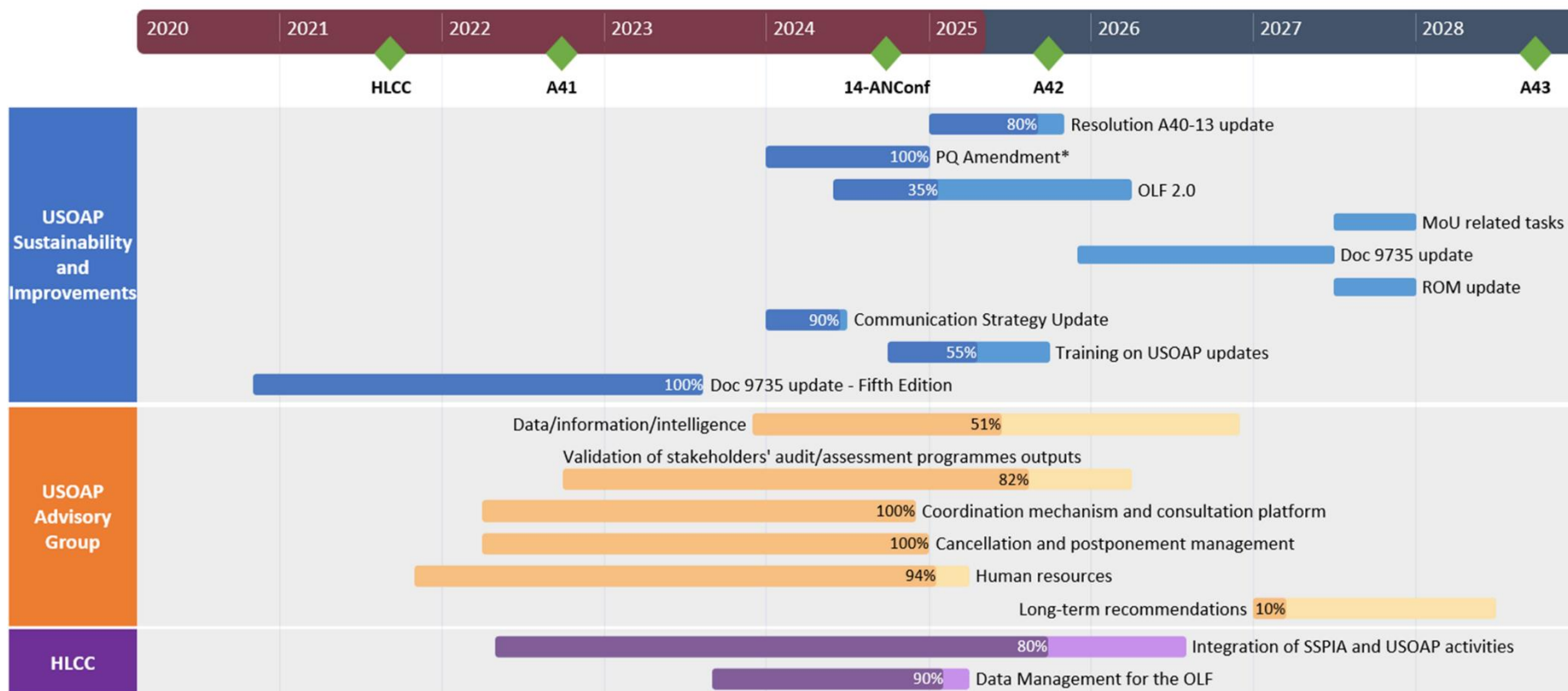
4.2.1 ICAO deactivates State user accounts after six months of inactivity. To reactivate an account, any State user with a deactivated account should direct his/her request to the respective State administrator.

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APPENDIX C

USOAP CMA EVOLUTION TIMELINE

A detailed action plan is followed for the evolution the USOAP CMA consistent with recommendations of expert groups and internal improvements. This timeline presents the main streams of work to support the evolution of the USOAP CMA and relevant policy elements.



APPENDIX D

DRAFT RESOLUTION FOR ADOPTION BY THE 42ND SESSION OF THE ASSEMBLY

Resolution A42-x: The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)

Whereas the primary objective of ~~the Organization~~ ICAO continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas Article 37 of the Convention requires each Contracting State to collaborate in securing the highest practicable degree of uniformity in regulations, standards, procedures and organization in relation to all matters in which such uniformity will facilitate and improve air navigation;

Whereas safety oversight, and the safety of international civil aviation in general, is the responsibility of Member States, both collectively and individually, it also depends on the active collaboration of ICAO, Member States, industry and all other stakeholders in the implementation of the Global Aviation Safety Plan (GASP);

Whereas the DGCA/06 Conference made recommendations to allow public access to appropriate information on safety oversight audits and to develop an additional mechanism to rapidly resolve significant safety concerns (SSCs) identified under the ICAO Universal Safety Oversight Audit Programme (USOAP);

Whereas the High-level Safety Conference 2010 (HLSC 2010) made recommendations for ICAO to develop criteria for the sharing of SSCs with interested stakeholders and to assess how the information on SSCs could be shared with the public in a form which would allow them to make an informed decision about the safety of air transportation;

Whereas the HLSC 2010 made recommendations for ICAO to enter into new agreements and amend existing agreements for the sharing of confidential safety information with international entities and organizations in order to reduce the burden on States caused by repetitive audits or inspections and to decrease the duplication of monitoring activities;

~~*Whereas* the Thirteenth Air Navigation Conference (AN-Conf/13) made recommendations that were agreed by the Council to continue evolving the USOAP methodology, processes and tools, as well as to ensure that the continuous monitoring of the States remains robust, relevant and up to date;~~

Whereas the High-Level Conference on COVID-19 (HLCC) made recommendations for ICAO to integrate State Safety Programme Implementation Assessments (SSPIAs) with traditional USOAP CMA activities and noted the development of a data management framework for USOAP CMA, which contains, inter alia, procedures to use, manage and protect relevant USOAP information while supporting activities of Member States;

Recalling that the 32nd Session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

~~*Whereas* the 39th Session of the Assembly agreed that ICAO establish an independent group to perform a structured review to identify adjustments to USOAP CMA with a view of further evolution and strengthening of the programme, taking into consideration the evolving safety strategy of ICAO and States' progress in implementing Annex 19 — Safety Management, in particular SSP requirements, and that the Council agreed to the recommendations resulting from that review with certain caveats to continue evolving the USOAP CMA;~~

Whereas the implementation of USOAP has been a major achievement for aviation safety, successfully meeting the mandate given by Resolutions A32-11 and A35-6 and providing the ability to evaluate Member States' oversight capabilities and identify areas of improvement;

Recalling that Assembly Resolution A33-8 requested the Council to ensure the long-term financial sustainability of USOAP, phasing in all of its activities into the Regular Programme budget;

Recalling the objectives of USOAP, which seeks to ensure that Member States are adequately discharging their responsibilities for safety oversight;

Recognizing that it is essential that USOAP continues to cover all safety-related Annex provisions in order to promote the adequate implementation of safety-related Standards and Recommended Practices;

Recognizing that the Secretary General has taken appropriate steps to ensure the establishment of an independent quality assurance mechanism to monitor and assess ~~programme~~ the USOAP quality;

Recognizing that the effective implementation of State action plans is essential to enhance the overall safety of global air navigation;

Recognizing the safety enhancement contributions resulting from audits, inspections, reviews, evaluations and/or assessments conducted by international and regional organizations, including those organizations that have agreements with ICAO such as the Airports Council International (ACI), the European Aviation Safety Agency (EASA), the European Commission (EC), the Flight Safety Foundation (FSF), the International Air Transport Association (IATA) and the European Organisation for the Safety of Air Navigation (EUROCONTROL);

Recognizing that transparency, ~~and the sharing and analysis~~ of safety information are among the fundamental tenets of a safe air transportation system; and

Recognizing that regional safety oversight organizations (RSOOs) have an important role in the USOAP CMA and that, wherever applicable, the word "States" below should be read to include RSOOs where an appropriately enabling legal framework is in place;

The Assembly:

1. *Expresses its appreciation* to the ~~Council and the~~ Secretary General on the successful ~~evolution and~~ implementation of the USOAP Continuous Monitoring Approach (CMA);
2. *Directs* the Secretary General to continue evolving the USOAP CMA into a more evidence-based, risk-informed and result-oriented programme to be applied on a universal basis in order to assess the effectiveness and sustainability of States' safety oversight systems, as well as the progress of States in implementing safety management requirements, in particular State safety programmes (SSPs);
3. *Directs* the Secretary General to implement organizational improvements necessary to successfully manage the changes brought about by the long-term evolution of the ~~programme~~ USOAP CMA, in line with the recommendations of the ~~Group of Experts for a Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) Structured Review (GEUSR)~~ Ad hoc USOAP Advisory Group (USOAP-AG) as agreed by the Council and ~~relevant recommendations of the AN-Conf/13-HLCC;~~
4. *Directs* the Secretary General to ensure that the USOAP CMA continues to maintain as core elements the key safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 2 — *Rules of the Air*, Annex 3 — *Meteorological Service for International Air Navigation*, Annex 4 — *Aeronautical Charts*, Annex 6 — *Operation of Aircraft*, Annex 7 — *Aircraft Nationality and Registration Marks*, Annex 8 — *Airworthiness of Aircraft*, Annex 10 — *Aeronautical Telecommunications*, Annex 11 — *Air Traffic Services*, Annex 12 — *Search and Rescue*, Annex 13 — *Aircraft Accident and Incident Investigation*, Annex 14 — *Aerodromes*, Annex 15 —

Aeronautical Information Services, Annex 18 — The Safe Transport of Dangerous Goods by Air, and Annex 19 — Safety Management;

5. *Directs* the Secretary General to ensure that the USOAP CMA abides by the principles of, inter alia, independence, universality, standardization and transparency to further strengthen global acceptance of the programme and its results;
6. *Directs* the Secretary General to continue to ensure the maintenance of the quality assurance mechanism established to monitor and assess ~~programme~~ the USOAP CMA quality, and the transparency of all aspects of the continuous monitoring process;
7. *Directs* the Secretary General to continue the sharing of SSCs, in accordance with established procedures on the sharing of safety information, with interested stakeholders and the public to allow them to make an informed decision about the safety of air transportation;
8. *Directs* the Secretary General to make all safety oversight-related information generated by the USOAP CMA available to all Member States through the ~~ICAO restricted website~~ USOAP online framework (OLF);
9. *Directs* the Secretary General to implement the data management procedures addressing the collection, storage, usage, management, sharing and protection of USOAP data and information in the OLF;
- ~~910.~~ *Directs* the Secretary General to continue to foster coordination and cooperation between USOAP CMA and the audit programmes of other organizations related to aviation safety for the purpose of sharing confidential safety information in order to reduce the burden on States caused by repetitive audits or inspections; and to decrease the duplication of efforts and find synergies to enhance the efficiency of the ~~USOAP CMA monitoring activities~~;
- ~~1011.~~ *Directs* the Secretary General to continue facilitating the sharing of safety-critical information with Member States, industry and other stakeholders, through appropriate secure websites;
- ~~1112.~~ *Urges* all Member States to support ICAO in the evolution of the USOAP CMA and, for those able to do so, to second qualified and experienced technical staff to ICAO on a long- or short-term basis, with a view to enabling the Organization to continue to successfully operate the ~~programme~~ USOAP CMA;
13. *Urges* Member States, international organizations, donors and relevant stakeholders to provide voluntary contributions to support the evolution and operation of the USOAP CMA.
- ~~1214.~~ *Urges* all Member States to submit to ICAO, in a timely manner, and keep up to date all the information and documentation requested by ICAO for the purpose of ensuring the effective operation of the USOAP CMA;
- ~~1315.~~ *Urges* all Member States to cooperate with ICAO and as much as practicable to accept USOAP CMA activities, as scheduled, including audits, validation missions; and off-site validation activities ~~and SSP implementation assessments~~, in order to facilitate the smooth functioning of the USOAP CMA;
- ~~1416.~~ *Urges* all Member States to implement corrective action plans to address the findings identified during USOAP CMA activities;
- ~~1517.~~ *Urges* all Member States to share with other Member States critical safety information which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information;
- ~~1618.~~ *Encourages* Member States to make full use of available safety information when performing their safety oversight functions, including during inspections as provided for in Article 16 of the Convention;

1719. *Reminds* Member States of the need for surveillance of all aircraft operations, including foreign aircraft within their territory, and to take appropriate action when necessary to preserve safety;

1820. *Directs* the Council to prioritize the work on the evolution of the USOAP CMA, and strive for adequate human and financial resources to be made available to the programme USOAP CMA, as well as and to report to the next ordinary session of the Assembly on the its evolution and performance of the USOAP CMA; and

1921. *Declares* that this resolution supersedes Resolution A37-5/A40-13.

— END —