



ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Audit Programmes — Continuous Monitoring Approach (CMA)

REPORT ON THE 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 a report on the evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) and proposed transformational activities. The evolution of the USOAP CMA is based on the implementation of the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR), established pursuant to the 39th Session of the ICAO Assembly, the upcoming work requested by the Thirteenth Air Navigation Conference (AN-Conf/13), and organizational improvements to be undertaken to support the aforementioned activities.

Action: The Assembly is invited to:

- note the status of implementation of the GEUSR recommendations, as outlined in section 2.2;
- adopt the Resolution on the USOAP CMA in Appendix A to supersede Assembly Resolution A37-5; and
- note the upcoming work requested by the AN-Conf/13, the organizational improvements and the timeline to realize the evolution of the USOAP CMA, as outlined in sections 2.3, 2.4 and Appendix B.

<i>Strategic Objectives:</i>	This working paper relates to the Strategic Objectives of Safety and of Air Navigation Capacity and Efficiency.
<i>Financial implications:</i>	The activities referred to in this paper will continue subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra budgetary contributions.
<i>References:</i>	C-DEC 217/4 C-DEC 216/5 C-DEC 214/5 Annex 19 Doc 10115, <i>Report of the Thirteenth Air Navigation Conference</i> , Corrigenda Nos. 1 and 2, and Supplement No. 1 Doc 10075, <i>Assembly Resolutions in Force (as of 6 October 2016)</i> Doc 10071, <i>Assembly 39th Session — Technical Commission Report</i> Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>

1. **BACKGROUND**

1.1 The Universal Safety Oversight Audit Programme (USOAP) was launched more than two decades 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 whose objectives include: monitoring States' safety oversight systems using a web-based platform — the “online framework” (OLF); validating States' progress through various types of activities; and continuing to assess the effectiveness and sustainability of States' safety oversight systems.

1.2 In the course of achieving its objectives through ever more effective and efficient ways, the USOAP CMA continues to mature, improve and expand. Its long-term evolution is aimed at maintaining the status of the programme as a global aviation monitoring system of States' safety oversight capabilities and/or their maturity in implementing State safety programmes (SSPs). This evolution relies on the sustainability of the current USOAP and is based on the implementation of the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR), the work requested by the Thirteenth Air Navigation Conference (AN-Conf/13) and organizational improvements to be undertaken to support the aforementioned activities.

2. **USOAP CMA EVOLUTION**

2.1 **Implementation of the USOAP CMA**

2.1.1 The 37th Session of the Assembly (28 September – 8 October 2010) adopted Resolution A37-5 regarding the evolution of USOAP to the CMA as a mechanism for monitoring the safety oversight capabilities of States on a continuous basis. The CMA was officially launched in January 2013 after a two-year transition. Under USOAP CMA, ICAO conducts various activities, including audits, ICAO coordinated validation missions (ICVMs) and validation activities.

2.1.2 The USOAP CMA is built on a methodology that uses the critical elements (CEs) as building blocks upon which a State's safety oversight system is based and which are required for the effective implementation of safety-related ICAO Standards, policy and associated procedures. Each State is expected to address all CEs in its effort to establish and implement an effective and sustainable safety oversight system covering the whole spectrum of civil aviation activities. The level of effective implementation (EI) of the CEs has been an indication of a State's capability for safety oversight. This indicator is used widely by ICAO.

2.1.3 The Protocol Questions (PQs) are the primary tool for assessing the level of EI of the eight CEs. The PQs are revised regularly to reflect the latest changes in ICAO provisions as well as to harmonize and improve the references and contents. The USOAP CMA online framework (OLF) is a tool that provides ICAO, States and other authorized users with a suite of web-integrated applications to allow continuous monitoring and reporting of safety-related information and documentation. The components within the OLF facilitate the administration and management of PQs, PQ findings, significant safety concerns (SSCs), MIRs, corrective action plans (CAPs), self-assessments, State aviation activity questionnaires (SAAQs) and compliance checklists on the Electronic Filing of Differences system (CCs/EFOD). It also serves as an information channel for States accessing it.

2.1.4 ICAO also develops, updates and implements guidance and training materials to keep all those officials that interact with the USOAP CMA up to date, such as National Continuous Monitoring Coordinators (NCMCs), auditors and personnel from States and safety oversight organizations.

2.2 GEUSR

2.2.1 To support the continuous evolution of the USOAP CMA, the 39th Session of the ICAO Assembly recommended that ICAO undertake a review of its methodology, processes and tools to give States an opportunity to provide user feedback and enable ICAO to plan improvements to the programme (Doc 10071 refers). To this end, the GEUSR was established, comprised of experts nominated by selected States and an international organization.

2.2.2 The GEUSR conducted an independent review to further strengthen the USOAP CMA, taking into consideration the evolving safety strategy of ICAO and States' progress in implementing Annex 19 — *Safety Management*, in particular the State safety programme (SSP) requirements. To develop its recommendations, the GEUSR reviewed the programme's adherence 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* as well as its methodology, processes and tools. The GEUSR completed its mandate by providing a set of recommendations and observations. The ICAO Council (C-DEC 214/5) agreed to the thirty-seven recommendations, which are consolidated in six groups¹, while noting the precautions regarding the need to avoid the loss of pertinent information when reducing the total number of USOAP CMA protocol questions (PQs) during the envisaged PQ rationalization process. The Council also noted the observations made by the GEUSR addressing possible enhancements outside the scope of its mandate. More information on the recommendations is available on the A40 website at <http://www.icao.int/Meetings/A40/Pages/documentation-reference-documents.aspx>.

2.2.3 The implementation of this work is expected to deliver greater benefit to States and ICAO by providing functional improvements to the programme and by enhancing the information it conveys to decision-makers. The rationalization and prioritization of PQs are also expected to reduce the burden of work on both Member States and ICAO, and will allow States to focus efforts and resources on areas with a higher correlation of operational safety risk in line with the No Country Left Behind (NCLB) initiative. Specifically, those recommendations contained in Group C will further support ICAO's evolving safety strategy and enable ICAO's assessment of States' maturity in implementing Annex 19, in particular the SSP requirements, in addition to a more versatile assessment of States' safety oversight capabilities. The implementation of the GEUSR recommendations began in the second quarter of 2019 and its completion is anticipated within the next triennium.

2.3 AN-Conf/13

2.3.1 The AN-Conf/13 supported the evolution of the USOAP CMA based on the GEUSR recommendations and requested the accelerated implementation of some recommendations. The Conference also recommended that ICAO establish a group before the 40th Session of the ICAO Assembly for the further evolution of the USOAP CMA, 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 (Doc 10115, Recommendation 6.3/1, refers). The ICAO Council at the fifth meeting of its 216th Session (C-DEC 216/5) approved the recommendations made by the AN-Conf/13.

¹ 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
Group F: Tools enhancements (OLF)

2.3.2 Following the Council's approval of the AN-Conf/13 recommendations, an Ad Hoc USOAP CMA Advisory Group was established to advise on efficiency improvements of the programme. This group is expected to address the mandate delivered by the Conference and for further enhancing the programme.

2.4 **Organizational improvements**

2.4.1 The implementation of the GEUSR recommendations and the outcomes of the group mentioned in paragraph 2.3.2 will initiate a review of working methods of USOAP. Following the changes in technology and in aviation activities globally, and further to ISO 9001 certification, a review of processes and management systems is expected along with continuous adaptation to the changing operating environment.

2.4.2 The Secretariat will conduct a thorough internal review of USOAP to implement organizational improvements necessary to successfully manage the changes brought about by the long-term evolution of the programme and to better serve ICAO's mission and vision. The organizational improvements may result in a redirection of resources to high-risk areas or to those areas that yield significant benefits to the programme. Further technological enhancements, structural changes and training strategies are expected to support the transformation of the programme.

3. **IMPLEMENTATION PLAN**

3.1 An action plan to support the evolution of the programme has been developed with three main streams of work: i) implementation of GEUSR recommendations; ii) advice by the Ad Hoc USOAP CMA Advisory Group on efficiency enhancements of the programme; and iii) organizational improvements. The action plan includes the tasks, timelines and resources needed to conduct the streams of work.

3.2 As part of the evolution of the USOAP CMA, a 24-month transitional phase is planned to implement the changes proposed by the three streams of work. The roll-out of the enhancements to the USOAP CMA is expected before the 41st Session of the ICAO Assembly. An estimated timeline of the three streams of work is presented in Appendix B. Updates will be made on the evolution of the USOAP CMA as part of the annual reports to Council.

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 capabilities and safety programmes of its Member States and safety oversight organizations that perform safety oversight responsibilities on behalf of a State or group of States. The transformations will strengthen the programme and progress it in line with the evolving safety strategy of ICAO. The evolved USOAP CMA is also expected to enhance the information it conveys to decision-making bodies. Enhanced synergies between ICAO and relevant stakeholders have the potential of improve the efficiency of the USOAP CMA by avoiding duplicated interventions in States while abiding by the principles of, inter alia, independence, universality, standardization and transparency to further strengthen global acceptance of the programme and its results. Furthermore, the organizational improvements to be implemented throughout this transition phase will result in a more efficient programme with enhanced technology, structure and management systems.

APPENDIX A

DRAFT RESOLUTION FOR ADOPTION BY THE 40TH SESSION OF THE ASSEMBLY

Resolution A40-x: The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)

Whereas the primary objective of the Organization 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 Contracting Member States, both collectively and individually, it also depends on the active collaboration of ICAO, Contracting 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;

Recalling that the 32nd Session of the Assembly resolved that a Universal Safety Oversight Audit Programme (USOAP) 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 the 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 Contracting 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 the USOAP, phasing in all of its activities into the Regular Programme budget;

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

Recognizing that it is essential that the 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 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 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:

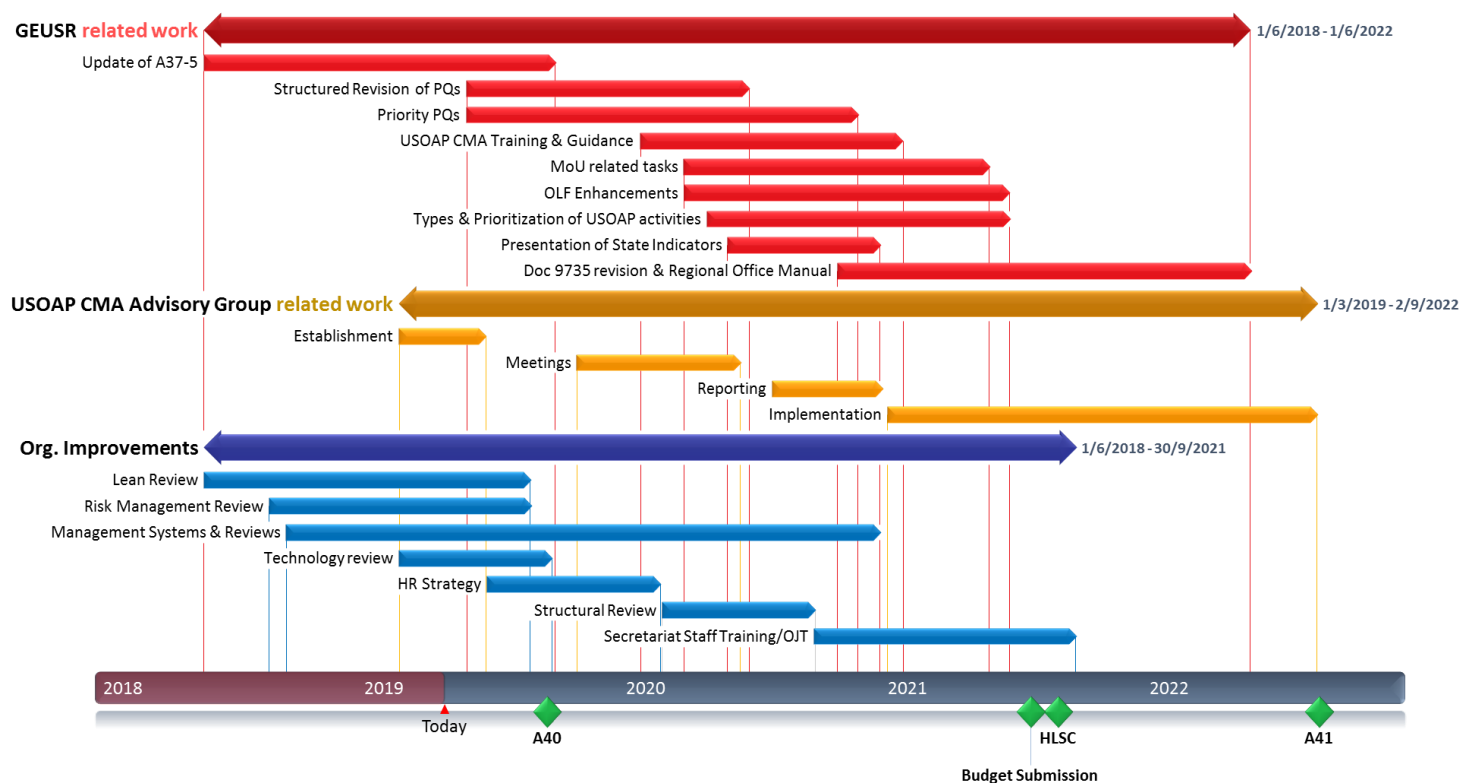
1. *Expresses its appreciation* to the Secretary General on the successful implementation of the USOAP Continuous Monitoring Approach (CMA) ~~Comprehensive System Approach~~;
2. *Directs* the Secretary General, ~~from 1 January 2011,~~ to continue evolving the USOAP ~~to a continuous monitoring approach (CMA)~~ into a more evidence-based, which will incorporate the analysis of safety-risk-informed and result-oriented programme factors and to be applied on a universal basis in order to assess the effectiveness and sustainability of States’ safety oversight capabilities 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 ensure that the USOAP CMA continues to maintain as core elements the key safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation*, ~~and~~ Annex 14 — *Aerodromes*, and Annex 19 — *Safety Management*;
4. *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;
45. *Directs* the Secretary General to continue to ensure the maintenance of the quality assurance mechanism established to monitor and assess Programme quality, and the transparency of all aspects of the continuous monitoring process;

56. *Directs* the Secretary General to continue ~~Council to develop criteria for the sharing of SSCs, in accordance with established procedures on the sharing of safety information, with interested stakeholders and assess how the information on SSCs could be shared with~~ and the public in a form which would allow them to make an informed decision about the safety of air transportation;
67. *Directs* the Secretary General to make all safety oversight-related information generated by the USOAP CMA available to all ~~Contracting Member States~~ through the ICAO restricted website;
78. *Directs* the Secretary General to continue to foster coordination and cooperation between USOAP and the audit programmes of other organizations related to aviation safety for the purpose of sharing of confidential safety information in order to reduce the burden on States caused by repetitive audits or inspections and to decrease the duplication of monitoring activities;
89. *Directs* the Secretary General to continue ~~to enhance the Flight Safety Information Exchange (FSIX), for the purpose of~~ facilitating the sharing of safety-critical information with ~~among Contracting Member States, industry and other stakeholders, as through appropriate secure websites;~~
910. *Calls-Urges* on all ~~Contracting Member States~~ 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 ~~implement-operate~~ the Programme;
1011. *Urges* all ~~Contracting 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 ~~implementation-operation~~ of the USOAP-CMA;
1112. *Urges* all ~~Contracting Member States~~ to cooperate with ICAO and as much as practicable to accept ~~continuous monitoring-USOAP CMA activities scheduled by the Organization,~~ including audits, and validation missions, off-site validation activities and SSP implementation assessments, in order to facilitate the smooth functioning of the USOAP-CMA;
13. *Urges* all Member States to implement corrective action plans to address the findings identified during USOAP CMA activities;
1214. *Urges* all ~~Contracting Member States~~ to share with other ~~Contracting 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;
1315. *Encourages* ~~Contracting 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;
1416. *Reminds* ~~Contracting 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;
1517. *Directs* ~~that the Council to report to the next ordinary session of the Assembly on the overall implementation-evolution and performance of the USOAP-CMA; and~~
1618. *Declares* that ~~Resolutions A35-6: Transition to a comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme (USOAP) and A36-4: Application of a continuous monitoring approach for the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010, as well as articles one to six of A36-2: Unified strategy to resolve safety related deficiencies have been superseded by this resolution supersedes Resolution A37-5.~~
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APPENDIX B

USOAP CMA EVOLUTION TIMELINE

A detailed action plan has been prepared, leading to the evolution of the CMA to be implemented before the 41st Session of the ICAO Assembly. This timeline presents the three main streams of work to support the evolution of the USOAP CMA and certain policy elements.



— END —