



WORKING PAPER

ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

RELEVANT, ROBUST AND UP-TO-DATE USOAP-CMA

(Presented by Finland on behalf of the European Union and its Member States¹,
the other Member States of the European Civil Aviation Conference²;
by EUROCONTROL; and by New Zealand)

EXECUTIVE SUMMARY

Following the recommendations of the Thirteenth Air Navigation Conference (AN-Conf/13), this paper underlines the importance of USOAP-CMA and fully supports its further development and strengthening. It proposes some high-level principles for the future evolution of this Programme, which will help drive safety improvements. It also calls upon the States and international organisations to provide support to ICAO.

Action: The Assembly is invited to:

- a) ensure that the evolution of USOAP-CMA provides more relevant, robust, accurate and up-to-date information and is managed in a risk-based manner;
- b) recognise that USOAP-CMA should be continued and further strengthened towards an agile, responsive, risk-based and robust system;
- c) recommend that the further evolution should review aspects such as the data basis and planning, indicators, training and staff competency, cross-fertilisation, interfaces with other programmes, effective use of resources of ICAO and Contracting States, the applied auditing techniques and methods and improvement of technology tools in particular the CMA on-line framework;
- d) call upon all ICAO Member States, international and regional organisations to support ICAO in improving USOAP-CMA;
- e) direct the Council to prioritise the work on the evolution of USOAP-CMA and ensure that adequate human and financial resources are allocated to the Programme;
Instruct the ICAO Secretary General to:
- f) implement the AN-Conf/13 recommendations, and in particular those referring to the future evolution of USOAP-CMA; and
- g) continue ensuring the effective and efficient management and implementation of the Programme.

¹ Austria, Belgium, Bulgaria, Croatia, Cyprus, Czechia, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxemburg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom.

² Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Georgia, Iceland, Republic of Moldova, Monaco, Montenegro, North Macedonia, Norway, San Marino, Serbia, Switzerland, Turkey and Ukraine.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<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>	A37-5 (The Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach) AN-Conf/13 Recommendation 6.3/1 (Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)) Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>

1. BACKGROUND

1.1 Since its inception in 1999 the Universal Safety Oversight Audit Programme (USOAP) has proved to be a valuable mechanism to provide standardised, objective and comprehensive information regarding the implementation of the Critical Elements (CE) of safety oversight in the Contracting States. The information it provides contributes toward enabling States and international organisations to make informed decisions regarding improvement of their safety oversight systems, mutual acceptance of certificates, prioritisation of ramp inspections, authorisation of foreign carriers and definition of technical assistance activities.

1.2 In 2013, USOAP transitioned to a Continuous Monitoring Approach (CMA), the current model of the Programme. Following the discussion on the development of USOAP at the 39th Assembly, the Secretariat established the Group of Experts for USOAP Structured Review (GEUSR) which made a number of important recommendations and observations. During the Thirteenth Air Navigation Conference (AN-Conf/13), the States supported those recommendations and observations and called on ICAO to implement them as a matter of priority. As a result of a number of additional proposals tabled by States (representing various regions) asking for the improvement and enhancement of the Programme, the Conference recommended that ICAO establish a study group to address these issues, avoid duplication of effort and find synergies to enhance the efficiency of the USOAP CMA beyond the GEUSR recommendations while maintaining safeguards to guarantee the independence, universality, standardization and global acceptance in the implementation of the programme³.

2. DISCUSSION

2.1 In the 20 years since USOAP's inception, 185 States have been audited. However, sixty-six of these USOAP missions took place before 2015, and of these, twenty-one States were visited more than ten years ago,⁴ and therefore the relevance of a significant portion of USOAP-CMA data is now questionable.

2.2 It is of the utmost importance that the USOAP-CMA is continued by ICAO and allocated appropriate resources due to the relevance of the data it provides to ICAO, States and international organisations. The Council should therefore guarantee the human and financial resources needed for the further development and maintenance of the Programme and the Secretary General should ensure its effective and efficient management and implementation.

³ Cf. paragraphs 6.3.1-6.3.9 of the AN-Conf/13 Report (Doc 10115) and Recommendations 6.3/1 h) and i).

⁴ <https://www.icao.int/safety/Pages/USOAP-Results.aspx>, data for Q1 2019.

Expected information

2.3 The AN-Conf/13 recommended that ICAO ensure that the continuous monitoring of States remains robust, relevant and up-to-date. The future evolution should take as its starting point what was agreed at the AN-Conf/13, complemented by high-level directives from the Assembly for this work in terms of expected information to be delivered by the Programme, the desired qualities of USOAP-CMA itself and the particular areas to be considered as identified in this paper.

2.4 USOAP-CMA is not a goal in itself. It is in the common interest of ICAO, States and international organisations that the Programme provides relevant, credible and up-to-date information that can be used in an effective manner.

Need for an agile, responsive, risk-based and robust Programme

2.5 The Programme itself, in order to provide the required information should be agile, responsive, risk-based and robust. This means that it should be able to address safety concerns in a timely manner, properly reflect the evolution of the situation of the State in question, and the oversight activities should be prioritised based on risk and using a transparent process.

Areas of interest

2.6 In the future evolution of USOAP-CMA, beyond the implementation of the valuable recommendations and observations of GEUSR, particular attention should be given to:

- Planning of activities;
- Indicators of State safety performance;
- Cross-fertilisation with other ICAO activities;
- Interfaces with other programmes;
- Training and staff competency, both at the level of ICAO and the States;
- Effective use of ICAO and State resources;
- Applied auditing techniques;
- Databases supporting the programme; and
- Improvement of technology tools, in particular the CMA on-line framework.

2.7 The technical details should be discussed by the study group referred to in the AN-Conf/13 recommendation.

2.8 Taking into account the importance of this Programme and the constraints on the resources of ICAO, States and international organisations should be prepared to complement the funds and staffing provided by the General Programme budget by actively supporting the Secretariat activities through financial and in-kind donations.

3. CONCLUSION

3.1 A well-functioning USOAP-CMA adds significant safety value to most aviation safety actors: it would, in particular, allow several stakeholders to rely more on the data it produces, to feed their own safety oversight activities. Therefore, there should be a common understanding of the need to continue and further strengthen the Programme with a view to achieving the objectives described above – to be agile, responsive, risk-based and robust, providing relevant, credible and up-to-date information. Necessary resources should be allocated to allow reaching that goal. The Assembly is therefore invited to take the actions listed in the Executive Summary.

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