



WORKING PAPER

ASSEMBLY — 41ST SESSION

EXECUTIVE COMMITTEE

Agenda Item 15: Audit Programmes — Continuous Monitoring Approach (CMA)

REPORT ON THE EVOLUTION OF THE UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) AND POST IMPLEMENTATION REVIEW

(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) managed under four streams of work and an action plan to progress this evolution for 2023-2024-2025.

Action: The Assembly is invited to:

- a) endorse the streams of work and timelines of the evolution of the USOAP CMA for 2023-2024-2025 and beyond;
- b) note the action plan for 2023-2024-2025, as outlined in sections 2, 3 and the Appendix; and
- c) urge Member States, international organizations, donors and relevant stakeholders to provide voluntary contributions to support the evolution and operation of the USOAP CMA.

<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 represent an increase of three professional staff that would represent an increase of 15% in staff costs for the 2023-2024-2025 compared to the current staff levels of the USOAP CMA. These activities will be undertaken subject to the resources available in the 2023-2024-2025 Regular Budget, extra budgetary funds and/or voluntary contributions.
<i>References:</i>	Doc 10160, <i>Report of the High-Level Conference on COVID-19</i> Doc 10140, <i>Assembly Resolutions in Force (as of 4 October 2019)</i> Doc 10115, <i>Report of the Thirteenth Air Navigation Conference</i> , Corrigenda Nos. 1 and 2, and Supplement No. 1 Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> A41-WP/7-EX/3, <i>Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes</i> State letter AN 19/51-21/24

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 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 the maturity of their 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 programme also innovated its practices while responding to the challenges of the pandemic. The long-term vision for this evolution aims at maintaining the status of the programme as a global aviation monitoring system for States’ safety oversight and accident/incident investigation capabilities and/or the maturity of their SSP implementation.

1.3 The success of this strategy relies on the sustainability of the programme and is based on the implementation of recommendations of expert groups. As such, the management of this evolution is realized under four streams of work¹ with an associated action plan to progress this work during 2023-2024-2025. The organizational improvements stream encompasses actions taken to enhance the quality of the programme and its products as well as to support the implementation of recommendations of expert groups. Two standalone streams address the recommendations of expert groups. The fourth stream of work involves relevant recommendations stemming from the High-level Conference on COVID-19 (HLCC). The information contained in this working paper and in A41-WP/41 responds to the mandate of the 40th Session of the Assembly that directed the Council to report to the next ordinary session of the Assembly on the evolution and performance of the USOAP CMA (Doc 10140, A40-13, clause 18 refers).

2. USOAP CMA STREAMS OF WORK FOR 2023-2024-2025

2.1 Organizational improvements

2.1.1 Following a comprehensive set of management reviews completed during the previous triennium that maximized outcomes achieved with the resources available, the USOAP CMA foresees other organizational improvements and updates. Work with States will continue to ensure that long-term secondments are available to successfully evolve and operate the programme. Relations with partners will be fostered. An updated communication strategy will also be implemented to keep States abreast of developments addressing the recommendations of the Ad hoc USOAP CMA Advisory Group (USOAP-AG).

2.1.2 An amendment of the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) and the *Regional Office Manual* released in 2022 including new processes resulting from the implementation of the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR), innovations from the pandemic and organizational improvements will be implemented. ICAO will review the actions related to recommendations to ensure that they are in alignment with the Memorandum of Understanding on CMA (MoU).

¹ The four streams of work are: a) organizational improvements; b) the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR); c) the recommendations of the Ad hoc USOAP CMA Advisory Group (USOAP-AG); and d) High-level Conference on COVID-19 (HLCC).

2.1.3 As the entity responsible for the execution of the USOAP CMA, the Monitoring and Oversight (MO) branch of the Air Navigation Bureau (ANB) will continue implementing its quality management system in accordance with the ISO 9001. The Running Action Item List (RAIL) that captures organizational challenges to the operations of the USOAP CMA is expected to continue identifying actions to address them.

2.1.4 The USOAP CMA will continue to provide Online Framework (OLF) capabilities to the Universal Security Audit Programme (USAP), the Global Aviation Safety Oversight System (GASOS) and the World Food Programme (WFP)².

2.2 **GEUSR**

2.2.1 Following the implementation of the GEUSR recommendations, an effectiveness review will be undertaken to assess whether the desired objectives were achieved.

2.3 **Ad hoc USOAP CMA Advisory Group (USOAP-AG)**

2.3.1 Stemming from a recommendation of the 13th Air Navigation Conference (AN-Conf/13), the USOAP-AG was established to further evolve 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 USOAP-AG provided recommendations and strategic advice for the evolution of the programme, which was transmitted to States for consultation (State letter AN 19/51-21/24 refers). The Council, at the sixth meeting of its 225th Session, agreed to the revisions to the USOAP-AG recommendations that resulted from the consultation, and as amended by the Air Navigation Commission. The 42 recommendations, as agreed by the Council, are contained in six groups (Group A through F)³ and are available on the A41 website at www.icao.int/Meetings/A41/Pages/documentation-reference-documents.aspx.

2.3.2 The monitoring of the development and implementation of the action plan to address the USOAP-AG recommendations will be presented to the Council on a yearly basis as part of the report of the evolution and performance of the USOAP CMA. The implementation of recommendations contained in Groups A to E is expected to be achieved before the 42nd Session of the ICAO Assembly. Implementation of long-term recommendations contained in Group F are planned to be accomplished for the 43rd Session of the Assembly.

2.4 **High-level Conference on COVID-19 (HLCC)**

2.4.1 The HLCC held from 12 to 22 October 2021, recommended ICAO *inter alia* integrate State safety programme (SSP) implementation assessments (SSPIAs) with traditional USOAP CMA activities,

² In December 2019, ICAO and the World Food Programme (WFP) concluded a Memorandum of Understanding (MoU) on a framework for enhanced cooperation and its Annex 1 concerning the monitoring of aviation activities of the WFP. Through these legal arrangements, ICAO monitors, on a cost-recovery basis, the aviation activities of WFP Aviation and its independent WFP Aviation Safety Unit using a methodology derived from USOAP CMA.

³ Group A: Data/information/intelligence

Group B: Validation of stakeholders' audit/assessment programmes outputs

Group C: Coordination mechanism and consultation platform.

Group D: Enhanced transparency to manage requests for cancellations and postponements

Group E: Human resources

Group F: Long-term recommendations

making use of the consultation mechanism as proposed by the USOAP-AG (Doc 10160, Recommendation 5/2, d)). The implementation of this recommendation was initiated in May 2022, and is expected to be completed before the 42nd Session of the ICAO Assembly. Remaining Recommendations are already addressed by other streams of work.

3. **IMPLEMENTATION PLAN**

3.1 An action plan including tasks, timelines and resources needed to realize the evolution of the programme has been developed. This plan will serve to action and monitor the progress in implementing the streams of work during 2023-2024-2025. The appendix of this working paper includes an estimated timeline of progress addressing the four streams of work that will be undertaken during this triennium: i) organizational improvements in blue; ii) GEUSR effectiveness review in red; iii) implementation of USOAP-AG recommendations in yellow; and iv) HLCC in violet. Additional resources needed to progress the evolution and realize the execution of the USOAP CMA have been identified and are proposed in the regular budget for 2023-2024-2025.

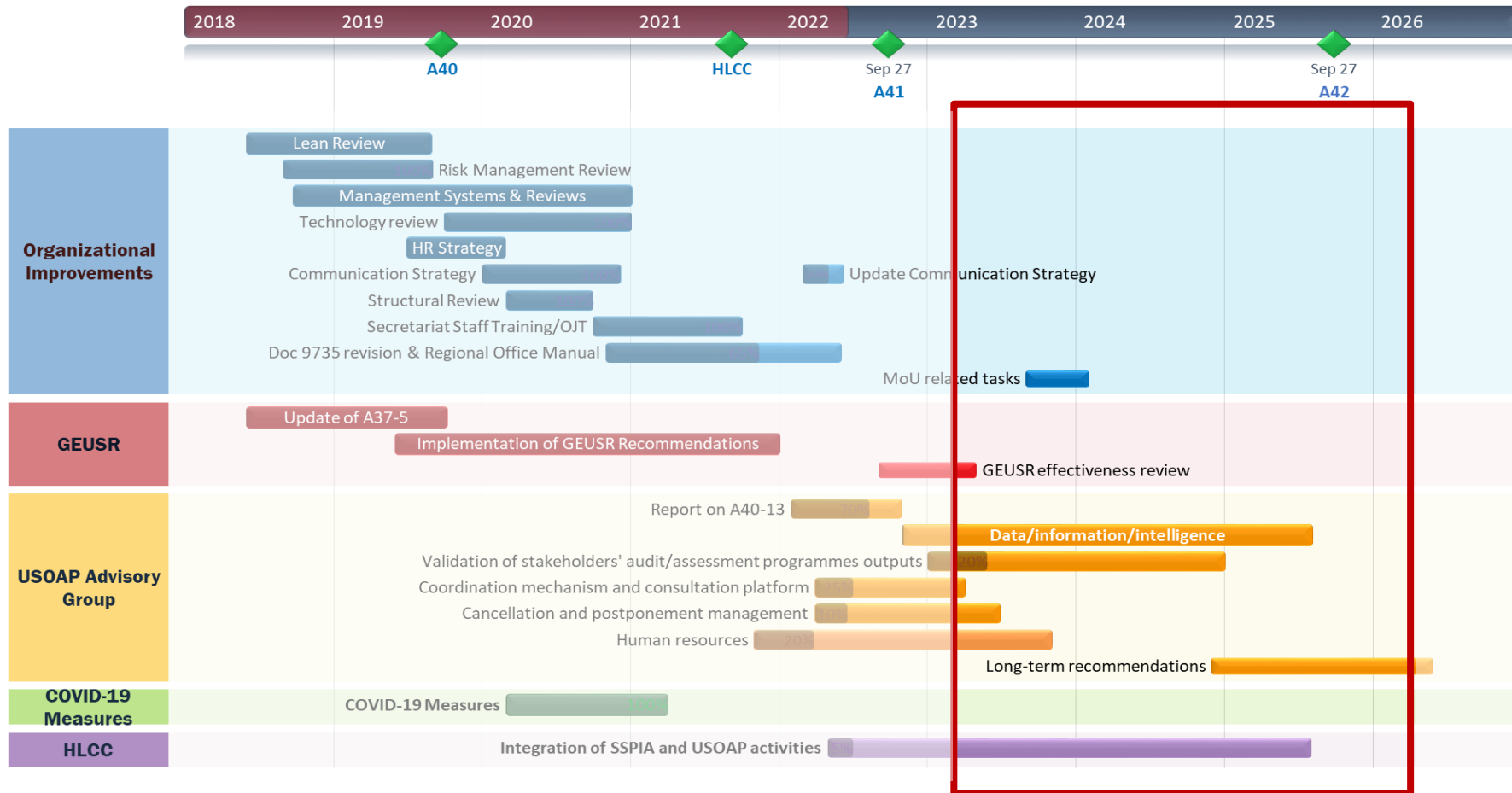
4. **CONCLUSION**

4.1 The USOAP CMA's objective is to maintain its status as a global aviation monitoring system for the safety oversight and accident/incident investigation capabilities and State safety programmes of its Member States. The monitoring includes those safety oversight responsibilities performed by safety oversight organizations on behalf of a State or group of States. The transformations planned will strengthen the programme and progress it in line with the evolving safety strategy of ICAO, as contained in the 2023-2025 edition of the Global Aviation Safety Plan.

4.2 To effectively realize the improvements foreseen, the programme resource requirements represent an increase of 15% human resources allocated for the 2023-2024-2025 compared to the current staff levels of the USOAP CMA. The improvements are expected to improve the information the programme conveys to decision-making bodies. These will also enhance synergies between ICAO and relevant stakeholders that have the potential to boost the efficiency of the programme. These synergies will also minimize duplicated interventions in States while abiding by the principles of, inter alia, independence, universality, standardization and transparency of the USOAP CMA. Ultimately, these actions will strengthen the global acceptance of the programme and its results. Updates and additional information on the action plan to realize the evolution of the programme will be reported to the Council on an annual basis, and to States through newsletters and updates posted on ICAO's website (www.icao.int).

APPENDIX

USOAP CMA EVOLUTION TIMELINE OF THE STREAMS OF WORK



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