



ASSEMBLY — 41ST SESSION

EXECUTIVE COMMITTEE

Agenda Item 15: Audit Programmes - Continuous Monitoring Approach

ESTABLISHMENT OF ICAO TIME FRAME FOR CORRECTIVE ACTION PLAN (CAP)
ACCEPTANCE PROCESS

(Presented by Indonesia)

EXECUTIVE SUMMARY

In support and implementation of the Global Aviation Safety Plan (GASP) strategy for the continuous improvement of global aviation safety, States are encouraged to maintain their safety oversight system. State's capability for safety oversight is then assessed by ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) activity to assist States to identify and correct the deficiencies described in the audit findings. States are required to develop an ICAO acceptable corrective action plan (CAP) within a specific defined period.

Currently, corrective actions to be taken by a State cannot be implemented immediately due to a delay in the ICAO review process and confirmation of acceptance of the CAP. In order to assure effective and timely implementation of corrective actions to be taken by States, it is necessary for ICAO to determine and publish a specific period or the ICAO review of the State's proposed corrective action plan(s).

Action: The Assembly is invited to:

Request ICAO to identify and publish a time frame to finalize the internal review process of State proposed CAPs and inform the States of the acceptance thereof within a specific time. This information must be included in the audit Memorandum of Understanding (MOU). This action will allow States to implement the CAPs in a timely and organized manner.

<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>	No financial implications
--------------------------------	---------------------------

<i>References:</i>	Doc 9735 – <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> Doc 10004 – <i>2020-2022 Global Aviation Safety Plan</i>
--------------------	---

INTRODUCTION

1.1 The 2020-2022 Global Aviation Safety Plan (GASP) sets goals and targets in order to continually enhance aviation safety performance internationally by providing a collaborative framework for States, regions and the industry. Safety is one of the highest priorities of the International Civil Aviation Organization (ICAO) Strategic Objectives. This Strategic Objective aims to enhance global civil aviation safety and focuses primarily on a State's effective safety oversight and its capabilities in the management of safety.

1.2 Safety oversight is a State function to ensure effective implementation of the safety-related Standards and Recommended Practices (SARPs) and associated procedures contained in the Annexes to the *Convention on International Civil Aviation* and related ICAO documents. Safety oversight also ensures that the national aviation industry provides a safety level equal to, or better than, that defined by the SARPs. States have overall safety oversight responsibilities, which emphasize a State's commitment to safety in respect of the State's aviation activity.

1.3 "GASP Goal 2" is aimed at States individually and seeks to strengthen their safety oversight capabilities. There are two targets associated with this goal: a) *Target 2.1* "calls for all States to improve their score for the EI of the CEs of the State's safety oversight system in a progressive manner that would result in incremental increases, until a high overall EI score is reached"; and b) *Target 2.2* "calls for all States to reach a safety oversight index greater than one in all categories by 2022." States are encouraged to support and implement the GASP as the strategy for the continuous improvement of global aviation safety.

1.4 ICAO USOAP continuous monitoring approach is a strategy to measure and monitor the safety oversight capabilities and to improve safety performance of States and global aviation on a continuous basis, performed by activities such as USOAP CMA audit, ICAO Coordinated Validation Mission (ICVM), safety audit, and off-site validation activity. During USOAP CMA activities, a finding is issued when there is no evidence of compliance with provisions in the aviation safety system of the State. In response, the State must develop a corrective action plan (CAP), as required by the CMA and submit it to the OAS through the USOAP CMA online framework (OLF).

1.5 The Safety and Air Navigation Oversight Audit Section (OAS) assesses proposed CAPs using the online framework to ensure that the associated PQ findings are addressed. OAS determines whether the CAPs are acceptable as per defined criteria and informs the State on the level of CAP acceptability. If a CAP fully addresses the PQ finding, the State can implement the corrective action according to the submitted plan. If a CAP does not fully address the PQ finding or only partially addresses it, OAS requests the State to revise and resubmit the CAP. If OAS confirms that the State has submitted all evidence of implementation, it will assess/validate the full implementation of the CAP in order to change the status of the associated PQ from *not satisfactory* to *satisfactory*, through the appropriate USOAP CMA activity such as ICVM or off-site validation activity.

1.6 However, there is no time frame stipulated for ICAO to respond to the validation of a proposed CAP submitted by the State.

2. **DISCUSSION**

2.1 It is important to recall that an assessment and validation of full implementation of a CAP through the appropriate USOAP CMA activity can only commence, if OAS confirms that the State has submitted relevant and complete evidence of implementation through the USOAP CMA online framework. Implementation of corrective action outlined in each proposed CAP, can only commence once ICAO has agreed and accepted each element of the proposed CAP.

2.2 ICAO Doc 9735 outlines OAS' obligation to determine the acceptability of a proposed CAP and in addition, the MOU signed between ICAO and the State regarding USOAP CMA also states that ICAO will provide feedback on the acceptability of any proposed CAP. However, there is no obligation on the side of ICAO to provide this feedback and acceptance in a set time, which has a negative impact on implementation.

2.3 It should be recalled that the time frame for a State to prepare and submit a CAP to OAS is 45 calendar days. However, the timelines of an ICAO review process to determine the acceptability of a proposed CAP is not described. Unfortunately, in some cases, OAS acceptance of proposed CAPs resulting from an ICVM activity can take three years through the review process. The absence of specific periods for ICAO to determine the acceptability of proposed CAPs may result in uncertainty for States in relation to the status of the proposed corrective action plan and implementation thereof.

3. **CONCLUSION**

3.1 The Assembly is invited to request ICAO to identify and publish a time frame to finalize the internal review process of State proposed CAPs and time frame to inform the States of acceptance of the CAP. This information must be included in the MOU. This action will allow States to implement the CAPs in a timely and organized manner.

– END –