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**Agenda Item 8: Regional Flight Safety Initiatives**

**CONTINUOUS MONITORING APPROACH (CMA)**

(Presented by the Secretariat)

**SUMMARY**

The 36th Session of the ICAO Assembly directed the Council to make appropriate changes to the ICAO Universal Safety Oversight Audit Programme (USOAP). The Continuous Monitoring Approach (CMA) was adopted as the continuation of the programme. A detailed transition plan has been prepared, covering the two year period from 2011 to 2012. This transition period will lead to the gradual implementation of the full CMA, beginning in January 2013.

It is expected that States will progress at their own pace in achieving the set deliverables identified in the transition plan. For this reason, ICAO will perform various intervention activities, including Comprehensive System Approach (CSA) audits, limited CSA audits and ICAO Coordinated Validation Missions (ICVM), in order to collect missing information or to validate information received. The ICAO Continuous Monitoring and Oversight (CMO) section has officially launched an interactive website called the CMA Forum.

The 37th Session of the ICAO Assembly endorsed the evolution of the Universal Safety Oversight Programme to a Continuous Monitoring Approach.

**References**

- Annex 1, 6, 8, 11, 13 and 14
- Doc 9902, *Assembly Resolutions in Force* (as of 28 September 2007)
- Doc 7300, *Convention on International Civil Aviation*
- HLSC Report (Doc 9935)
- Supplement to the HLSC Report
- C-WP/13497
- Electronic Bulletin EB 2009/27
- Doc 9735, *Safety Oversight Audit Manual*

**Strategic  
Objectives**

*This working paper is related to Strategic Objectives  
A. Enhance Global Civil Aviation Safety.*

## 1. Introduction

1.1 In September 2007, the 36th Session of the ICAO Assembly directed the Council to make appropriate changes to the ICAO Universal Safety Oversight Audit Programme (USOAP) and to consider various options for the continuation of the Programme. The Secretariat established a study group to look at the future of the USOAP beyond 2010.

1.2 The Council directed the Secretariat to consider incorporating the analysis of safety risk factors, adopting a more proactive approach and making a more effective and efficient use of the resources made available to the programme. In July 2008 the Secretariat established a study group to examine the feasibility of adopting a Continuous Monitoring Approach (CMA).

1.3 The Council examined the study group's conclusions and directed the Secretary General to begin to develop the methodology and tools required to implement a CMA, including the necessary detailed guidance to States.

1.4 The ICAO High Level Safety Conference (HLSC) 2010 acknowledged that the USOAP had been a major achievement for aviation safety, and had provided measures to evaluate States' oversight capabilities and identify areas for improvement. Therefore, it supported unanimously the implementation of a USOAP Continuous Monitoring Approach (CMA).

1.5 The 37<sup>th</sup> Session of the ICAO Assembly also endorsed the evolution of the Universal Safety Oversight Programme to a Continuous Monitoring Approach.

## 2. Continuous Monitoring Approach (CMA)

2.1 The objective of the CMA will be to promote global aviation safety through continuously monitoring States' Safety Oversight Capabilities.

2.2 The CMA will enable ICAO to collect a vast amount of safety information, which will primarily be provided by States. However, this information will also include that shared by relevant external stakeholders, as well as information gathered through audits and other intervention strategies. These strategies will provide ICAO with the ability to: identify safety deficiencies, assess the associated safety risks, develop strategies for intervention and assistance and prioritize assistance.

2.3 A detailed transition plan has been prepared included in the **Attachment**, covering the two year period from 2011 to 2012. This transition period will lead to the gradual implementation of the full Comprehensive System Approach (CSA), beginning in January 2013.

2.4 It is expected that States will progress at their own pace in achieving the set deliverables identified in the transition plan. Therefore, it is recognized that not all States will have submitted the relevant safety information by 2013. For this reason, ICAO will perform various intervention activities, including CSA audits, limited CSA audits and ICAO Coordinated Validation Missions (ICVM) in order to collect missing information or to validate information received.

2.5 ICAO will provide States, regional organizations and other stakeholders with ongoing CMA training during this transition period, together with appropriate support tools, procedures and guidance material. ICAO will also work on expanding its current agreements and new agreements for sharing of safety information and the reduction of duplication of monitoring activities.

2.6 The ICAO Continuous Monitoring and Oversight (CMO) section has officially launched an interactive website called the CMA Forum that has been created to assist Member States during the transition to the CMA. This website provides both Member States and the aviation community with up-to-date information on the USOAP CMA as well as a means to seek information and ask questions relating to the any aspect of CMA during the transition period and beyond. The CMA Forum can be accessed through the ICAO Public Website [www.icao.int](http://www.icao.int) or directly at [www.icao.int/cma](http://www.icao.int/cma).

2.7 The CMA will provide to Member States the following benefits:

- Transition from a one-time assessment activity to a continuous monitoring process.
- Provides for collective sharing of safety data.
- Establishes continuous monitoring of States' safety oversight capabilities.
- Allows for identification of safety risks.
- Should evolve to monitor the safety performance of members States.
- Real time and interactive online system (Web Supported).
- Long term, cost effective, resource efficient and sustainable approach.
- A layered approach will incorporate various intervention activities, including full CSA audits and limited audits depending on the level of information made available by States.
- Consistent with the policy of ICAO to pursue a proactive approach to safety under the safety management concept.
- Promotes and encourages the sharing of safety information by regional and international organizations.

### 3. ICAO Coordinated Validated Missions (ICVM)

3.1 ICVM is one type of activity that will be implemented within the framework of the USOAP CMA. The primary purpose of an ICVM is to ascertain whether previously identified safety deficiencies have been satisfactorily resolved by assessing the status of corrective actions or mitigating measures taken by ICAO Member States to address findings and recommendations, including Significant Safety Concerns (SSCs).

3.2 ICAO is currently developing a revised edition of the Safety Oversight Audit Manual (Doc 9735), which is scheduled for publication in June 2011, as well as the CMA Quality Management System, which will set out the programme management principles and implementation provisions for ICVMs. These documents are being elaborated and will be posted on the CMA information portal at <http://portal.icao.int>

3.3 The criteria for identifying States to receive ICVMs are:

- a) The results of previous audits under the Comprehensive Systems Approach audit cycle, including identified Significant Safety Concerns (SSCs).
- b) The status of identified safety deficiencies.
- c) Any relevant safety information provided by ICAO Regional Offices or recognized organizations.
- d) Any actions initiated under the global strategy for aviation safety within the framework of the ICAO Global Aviation Safety Plan (GASP) and Regional Aviation Safety Groups (RASGs).
- e) Specific requests from the ICAO Member States concerned.
- f) Any other consideration where an ICVM would benefit ICAO or its member States.

#### **4. Conclusion**

4.1 The CMA will allow the resources of ICAO, Member States and regional organizations to be used more efficiently, while also allowing for the management of safety in a more proactive manner.

4.2 The Meeting is invited to:

- a) note the benefits of the CMA, and Member States to act proactively in the transition period in order to be ready for the full implementation of the CMA in January 2013;
- b) note the scope of the ICVM, and Members States to be prepared to receive and ICVM if required, until 2012, as the USOAP transitions to a CMA; and
- c) note the recently launched CMA Forum and Member States to familiarize with it and to use this tool in the future to find information relating to the USOAP CMA.

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ATTACHMENT to APPENDIX C – CMA  
CONTINUOUS MONITORING APPROACH TRANSITION PLAN

A detailed transition plan has been prepared for the two year period from 2011 to 2012, leading to the full-scale implementation of the CMA in January 2013. This transition plan includes timelines for the implementation of the following components of the CMA

Full CMA Implementation

Task	Start	End	Q1 - 2011	Q2 - 2011	Q3 - 2011	Q4 - 2011	Q1 - 2012	Q2 - 2012	Q3 - 2012	Q4 - 2012	Q1 - 2013
<b>MEMBER STATES TRANSITION TO CMA</b>											
Member States to sign new MoU	1/6/2011	31/8/2011									
Member States to assign National Continuous Monitoring Coordinator (NMC)	1/6/2011	31/8/2011									
NMC to complete Computer Based Training (CBT) on CMA	1/9/2011	1/3/2012									
States to update Corrective action plan (CAP) from the CSA audit cycle using the on-line framework	1/9/2011	1/7/2012									
States to develop a plan for the completion of their CMA protocols and communicate it to ICAO	1/9/2011	1/7/2012									
States to update State Aviation Activity Questionnaire (SAAQ) using the on line framework	1/9/2011	1/9/2012									
States to complete USOAP CMA protocols using the on-line framework according to established CMP	2/1/2012	31/12/2012									
Full CMA Launched	1/1/2013	1/1/2013									
<b>ICAO TRANSITION TO CMA</b>											
Publish new edition Doc 9735	1/6/2011	1/6/2011									
Develop and expand agreements with International Entities	1/1/2011	31/12/2011									
Conduct CMA testing of the on-line framework with some member States	1/1/2011	30/9/2012									
Conduct Regional CMA Workshops	1/8/2011	29/12/2011									
Secretariat launch CBT Auditor training	1/6/2011	31/12/2012									
Conduct ICAO Coordinated Validation Missions (ICVMs) (10 ICVMs in 2011) (20 ICVMs in 2012)	1/1/2011	31/12/2012									
Conduct Safety Audits at the request of member States	1/3/2011	31/12/2012									
Full CMA Launched	1/1/2013	1/1/2013									