



ASSEMBLY — 40TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

**ESTABLISHMENT OF WORKING GROUPS TO SUPPORT
USOAP CMA ACTIVITIES**

(Presented by the Bolivia and supported by SAM States and LACAC States²)

EXECUTIVE SUMMARY

This paper presents to the Assembly information on the establishment of the SAM working group to support the States in developing USOAP CMA activities based on the activities carried out by the SAM Regional Office. This is in coordination with the National Continuous Monitoring Coordinators (NCMCs), appointed by each State, whose objective is to follow up on the actions related to the gradual improvement of effective implementation (EI) and on the USOAP CMA activities agreed to by the States in the Memorandum of Understanding (MOU).

The work methodology is through virtual meetings using one of the accounts from the GoToMeeting application of the SAM Office. Meetings are held monthly to monitor the progress of the following tasks assigned to the States and to the USOAP CMA working group:

- ✓ Updating the State aviation activity questionnaire (SAAQ) and compliance checklist (CC)/ electronic filing of differences (EFOD) within the USOAP CMA online framework (OLF);
- ✓ Reporting the progress made in the corrective action plans (CAPs) of the States;
- ✓ Planning for the review of all 2017 Protocol Questions (PQs);
- ✓ Planning for the review of PQs related to the State safety programme (SSP);
- ✓ Identifying the most critical PQs in each audit area and actions for their resolution;
- ✓ Implementing current Standards that have not yet been implemented by the States; and
- ✓ Checking the level of implementation of national regulations against the Annexes to the Convention on International Civil Aviation.

<i>Strategic Objectives:</i>	This paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	Not applicable
<i>References:</i>	Working paper proposed by the SAM Regional Office

¹ Spanish version provided by Bolivia.

² Belize, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Peru, Uruguay and Venezuela.

1. INTRODUCTION

1.1 The transition of the Universal Safety Oversight Audit Programme (USOAP) to the continuous monitoring approach (CMA) took place from 2011 to 2012, and the full programme was launched on 1 January 2013, as scheduled and adopted by the Council of ICAO during its 197th Session in November 2012.

1.2 The USOAP CMA transition plan included several activities, inter alia and one of the most important being the development and launching of the online framework (OLF) with its multiple instruments and modules.

1.3 The above is complemented directly by the work of the various regional mechanisms that provide implementation support, such as the Planning and Implementation Regional Groups (PIRGs) and the Regional Aviation Safety Groups (RASGs), which are a great contribution to the regional implementation of the Global Air Navigation Plan (GANP) and Global Aviation Safety Plan (GASP).

1.4 During the transition, ICAO changed its approach in order to generate findings related to Protocol Questions (PQs) instead of findings and recommendations (F&Rs). ICAO also modified the formulas for calculating effective implementation (EI) in order to render the EI percentage more accurate.

1.5 In order to implement the USOAP CMA, the States and ICAO signed a Memorandum of Understanding (MOU), whereby the States committed to completing and updating the SAAQ, CCs through the EFOD, the self-assessment of all PQs and the corrective action plan (CAP). They also committed to sending responses to Mandatory Information Requests (MIRs) when required by ICAO.

1.6 For its part, the SAM Region implemented the Regional Meetings of NCMCs in order to monitor the activities of the USOAP CMA to which the States had committed to in the MOU. Until June 2019, the SAM Region had held six (06) NCMC Regional Meetings.

2. ANALYSIS

2.1 To continue to improve the regional EI and that of its States, the SAM Region has developed the SAM Region Safety Plan (SAMSP) based on the GASP. Within this axis, new regional objectives and goals have been set until 2030. One of the safety goals is to reach 95 per cent EI in the above-referenced year.

2.2 In order to achieve this goal, the SAM Region has planned to gradually improve the EI of each of its States. The Appendix to this paper presents the gradual planning for EI improvement for each of the SAM States.

2.3 In order to follow-up on the actions related to the gradual improvement of EI and on the USOAP CMA activities that the States have committed to in the MOU, the USOAP CMA regional group of the SAM Region was established during the first virtual meeting of this group. During their second meeting, the group agreed to carry out, among other activities, the self-assessment of the PQs related to the Critical Element (CE-6), which was considered as priority PQs.

2.4 The self-assessment of priority PQs will make it possible to determine the level of compliance of each State within this segment and the level of assistance that the States would require.

3. CONCLUSION

3.1 The activities carried out by the SAM Region Working Group will enable States to meet one of the strategic objectives of the SAMSP – enhancing in a systemic manner the improvement of EI, as well as the maintenance thereof, in accordance with the regulatory change, improvement of documents and the USOAP CMA.

3.2 The Assembly is invited to take note of the information contained in this paper and in the Appendix and support the work of the NCMCs and of the USOAP CMA working group.

APPENDIX

**INDICATORS AND GOALS FOR SAM STATES REGARDING
EI AND SOM IMPROVEMENT**

	✓ EI improvement percentage ✓ Safety Oversight Margin (SOM)					
States with Effective Implementation (EI)	2020	2022	2024	2026	2028	2030
below 65 per cent Group 1	EI - 70 per cent SOM Improvement	EI - 75 per cent SOM +	EI - 80 per cent SOM +	EI - 85 per cent SOM +	EI - 90 per cent SOM +	EI - 95 per cent SOM +
between 65 and 74.99 per cent Group 2	EI - 75 per cent SOM Improvement	EI - 80 per cent SOM +	EI - 85 per cent SOM +	EI - 90 per cent SOM +	EI - 95 per cent SOM +	EI - 95 per cent SOM +
between 75 and 79.99 per cent Group 3	EI - 80 per cent SOM Improvement	EI - 85 per cent SOM +	EI - 90 per cent SOM +	EI - 95 per cent SOM +	EI - 95 per cent SOM +	EI - 95 per cent SOM +
above 80 per cent Group 4	EI - 85 per cent SOM Improvement	EI - 90 per cent SOM +	EI - 95 per cent SOM +	EI - 95 per cent SOM +	EI - 95 per cent SOM +	EI - 95 per cent SOM +

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