International Civil Aviation Organization
Sixth Annual Plenary Meeting of the Regional Aviation
Safety Group – Pan America (RASG-PA/6)
San Jose, Costa Rica, 27 – 28 June 2013

Agenda Item 7:   **Other Business**

THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) -
CONTINUOUS MONITORING APPROACH (CMA)

(Presented by the Secretariat)

SUMMARY
This information paper presents the progress of the activities for the implementation of the ICAO Universal Safety Oversight Audit Programme with a Continuous Monitoring Approach (USOAP CMA).
It also mentions the Effective Implementation (EI) for NAM/CAR and SAM States, which are available on the ICAO Integrated Safety Trend Analysis and Reporting System (iSTARS) as a result of USOAP – CMA activities.

References:
- Doc 9958 - 37th *Assembly Resolutions in Force* (28 September - 2 October 2010)
- Doc 9734 - *Safety Oversight Manual*, Part A - The Establishment and Management of a State's Safety Oversight System
- Doc 9735 - *Universal Safety Oversight Audit Programme Continuous Monitoring Manual*
- Electronic Bulletin EB 2011/44 - *ICAO Computer Based Training (CBT) in USOAP CMA Activities*
- Electronic Bulletin EB – 2012/25 - *Developing/Updating Corrective Action Plans (CAPs) Effectively*
- Electronic Bulletin EB 2012/63 – *Implementation of the ICAO Universal Safety Oversight Audit Programme – Activity Plan*
- Electronic Bulletin EB 2012/68 - *Full launch of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach as of 1 January 2013*
- State Letter *EMX057* – ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Regional Seminar/Workshop

STRATEGIC OBJECTIVE	*This working paper is related to Strategic Objective:* A. Safety – Enhance Global Civil Aviation Safety

1. Introduction

1.1 In line with Resolution A37-5 adopted at the 37th Session of the Assembly, ICAO and member States have continued the Universal Safety Oversight Audit Programme (USOAP) evolution activities to a Continuous Monitoring Approach (CMA) as a maximum priority to provide State safety performance information to other member States and the traveling public in a continuous manner. The objective of USOAP-CMA is to promote global safety through observance of continuous monitoring of a State's safety oversight capability.

1.2 The USOAP-CMA entered into force on 1 January 2013, in accordance with the calendar approved by the Council in the 4th session of its 197th Sessions on 5th November 2012.

1.3 The ICAO USOAP-CMA allows identification of deficiencies and encourages States to develop and implement corrective actions to improve their safety oversight system, which should result in lower exposure to risk. The transition to CMA represents a flexible, long-term, cost-effective and sustainable method for identifying safety deficiencies, assessing associated risks, developing assistance strategies, and prioritizing improvements.

2. Discussion

2.1 The States have signed a new Memorandum of Understanding (MoU) with ICAO and have designated their National Continuous Monitoring Coordinator (NCMC). It is expected that all States name a substitute NCMC in case the former is not on duty or available, is no longer part of the civil aviation authority, or has been assigned to different duties.

2.2 The activity plan includes audits under the Comprehensive Systems Approach (CSA) framework, ICAO Coordinated Validation Missions (ICVMs) and regional theoretical and practical seminars. CSA and limited CSA audits will focus on States that require these missions. The activities plan and half-yearly updates will be published on the CMA online portal: http://www.icao.int/usoap.

2.3 States interested in receiving an ICVM not listed under candidate States may ask for a cost-recovery mission by submitting such a request in writing to the Secretary General or respective Regional Office. The ICVM documents the progress achieved and collects evidence that validates the corrective actions taken by States to resolve previously identified Findings and Recommendations (F&R), including Safety Significant Concerns (SSCs).

2.4 Candidate States for an ICVM are selected based on an analysis of safety risk factors, previous audit results, progress made by States in resolving USOAP detected deficiencies, and the State's traffic level.

Electronic Tools

2.5 During the transition to the CMA, certain services and functions of the Integrated Safety Trend Analysis and Reporting System (iSTARS) were disabled and migrated to the new CMA online framework. iSTARS electronic tools for CMA activities have been redesigned and are available for interactive use in "real time" in the CMA online framework of USOAP, which can be accessed at: http://www.icao.int/usoap

2.6   In December 2012, data from the Corrective Action Plans (CAPs) of member States was transferred by ICAO from iSTARS to the CMA online framework. Starting 1 January 2013, CAP updates are entered in the CMA online framework. Guidance related to CAP updates can be found in the CMA online framework under "*Tutorials & Help*" at: http://www.icao.int/usoap

2.7   USOAP-CMA Protocol Questions (PQ) have been revised in accordance with the most recent amendments of the Annexes. The PQ applicable to the USOAP-CMA activities will be available online by mid-2013. The revised PQs can be found in the CMA online framework under *"CMA Library."*

2.8   For further information concerning recent developments related to USOAP-CMA, guidance texts can be found in *"Tutorials & Help,"* including Frequently Asked Questions (FAQ), help files, and videos on how to use the online framework.

2.9   During USOAP-CMA activities, it has been observed that many States have not established a satisfactory safety oversight system and/or an incident investigation system.

2.10   It should be noted that the average for Effective Implementation (EI) was increased due to improvements achieved by States in their safety oversight systems after receiving an ICVM.

2.11   Based on the results of the 37th Session of the Assembly, ICAO reviews criteria to share Significant Safety Concerns (SSCs) with member States and the traveling public in a continuous manner in order to improve decision-making regarding the safety of air transport (Resolution A37-5, Clause 5). Currently, general information regarding the level of State EI related to the USOAP/CMA is available on the ICAO website. At this site the following legend is included:

> *Safety Audit Information*
> *This information has been updated and relocated from the **ICAO Flight Safety Information Exchange (FSIX)** website. You can use the search box to find a State and then compare the result of its last USOAP CMA activity with the global average or any other State on the list. The Level of Implementation of each Audit Area is rated from 0 to 10, with **0** being "**Not Implemented**" and **10** being "**Fully Implemented**".*

3.   Suggested Action

3.1   The Meeting is invited to urge States to:

> a)   take note of the activities achieved by the USOAP-CMA transition plan;
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> b)   support the completion of ICAO USOAP activities with a focus on Continuous Monitoring Approach (CMA); and
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> c)   nominate their alternate National Continuous Monitoring Coordinator (NCMC), if not already done so.

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