International Civil Aviation Organization
North American, Central American and Caribbean Office

INFORMATION PAPER

Twenty-sixth Directors of Civil Aviation of the Eastern Caribbean Meeting (E/CAR/DCA/26)
New Orleans, United States, 1 - 3 December 2015

Agenda Item 5:   Aviation Safety Matters
           5.2   **ICAO Universal Safety Oversight Audit Programme - Continuous Monitoring Approach (USOAP-CMA): Update**

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

(Presented by the Secretariat)

EXECUTIVE SUMMARY
This Paper presents up-to-date information of the CAR regional activities regarding the ICAO Universal Safety Oversight Audit Programme - Continuous Monitoring Approach (USOAP-CMA).

Strategic Objective:	• Safety
References:	• Doc 9958 - *37th Assembly Resolutions in Force* (as of 8 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*

1.   **Introduction**

1.1   The Universal Safety Oversight Audit Programme with Continuous Monitoring Approach (USOAP-CMA) entered into force on 1 January 2013. 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 CMA represents a flexible, long-term cost-effective and sustainable method of identifying safety deficiencies, assessing associated risks, developing assistance strategies and prioritizing improvements.

1.2   The USOAP-CMA activity plan includes audits under the Comprehensive System Approach (CSA), ICAO Coordinated Validation Missions (ICVMs) and regional seminars. The CSA and CSA limited audits will focus on the States that require these missions. The activity plan and updates are published every six months on the CMA online system: http://www.icao.int/usoap.

2.   Discussion

2.1   Safety oversight remains the foundation upon which the State Safety Programme (SSP) is built. States with mature safety oversight systems have the foundations in place to implement provisions associated with SSP.

2.2   In the near term, States that have achieved Effective Implementation (EI) levels of over 60% are able to fully implement SSP by 2017, with SSP fully implemented in all Member States by 2022. Factors that impact the time to establish an SSP include the complexity of the air transportation system and the maturity level of the aviation safety oversight capabilities of the State.

2.3   Candidate States for an USOAP-CMA activity are selected based on the previously identified Findings and Recommendations (F&R), including Safety Significant Concerns (SSCs), an analysis of safety risk factors, the progress made by States in resolving USOAP detected deficiencies and the level of traffic in the State.

2.4   Since 2011, ICAO have conducted the USOAP-CMA missions in the CAR Region as follows: ICVM Bahamas (May - June 2011); ICVM Costa Rica (February 2012); ICVM Mexico (May 2012); ICVM Honduras (November 2012); ICVM Jamaica (December 2012); ICVM Organization of Eastern Caribbean States (OECS) (20 February - 1 March 2013); ICVM Barbados (17-23 April 2013); ICVM Bahamas (11-17 December 2013), ICVM Belize (4-11 February 2014), ICVM El Salvador (30 September-6 October 2015) and ICVM Bahamas (9-15 December 2015). A CSA for Guatemala has been scheduled for November 2015. A CSA audit was completed in Haiti in December 2012. ICAO will conduct an ICVM to Jamaica (June) and a CSA to Honduras (November) in 2016.

2.5   The USOAP-CMA components, shown in Figure 2.3, when used together in no particular order, enable ICAO to continuously monitor the safety oversight capabilities of Member States.
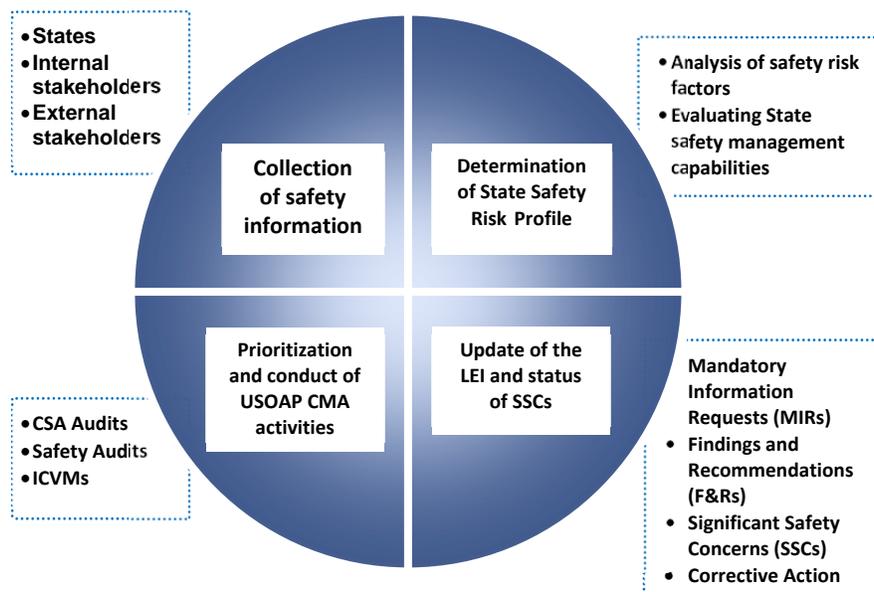

Figure 2.3   THE USOAP-CMA COMPONENTS

2.6   ICAO carries out audits and other monitoring activities to determine States' safety oversight capabilities by assessing the Effective Implementation of the 8 Critical Elements (CEs) in 8 audit areas (i.e. LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA) through Protocol Questions (PQs); and then verifies the status of the Member States' implementation of Safety-related ICAO SARPs, associated procedures, and guidance material.

2.7   The ICAO NACC Regional Office is actively involved in the continuous monitoring process, and specifically in providing assistance to facilitate Effective Implementation and to monitoring status of Corrective Action Plans (CAPs) or mitigating measures respect to identified F&Rs and SSCs within the No Country Left Behind (NCLB) Strategy.

Electronic Tools

2.8   In December 2012, data from the CAPs of the NAM/CAR States was transferred by ICAO from iSTARS to the CMA online framework. Starting on 1 January 2013, the CAP updates are made in the CMA online framework. Guidance related to the CAP updates for interactive use in "real time" can be found in the CMA online framework under the name "*Tutorials & Help*" at http://www.icao.int/usoap.

2.9   The PQs of the USOAP CMA have been revised in accordance with the most recent amendments of the Annexes. The PQs applicable to the USOAP-CMA activities are available in the CMA online framework under the title *"CMA Library"*.

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