

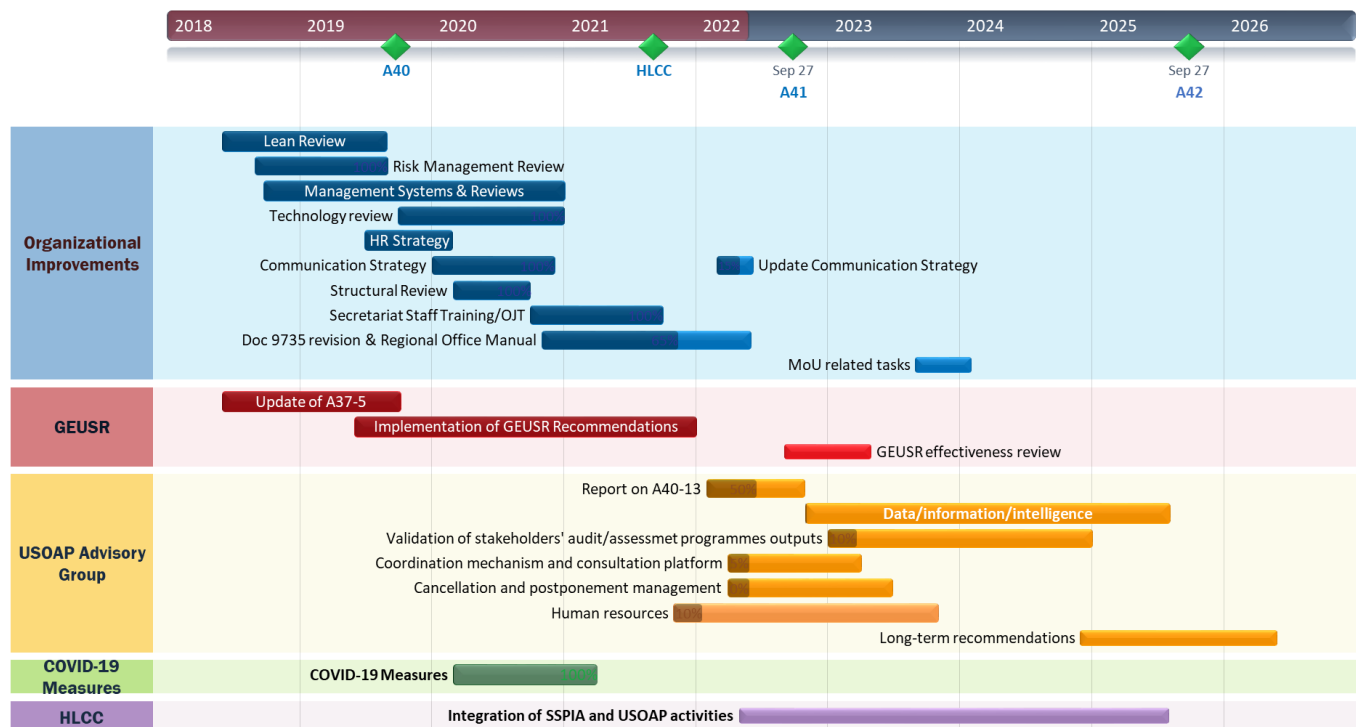
USOAP CMA evolution update

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This document provides an update on the evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA). Its objective is to communicate the status of the four streams of work, including the achievements reached by 30 April 2022 and its interaction, to facilitate the understanding of the overall evolution of the programme. More information on the programme is available in the [USOAP CMA flyer](#) and [frequently asked questions](#).

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The chart above presents the status of the streams of work of the general evolution plan for the USOAP CMA. The responsible managers within the USOAP CMA identified specific tasks, timelines and resources needed to progress each stream. Every triennium, the USOAP CMA identifies the overall resources needed for the evolution and execution of the programme, and presents its budget to the regular budget process of ICAO. Progress reports on the evolution of the USOAP CMA are provided to the Council and the Assembly on a regular basis since the inception of the programme. Since the COVID-19 stream concluded in 2021, this update does not contain information on this stream.

Organizational Improvements Stream

Following a comprehensive set of management reviews completed in 2021, the USOAP CMA foresees other organizational improvements and updates. As of 30 April 2022, China, Dominican Republic, France, Republic of Korea, Saudi Arabia and United States provide long-term secondments to ICAO to successfully evolve and operate the USOAP CMA. Relations with partners continue to be fostered. An updated communication strategy has been updated to keep States abreast of developments addressing the recommendations of the Ad hoc USOAP CMA Advisory Group (USOAP-AG).

An amendment of the Universal Safety Oversight Audit Programme Continuous Monitoring Manual (Doc 9735) and the Regional Office Manual is under way. This new version will include new processes resulting from the implementation of the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR), innovations from the pandemic and organizational improvements.

As the entity responsible for the execution of the USOAP CMA, the Monitoring and Oversight (MO) branch of the Air Navigation Bureau (ANB) successfully completed an internal and external audits of its quality management system in accordance with the ISO 9001. The established Running Action Item List (RAIL) captures organizational challenges to the operations of the USOAP CMA. 15 actions remain outstanding. ICAO also undertook an internal audit on the aviation safety audit process that resulted in eight recommendations, which are already under implementation.

Group of Experts for a USOAP CMA Structured Review (GEUSR) Stream

On 7 March 2022, the implementation of GEUSR was completed. This includes **Group A** and **Group B** recommendations involving the publication of the 2020 version of the USOAP CMA protocol questions (PQs), which reduced the total number from 943 to 790, and identified a subset of PQs, known as priority PQs (PPQs).

The implementation of **Group C** recommendations concluded with new methodologies and processes that expanded the modalities of auditing and validation activities, including full-scope, focused, and follow-up audits, as well as ICVMs, integrated validations activities (IVAs) and off-site validations. SSPIAs phase 2 methodologies and processes were completed with detailed guidance and training.

The implementation of **Group D** recommendations improved the SAAQ and revamped the OLF dashboard. The implementation of **Group E** recommendations included the publication of additional guidance for National Continuous Monitoring Coordinators (NCMCs) and corrective action plans, updated OLF modules and enhanced communication with NCMCs. Updated USOAP computer-based training (CBT) (Phase I and II) and the launch of the auditor preparation course has been developed. The recommendations presented in **Group F** were concluded with the update of the OLF, allowing States to complete the self-assessment and CAP modules offline. ICAO plans to conduct an effectiveness review in 2022 to assess the results of these improvements.

Ad Hoc USOAP CMA Advisory Group (USOAP-AG) Stream

The USOAP-AG established pursuant the recommendation of the 13th Air Navigation Conference (AN-Conf/13), developed recommendations and advice to further evolve the USOAP CMA, beyond the GEUSR recommendations, to address duplication of effort and find synergies to enhance the efficiency of the USOAP CMA while maintaining safeguards to guarantee the independence, universality, standardization and global acceptance in the implementation of the programme. Following a consultation process, the Council, at the sixth meeting of its 225th Session, agreed to an enhanced set of recommendations, as amended by the Air Navigation Commission. The 42 recommendations, as agreed by the Council, are contained in six groups (Group A through F) and are available on the A41 website at www.icao.int/Meetings/a41/Documents/USOAP-AG%20recommendations%20as%20agreed%20by%20the%20Council.en.pdf.

Group A recommendations aim at exploring means to improve the sharing and usage of data, information and intelligence gathered and generated by ICAO, stakeholders, industry and other relevant sources in support of the USOAP CMA. **Group B** recommendations are designed to reduce the duplication of ICAO and stakeholders audit/assessment activities to States. The recommendations of **Group C** aim to enhance the coordination and sharing of data, information and intelligence within ICAO programmes and initiatives and to collect strategic and technical advice for the evolution of the USOAP CMA. **Group D** recommendations are geared at reducing the number of requests for cancellation or postponement of USOAP CMA activities and enhance transparency of their effects. The recommendations in **Group E** propose improvements to the human resources available to the programme to sustainably and effectively cope with the expected volume of required USOAP CMA functions, tasks and activities. The recommendations of these groupings are planned to be completed within 2023-2024-2025.



The long-term recommendations contained in **Group F** target to continued relevance, applicability and global acceptance of the programme by enhancing its sustainability and resilience. These recommendations are planned to be accomplished for the 43rd Session of the Assembly.

The monitoring of the development and implementation of the action plan to address the USOAP-AG recommendations is presented to the Council on a yearly basis as part of the report of the evolution and performance of the USOAP CMA.

USOAP CMA activities planned and conducted for 2022

Audits: Angola, Albania, Argentina, Belarus, Colombia*, Canada, Democratic Republic of the Congo, Djibouti, Iran (Islamic Republic of), Italy, Kyrgyzstan, Liberia*, Mexico, Nepal, Republic of Moldova*, Singapore*, UK and World Food Programme.

Validations: Azerbaijan, Botswana, India, Lebanon, Organisation of Eastern Caribbean States (OECS)*.

SSPIAs: Italy, Singapore* and UK.

* conducted

High-level Conference on COVID-19 (HLCC)

The HLCC held from 12 to 22 October 2021, provided three recommendations to ICAO related to the USOAP CMA :

- ⇒ continue the evolution of the programme in line with the recommendations of expert groups, as agreed by the Council;
- ⇒ support activities of Member States in managing their USOAP-related information, including the development of a data management framework for USOAP CMA; and
- ⇒ integrate State safety programme (SSP) implementation assessments (SSPIAs) with traditional USOAP CMA activities.

The implementation of the first two are already addressed by other streams of work. The third recommendation will be initiated in May 2022 and is expected to be completed before the 42nd Session of the ICAO Assembly.

Streams' Interaction

As the USOAP CMA evolves through recommendations provided by different groups, regular meetings of managers take place to ensure that the progress of tasks is coordinated among the ongoing streams of work. Tasks and timelines are adjusted based on availability of resources, aiming at completing the work within established deadlines.

Through the evolution of the USOAP CMA, ICAO aims to maintain the programme's status as the global aviation monitoring system of States, providing targeted activities that determine the level of effective implementation of the eight critical elements of States' safety oversight systems, aircraft accident and incident investigation capabilities and/or the assessment of SSP implementation. The organizational improvements introduced along with the COVID-19 measures have brought resilience to the programme and progressed it in line with the evolving safety strategy of ICAO.

The implementation of GEUSR recommendations improved internal methodologies, processes and tools, including the methodologies of SSPIAs. The USOAP-AG recommendations will further enhance synergies between ICAO and relevant stakeholders by improving the overall efficiency of the USOAP CMA and avoiding duplicated interventions in States.

Monitoring and Oversight websites:

ICAO public website:
www.icao.int/safety/CMAForum

USOAP CMA Online Framework:
www.icao.int/usoap