

USOAP Newsletter

Produced by Monitoring and Oversight, Air Navigation Bureau, ICAO

Looking Back: USOAP's Progress in 2020

2020 was a monumental year as the aviation world faced an unprecedented disruption at the hands of the global pandemic.

Monitoring and Oversight (MO) utilized this unusual slowdown in operations to advance planned transformational activities for USOAP, while undertaking new and novel efforts to maintain its safety oversight operations.

After suspending on-site USOAP CMA activities in March 2020, MO increased its off-site activities for continued engagement with the States. The Safety and Air Navigation Oversight Audit Section (OAS) completed the massive undertaking of assessing more than 2,400 Corrective Action Plans (CAPs) submitted by 32 States, which supported the selection and performance of off-site validations, virtual ICAO Coordinated Validation Missions (ICVMs), and desk audits.

MO continued its implementation of the recommendations from the Group of Experts for USOAP CMA Structured Review (GEUSR) and completed its work remotely on the Ad Hoc USOAP CMA Advisory Group (USOAP AG). See page 2 of the newsletter for more information on the USOAP AG and pages 3 to 4 for more information on the GEUSR.

At the request of the ICAO Council at its 220th Session, the Oversight Support Unit (OSU) created a COVID-19 Contingency Related Differences/Electronic Filing of Differences (CCRD/EFOD) platform, to enable States to notify and disseminate temporary differences during this extraordinary period. This was accompanied by multiple enhancements to the Online Framework for current State functions under the USOAP CMA as well as provisions of multi-audit programme support for the Universal Security Audit Programme (USAP), the Global Aviation Safety Oversight System (GASOS), and the World Food Programme (WFP).

Despite the unique Work-from-Home arrangement and major modifications to our daily operations, we continue to strive to be flexible and creative in achieving the overall goal of USOAP to assess States' capabilities in providing safety oversight of their civil aviation systems.

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By the Numbers: 2020 USOAP CMA Activities

- ◇ **Audits:** 4 conducted
- ◇ **MIRs:** 1 issued
- ◇ **ICVMs:** 5 conducted
(2 virtually)
- ◇ **Off-Site Validations:**
18 completed
- ◇ **USOAP CMA Work-
shops:** 1 conducted
- ◇ **Additions to USOAP
CMA Roster:** 6 audi-
tors qualified

Next Steps for the USOAP AG

Following successful conclusion of the work of the Ad Hoc USOAP Advisory Group (USOAP AG), MO presented the group's recommendations and strategic advice to evolve the USOAP continuous monitoring approach to the ICAO Council, at the fourth and seventh meetings of its 221st Session on 2 and 9 November 2020, respectively. The USOAP AG proposed 43 recommendations, categorized into six groups. The Council expressed its sincere appreciation to the USOAP AG for all the work undertaken to date and the recommendations presented. In particular, the USOAP AG proposals address duplication of efforts and burden on States and also identify synergies to enhance the efficiency of the USOAP CMA and support its evolution. The recommendations aim at strengthening the global acceptance and results of the programme, while abiding by the principles of independence, universality, standardization and transparency.

In line with the Council's decision, MO transmitted the proposed recommendations to Member States via a State letter (SL 2021/1) in order to seek views and gauge reactions to the recommendations and the envisaged expanded scope of the programme. Responses from States are due on 30 June 2021. The result of this consultation with Member States is expected to be presented to the Council during its 225th Session.

Familiarization seminars:

In order to further familiarize the Member States with the proposed recommendations as well as facilitate the consultation process, MO also planned seven virtual seminars. These seminars are aimed at the Director Generals of Civil Aviation Authorities and other relevant officials of Member States on the subject of this consultation, including the National Continuous Monitoring Coordinators (NCMCs).

The seminars will be conducted as follows:

- European and North Atlantic Region, 8 February 2021, 1400 hrs. (CET)/1300 hrs. (UTC)
- Eastern and Southern African Region, 9 February 2021, 1500 hrs. (EAT)/1200 hrs. (UTC)
- Western and Central African Region, 10 February 2021, 1400 hrs. (GMT)/1400 hrs. (UTC)
- Middle East Region, 11 February 2021, 1400 hrs. (EET)/1200 hrs. (UTC)
- Asia and Pacific Region, 17 February 2021, 0800 hrs. (ICT)/0100 hrs. (UTC)
- North American, Central American and Caribbean Region, 18 February 2021, 0900 hrs. (CST)/1500 hrs. (UTC)
- South American Region, 19 February 2021, 0900 hrs. (PET)/1400 hrs. (UTC)

Participants may register for a seminar in any region at <https://survey.sogosurvey.com/r/hkj5HO> no later than 29 January 2021.

Participants are kindly invited to register for one seminar only and capacity limitations to the virtual seminars allow for a maximum of three participants per State. The seminars will be conducted in English.



ICAO's Audit Programmes Join Forces in the 2020 ICAO World Civil Aviation Report

In October 2020, MO and its counterpart in the Air Transport Bureau, Aviation Security and Facilitation, combined efforts to submit an article on their two audit programmes, USOAP and USAP, to ICAO's recently published 4th edition of the World Civil Aviation Report (WCAR4).

The article, titled *ICAO's Continuous Monitoring Audit Programmes*, highlights the two programmes' efforts to assess States' aviation safety and security oversight capabilities for more than two decades.

The article in the WCAR4 provides a brief overview of the respective histories of USOAP and USAP, insight into their current activities, and plans for future improvements.

The article emphasized for aviation industry stakeholders the key role of USOAP and USAP in creating a universal, uniform, transparent and predictable approach for ICAO to identify and address global aviation safety and security challenges worldwide.

For more information on WCAR4, visit the [ICAO Store](#).



Implementing the GEUSR Recommendations

Over the last year, a great deal of work was undertaken to implement various aspects of the recommendations and observations from the Group of Experts for USOAP CMA Structured Review (GEUSR).

One key feature of the GEUSR recommendations was the identification of Priority PQs (PPQs), which, "when resulting in a low EI score, would indicate a lack of capability of the State to effectively identify and resolve safety deficiencies". PPQs were identified for each of the eight audit areas by the Standards and Procedures Officers (SPOs) of OAS as part of the PQ revision (see more information on the 2020 edition of the PQs on the next page). With the PPQs, MO continues to develop methodologies and processes for new activities, including ad hoc, short duration, and follow-up USOAP CMA activities. In addition, enhanced criteria for the prioritization and scheduling of activities were developed and implemented.

MO also progressed several other aspects of the GEUSR implementation action plan. They include initial planning for the presentation of State Indicators, ongoing additions and updates to the Online Framework, as well as the drafting and revision of training, guidance, and support material for both USOAP auditors and States.

MO fully expects to conclude the implementation of the action plan to address the GEUSR recommendations in 2021. Also ongoing will be revisions to Doc 9735 — *Universal Safety Oversight Audit Programme Continuous Monitoring Approach* and the Memorandum of Understanding (MOU) between ICAO and the States; updates to these documents will encompass additional items outside of the GEUSR recommendations.

MO has been able to maintain the momentum of the GEUSR recommendations implementation in spite of the COVID-19 challenges, thanks to the dedication and professionalism of its staff as well as to the collaboration of the colleagues from the ICAO Regional Offices.

MO Spotlight: 2020 Protocol Questions

At the end of 2020, MO published the 2020 edition of the Protocol Questions (PQ) based on amendments to ICAO provisions (Annexes to the Convention on International Civil Aviation (Doc 7300), Procedures for Air Navigation Services (PANS) and guidance material) as well as State and stakeholder feedback.

The PQs were also revised based on recommendations and observations from the Group of Experts for USOAP CMA Structured Review (GEUSR), which included, among others, the reduction of the total number of PQs by 10 to 20 per cent in order to lower the “burden of entry” of information on the Online Framework for States. The 2020 edition of the PQs represent an approximately 16 per cent reduction, as seen in the table below.

The English version of the PQs is now available on the Online Framework under the “CMA Library” heading. French, Spanish and Russian translations will follow.

The 2020 edition of the PQs will be applicable for all USOAP CMA activities starting **after 1 June 2021**. For USOAP CMA activities starting **before 1 June 2021**, the 2017 edition of the PQs will continue to apply.

	2017 PQs						2020 PQs			
	Total No. (2017)	Number of					TOTAL No. (A+B+C+D)	NUMBER OF		
		Deleted	Revised (A)	Merged (B)	No Change (C)	New (D)		PPQ	ON-SITE	OFF-SITE
LEG	23	0	23	0	0	0	23	14	3	20
ORG	14	2	11	1	0	1	13	5	9	4
PEL	99	10	48	7	34	4	93	35	71	22
OPS	146	21	85	12	28	1	126	34	91	35
AIR	210	26	79	5	100	2	186	33	102	84
AIG	104	21	21	19	43	1	84	24	46	38
ANS	179	69	71	27	12	12	122	27	97	25
AGA	168	29	43	17	79	4	143	40	106	37
	943	178	381	88	296	25	790	212	525	265

Table — Comparison of 2017 PQs to 2020 PQs

Monitoring and Oversight websites:

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

ICAO public websites:
www.icao.int/safety/CMAForum
www.icao.int/safety/pages/usoap-results.aspx

USOAP
 Continuous Monitoring Approach



Promoting global aviation safety

by continuously monitoring and updating
 the safety oversight capabilities of all ICAO Member States.

