

25th COSCAP-SA STEERING COMMITTEE MEETING

**PROGRESS REPORT ON THE IMPLEMENTATION OF THE
ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME
CONTINUOUS MONITORING APPROACH
(USOAP CMA)**

Discussion Paper 9 (DP 9)

(Presented by the Secretariat)

SUMMARY

This paper provides a progress report on the implementation and activities of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) during 2015, and planned for 2016.

Action by the meeting is at paragraph 3.

REFERENCES

- Doc 9735 — *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Fourth Edition)
- EB 2016/35 – Resolution of a Significant Safety Concern (SSC)
- EB 2016/20 - ICAO Universal Safety Oversight Audit Programme Report on Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) Results — 1 January 2013 to 31 December 2015
- EB 2016/36 - Implementation of the ICAO Universal Safety Oversight Audit Programme — Activity Plan
- EB 2015/56 - Roll Out of the State Safety Programme under the ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach—Update
- EB 2014/61 - Revision of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Protocol Questions (PQs) and Introduction of new Safety Management PQs
- SL AN 8/3-15/46 - Proposals for the Amendment of Annexes 19, 8 and 6, Parts I and III relating to safety management
- SL AN 19/34-15/35 - Short-term Secondment of Experts to the USOAP CMA.

1. INTRODUCTION

1.1 This paper provides a progress report on the implementation and activities of the USOAP CMA, highlighting the achieved milestones, conducted activities, and improvements made in 2015, as well as planned activities and developments for 2016.

2. DISCUSSION

USOAP Milestones in 2015

2.1 The USOAP CMA Online Framework (OLF) continues to be the main platform for ICAO to monitor, evaluate, report States' safety oversight-related information including documentation, track CMA activities and manage USOAP CMA data in 'real time' (<http://www.icao.int/usoap>). During 2015, the OLF system was improved and migrated to a cloud-based platform and its speed was enhanced. In addition, detailed guidance materials and tutorials were developed and made available to users. States continue to use the OLF to update their information and to prepare for upcoming USOAP CMA activities. The latest version of USOAP CMA Protocol Questions (PQs) is now available on the OLF in English, French, Spanish and Russian. The OLF is also closely integrated with ICAO's iSTARS/SPACE (<http://portal.icao.int> – group name SPACE) and iSTARS/SPACE applications use live data from the OLF, allowing States to conduct more accurate and timely analyses. iSTARS/SPACE is available to all Member States.

2.2 The new USOAP audit which includes PQs related to State Safety Programme (SSP) and provisions of Annex 19 — *Safety Management* (launched in 2014) was planned to start in January 2016 (EB 2014/61 refers) in States with Effective Implementation (EI) above 60 per cent. Those States had one year until the end of 2015 to conduct self-assessment on the new SSP-related PQs, while all States had to also perform an SSP Gap Analysis using the online tool provided by ICAO on iSTARS/SPACE. However, in practice, very few States have performed a self-assessment on the new SSP-related PQs and recorded results in the OLF.

2.3 In 2015, ICAO started to perform confidential assessments of States' SSP implementation on a cost-recovery basis, using the new SSP-related PQs. These assessments provided ICAO with a better understanding of the challenges faced by States for effective implementation of SSP, as well as with inputs for the revision and improvement of SSP-related PQs.

2.4 Considering the lack of readiness of most States for effective implementation of SSP and the fact that an updated version of the *Safety Management Manual* (SMM) (Doc 9859) will be published in all ICAO working languages in the second quarter of 2017 (SL AN 8/3-15/46 refers), it was decided to postpone the audit of the new SSP-related PQs to January 2018 (EB 2015/56 refers).

2.5 The increasing efforts of States in resolving their safety deficiencies and improving their EI rates has created more demand for ICAO to validate the progress reported by States. One of the ways for ICAO to respond to this demand in a timely manner is by conducting more off-site validation activities. While these activities are limited to the eligible PQs (PQs that do not require on-site verifications, i.e. mainly those related to the establishment of legislation, regulations, policies and procedures), they are cost effective and can generate results in a shorter time than other USOAP CMA activities, i.e. audits and ICAO Coordinated Validation Missions (ICVMs).

2.6 Performing an increased number of off-site validation activities requires more resources for the conduct of USOAP CMA activities. As a solution, and following ICAO Council discussions, ICAO invited States to support USOAP CMA by nominating technical experts. To encourage States, ICAO agreed to waive the fee for USOAP CMA Computer-based Training (CBT) for nominated experts that meet defined criteria (SL AN 19/34-15/35 refers). States responded well to ICAO's invitation and, as a result, ICAO's pool of experts to conduct USOAP CMA activities is expanding. Furthermore, the Secretariat is finalizing the development of its designee system as a pragmatic solution to the demand for off-site validation activities, as highlighted by the Air Navigation Commission (ANC) and the ICAO Council. ICAO will use qualified designees in off-site validation activities only.

2.7 During 2015, ICAO promoted a new initiative to support continuous monitoring in general and off-site validation activities in particular through more active participation of ICAO technical officers from both ICAO Headquarters (HQ) and Regional Offices (ROs), as well as technical experts from international organizations and Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) that support USOAP CMA. During their visit to a State, these experts collect evidence on implementation of Corrective Action Plans (CAPs) and resolution of USOAP audit findings by the State. However, unlike ICVMs, the experts do not have to fully assess the collected evidence. They submit the collected evidence to ICAO HQ for off-site assessment and validation. As more States request ICAO to validate their progress in a timely manner, this initiative allows ICAO to improve its response time to States' efforts in implementing their CAPs and helps States show the improvements in their EI.

2.8 The USOAP CMA Quality Management System (QMS) successfully went through its annual surveillance audit in September 2015 to ensure its ongoing compliance with the ISO 9001:2008 standard for Quality Management Systems. The QMS scope includes: the collection, processing and sharing of safety oversight information; the conduct of continuous monitoring activities; and the provision of safety training and seminars for the enhancement of global aviation safety. USOAP CMA procedures, processes and other documentation managed through the QMS were updated, streamlined and standardized, as applicable. Through the USOAP CMA QMS, ICAO collects data from States regarding their satisfaction with USOAP CMA activities. States that provided feedback on CMA activities conducted in 2015 indicate an overall satisfaction rate of 89 per cent.

USOAP CMA Activities in 2015

2.9 **Appendix A** outlines USOAP CMA activities conducted during 2015 including USOAP CMA audits, ICVMs, off-site validations, Mandatory Information Requests (MIRs) and training. The USOAP CMA Activity Plan, which is issued as an Electronic Bulletin and posted on ICAO-NET twice a year, lists the conducted activities (EB 2016/36 refers). An off-site validation was completed for Nepal in 2016. In 2017, an ICVM is scheduled in Bhutan and audits are scheduled in India and Sri Lanka.

2.10 The graphs in **Appendix B** outline some of the improvements in States' EI resulting from the conduct of USOAP CMA activities. Further detailed analyses is also presented in the *Report on USOAP CMA Results* published at the end of March 2016 (EB 2016/20 refers).

2.11 The graph in **Appendix C** presents the progress by Region in CAP implementation. As of June 2016, there were eight unresolved SSCs, involving eight States (EB 2016/XX refers). Since 2013 Nepal has an SSC in the Operations area related to AOCs.

2.12 The regional safety briefing presented in **Appendix D** provides a summary of the USOAP status and priority areas for safety improvement for COSCAP-SA States. The area with the lowest level of effective implementation is AIG.

USOAP CMA Activities and Improvements Planned for 2016

2.13 ICAO will continue to monitor States' activities through the CMA online framework, prioritizing activities based on risk factors and indicators. The ongoing collection of data from the online framework allows ICAO to determine the appropriate monitoring and assistance activities for each State and to assign resources where required. The criteria used for the selection and planning of USOAP CMA activities are outlined in the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735).

2.14 In line with the approved budget and available resources, USOAP CMA activities planned for 2016 include ten USOAP CMA audits, fifteen ICVMs, fifteen off-site validations and two regional Seminar/Workshops. Cost-recovery activities will be conducted as requested by States. The CMA Activity Plan also lists planned activities. USOAP CMA activities can be conducted as full-scope (covering all eight audit areas) or as limited-scope (covering only some of the audit areas).

2.15 During 2016 and while ICAO and States with EI above 60 per cent prepare for the audit of SSP-related PQs, ICAO will conduct more cost-recovery assessments of SSP implementation in volunteer States. These assessments may be in conjunction with ICVMs. The results of these assessments will be used to improve SSP-related PQs and their related guidance and to develop a more detailed methodology for auditing the effective implementation of SSP. In the meantime, States with EI above 60 per cent are expected to conduct self-assessment on SSP-related PQs and complete the Annex 19 compliance checklists.

2.16 ICAO will continue to develop and implement a plan to prepare and train USOAP CMA auditors to address SSP-related PQs. In 2016, ICAO is providing refresher and standardization training to team leaders of USOAP CMA activities. This will ensure that USOAP CMA team leaders are fully informed about the latest updates and improvements in the USOAP CMA methodology, processes and workflows and that they lead and conduct USOAP CMA activities in a consistent, uniform and standardized manner. This training is organized in two sessions: one in the first half of 2016 for team leaders from ICAO HQ and one in the second half of 2016 for team leaders from ICAO ROs.

2.17 To address the ongoing need of States for timely and actionable advice on resolving USOAP findings, ICAO is developing and will be launching a 'Solution Centre' on iSTARS/SPACE. This application will allow users to view USOAP findings for any State on a graphically-rich dashboard and to drill down to PQ findings and a variety of possible solutions to address each finding. These solutions may include links to official ICAO guidance documents, training courses, partnership programmes and best practices. In addition to USOAP metrics such as the list of PQs, EI by audit area, EI by Critical Element (CE) and SSCs, other metrics only available on the OLF will also be shown on iSTARS/SPACE. These will include information from the State Aviation Activity Questionnaire (SAAQ) and reports on the Electronic Filing of Differences (EFOD). The consolidation of metrics will decrease the overlap among various databases and tools and will make more transparent the actual aviation safety environment, personnel, and resources within each Member State.

3. ACTION BY THE MEETING

3.1 The meeting is invited to consider adopting the following Draft Conclusion:

CONCLUSION XX ICAO USOAP CMA IMPLEMENTATION

That States prioritise and take action as needed to improve safety oversight systems, with particular attention to:

- a) the resolution of the SSC in Nepal;
- b) the implementation of Corrective Action Plans (CAP) and reporting the progress on the On-line Framework (OLF);
- c) the completion of self-assessments and uploading the relevant evidence on the OLF;
- d) requesting validation of CAP implementation completion from ICAO USOAP, once ready; and
- e) requesting assistance from the ICAO Regional Office, COSCAP-SA and RASG-APAC, if required.
