

26th COSCAP-SA STEERING COMMITTEE MEETING

**PROGRESS REPORT ON THE IMPLEMENTATION OF THE
ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)
CONTINUOUS MONITORING APPROACH (CMA)
Discussion Paper 11 (DP11)**

(Presented by the ICAO Secretariat)

EXECUTIVE SUMMARY	
This paper provides a progress report on the implementation and activities of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) during 2017, and plans for 2018.	
<i>Strategic Objectives:</i>	This paper relates to the Safety Strategic Objective.
<i>References:</i>	Doc 10075 — <i>Assembly Resolutions in Force</i> (as of 6 October 2016) Doc 10028 — <i>Assembly 38th Session, Technical Commission Report</i> Doc 10004 — <i>Global Aviation Safety Plan (GASP)</i> Doc 9735 — <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> (Fourth Edition 2014) Doc 9734 — <i>Safety Oversight Manual – Part A – The Establishment and Management of a State Safety Oversight System</i> (Third Edition 2017) EB 2017/65 EB 2017/60 EB 2017/44 EB 2017/35 EB 2017/24 EB 2017/2

1. INTRODUCTION

1.1 The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) was introduced over a two-year transition period, from 2011 to 2012, and launched into full-scale implementation in January 2013. The 38th Session of the Assembly noted the progress made during the transition and supported the continued activities of USOAP CMA, urging the continuing cooperation of States to ensure its successful implementation (*Assembly 38th Session, Technical Commission Report* (Doc 10028), para. 29.1 refers).

1.2 This information paper provides a progress report on the implementation and activities of the USOAP CMA, highlighting the milestones achieved, activities conducted and improvements made in 2017, as well as activities and developments planned for 2018.

2. USOAP MILESTONES IN 2017

2.1 In March 2017, the Secretariat established the Group of Experts for a Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Structured Review (GEUSR). This action stemmed from consideration of C-WP/14559 — *Review of Assembly Resolutions and Decisions* by the Council at the fourth meeting of its 210th Session held on 27 February 2017. Australia, Brazil, Cabo Verde, Dominican Republic, Egypt, Finland, Singapore (Chair), South Africa, Switzerland, the United States and the European Aviation Safety Agency (EASA) nominated members to support the work of this group. The aim of this review is to identify adjustments to the USOAP CMA with a view of further strengthening it, taking into consideration the evolving safety strategy of ICAO and States' progress in implementing Annex 19, in particular State safety programme (SSP) requirements. The group held its first meeting in April and a second meeting in September to develop recommendations. A survey that allowed Member States to provide feedback on the GEUSR's work was completed in December. Further details on the GEUSR are presented in paragraphs 4.5 and 4.6 below.

2.2 ICAO continued working on the improvement of the USOAP CMA Online Framework (OLF) (<https://www.icao.int/usoap>). An updated user management module was introduced, increasing user account security and facilitating more detailed user access management by national continuous monitoring coordinators (NMCs). An application was implemented to improve the process of updating the Annexes in the Electronic Filing of Difference (EFOD) module. The Sign-In and Home pages were updated with a fresher layout and enhanced functionality, including a "Latest News" feature. An activity planning module was introduced creating efficiencies in the planning and scheduling processes by incorporating multiple databases into one source and eliminating duplications. Extensive redevelopment of the OLF increased its speed and reduced response time. Enhancements are continuously introduced to address comments received from users.

2.3 In 2017, ICAO performed two voluntary, confidential and cost-recovery assessments of SSP implementation at the request of ICAO Member States. The start of the voluntary and non-confidential SSP implementation assessments has been postponed to the last quarter of 2018, taking into account the need for the fourth edition of the *Safety Management Manual (SMM)* (Doc 9859) (advance unedited English only) to be available for ICAO Member States. Further details are presented in paragraph 4.2 below.

2.4 The 2017 edition of the USOAP CMA Protocol Questions (PQs) was published. This edition excludes aspects related specifically to the SSP. ICAO continued working on the development of amended PQs and methodology for SSP implementation assessments.

2.5 ICAO continued implementation of the USOAP CMA designee programme (launched in September 2016) to respond to the increased demand of States for validating the resolution of USOAP findings and improving their effective implementation (EI) scores. ICAO increased its pool of designees to support the performance of off-site validation activities, assessments of corrective action plans (CAPs) and CAP updates. The second designee training course was conducted in August 2017.

2.6 ICAO carried on with more active participation of qualified ICAO technical officers and technical experts to support continuous monitoring activities, including off-site validation activities. Continuous monitoring activities resulting from this initiative are validated by the Safety and Air Navigation Oversight Audit (OAS) Section. In 2017, there was also increased collaboration with the European Aviation Safety Agency (EASA), as a safety partner, in the collection of evidence regarding the resolution of some USOAP findings of EASA Member States for validation at ICAO headquarters.

2.7 ICAO launched the third edition of the *Safety Oversight Manual* (Doc 9734), Part A — *The Establishment and Management of a State Safety Oversight System*. This edition, available on ICAO-NET (<https://portal.icao.int/icao-net/Pages/Doc9734.aspx>), introduces updates reflecting the

adoption of Amendment 1 to Annex 19 — *Safety Management* and enhancements resulting from the experience gained over 10 years and feedback received from States and other stakeholders. It is expected that this manual will further assist States in establishing and implementing their safety oversight systems.

2.8 Monitoring and Oversight (MO) of the Air Navigation Bureau (ANB) successfully went through its ISO recertification audit in September 2017 with no findings. This constituted a major enhancement as MO effectively achieved the transition to the ISO 9001:2015 standard, following a thorough review and update of its processes and procedures focused on the implementation of a risk-based approach. The quality management system (QMS) scope includes: the conduct of on- and off-site monitoring activities for the purpose of collection, processing and sharing of safety oversight information; and the provision of USOAP CMA-related training and workshops for the enhancement of global aviation safety. USOAP CMA processes, procedures and other documentation managed through the QMS were reviewed and updated. Through the USOAP CMA QMS, ICAO collects data from States regarding their level of satisfaction with USOAP CMA activities. States that provided feedback on CMA activities conducted in 2017 indicated an overall satisfaction rate of 94 per cent, which represents a 2 per cent increase over the overall satisfaction rate reported in 2016.

3. USOAP CMA ACTIVITIES IN 2017

3.1 **Appendix A** outlines USOAP CMA activities conducted during 2017, including audits, ICAO coordinated validation missions (ICVMs), off-site validations, mandatory information requests (MIRs), SSP implementation assessments (voluntary) and workshops. The USOAP CMA Activity Plan, which is issued as an Electronic Bulletin and posted on ICAO-NET twice a year (EB 2017/2 and EB 2017/35), lists the scheduled USOAP CMA activities. In 2017, a total of fifty-five USOAP CMA activities impacted the States' EI scores. In addition, two SSP implementation assessments (voluntary) were conducted. This represents seventeen additional activities beyond the original target identified in the Operating Plan for the Air Navigation Bureau.

3.2 The graphs in **Appendix B** provides a summary of the USOAP CMA status at the global level. The areas with the lowest level of EI are aircraft accident and incident investigation (AIG) and aerodrome and ground aids (AGA), and the Critical Elements (CE) with the lowest level of EI are CE-8 (Resolution of Safety Issues) and CE-4 (Qualified Technical Personnel).

3.3 In 2017, Angola, Djibouti, Nepal and Thailand resolved the significant safety concerns (SSCs) identified by ICAO. At the end of 2017, globally, four SSCs remain unresolved by four States, all of them in the area of aircraft operations (OPS).

4. USOAP CMA IMPROVEMENTS PLANNED FOR 2018

4.1 USOAP CMA activities planned for 2018 include fourteen USOAP CMA audits, sixteen ICVMs and two regional workshops. Cost-recovery activities may be conducted upon request by States depending on the availability of ICAO resources as well as the risk indicators of the States concerned.

4.2 ICAO has also scheduled two additional confidential and cost-recovery of SSP implementation assessments (voluntary) in 2018. The results of these assessments will be used to gather additional experience and train ICAO experts for this new type of activity. ICAO assessments using a set of SSP-related PQs (to be finalized in 2018) will formally commence in 2020, to be conducted in States which meet the criteria established by ICAO in line with the Global Aviation Safety Plan (GASP).

4.3 ICAO will continue to monitor States' activities through the OLF, prioritizing activities based on risk factors and indicators. The ongoing collection of data from the OLF 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), Sections 3.6 and 4.7.

4.4 A USOAP CMA standardization training session is planned in June 2018 for all USOAP CMA team leaders, prospective team leaders from the regional offices (ROs) and all technical staff of MO. These sessions are designed to keep ICAO staff involved in USOAP CMA activities abreast of the latest updates and improvements in the programme methodology, processes and tools, for the purpose of ensuring uniformity.

4.5 The *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) will be amended to reflect and support the evolution of the USOAP CMA and, in particular, the new types of validation activities introduced, the roll-out of the designee programme and potential recommendations of the GEUSR.

4.6 It is expected that the GEUSR will finalize its recommendations at its third meeting scheduled in February 2018 and these will then be presented to Council during its 214th Session.

5. ACTION BY THE MEETING

5.1 The Meeting is invited to approve the following draft Conclusion:

DRAFT CONCLUSION – ICAO USOAP CMA IMPLEMENTATION

That States are urged to fulfil their obligations under the USOAP CMA Memorandum of Understanding (MOU) and to take actions as needed to provide up-to-date information on their safety oversight systems, with particular attention to:

- a) States with an SSC, focus on implementing sustainable corrective and immediate mitigation actions to resolve the SSC with a high priority;
- b) finalise draft and submit the Corrective Action Plans (CAPs) on the On-line Framework (OLF), informing the ICAO Regional Office when complete and ready for review;
- c) complete the compliance checklist/EFOD and update the SAAQ;
- d) implement the CAPs and complete the self-assessment of the PQs on the OLF, including uploading the evidence documents, to report the progress on the OLF, informing the ICAO Regional Office when complete and ready for validation; and
- e) request assistance from the ICAO Regional Office and COSCAP, if required.
