

**15th STEERING COMMITTEE MEETING
PROGRESS REPORT ON THE IMPLEMENTATION OF THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT
PROGRAMME CONTINUOUS MONITORING APPROACH
(USOAP CMA)
Discussion Paper 7**

(Presented by the ICAO Montreal)

SUMMARY

The purpose of this discussion paper is to address the current and forthcoming activities of the Universal Safety Oversight Audit Programme (USOAP) and COSCAP-NA support to Members. COSCAP-NA will continue to provide regular updates to Members on developments concerning the ICAO USOAP/Continuous Monitoring Approach (CMA) programme. COSCAP-NA Member States progress on the implementation of their respective Corrective Action Plans (CAPs) and Self-assessments is depicted in Appendix C.

1. INTRODUCTION

The Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) was introduced over a two-year transition period, from 2011 to 2012, and achieved 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.

1.2 This information paper provides a progress report on the implementation and activities of the USOAP CMA, highlighting the achieved milestones, conducted activities, and improvements made in 2014, as well as planned activities and developments for 2015.

2. USOAP MILESTONES IN 2014

2.1 Significant progress was made in all areas of USOAP CMA and activities were conducted as scheduled. Specific milestones achieved in 2014 are outlined below.

2.2 The USOAP CMA online framework (OLF) continued to be the main platform for the conduct and tracking of CMA activities in an interactive and 'real time' format. The online framework allows ICAO to continuously monitor, evaluate and report States' safety-related information and documentation. It also provides a centralized database for the effective management of data collected under the USOAP CMA. Various tools within the online framework were enhanced and improved. States successfully used the online framework (<http://www.icao.int/usoap>) to update their information and to prepare for upcoming USOAP CMA activities.

2.3 The USOAP CMA protocol questions (PQs) were amended to reflect the latest changes in ICAO provisions and Annexes to the Convention and to improve PQ content and references. The 2014



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amendments also include new PQs related to the provisions of Annex 19 — *Safety Management*. The amended set of PQs is published on the online framework and is applicable as of 1 January 2015. States with an effective implementation (EI) rate above 60 per cent are required to conduct self-assessment on new or amended PQs on the provisions of Annex 19. These States are also encouraged to perform a State Safety Programme (SSP) gap analysis using the online tool provided by ICAO on iSTARS/SPACE (<http://portal.icao.int> – group name SPACE). Other States will be encouraged to do so as their SSPs gradually mature. The new PQs on Annex 19 will become applicable for audits as of 1 January 2016. USOAP CMA PQs will be amended periodically based on amendments made to the Annexes to the Convention, ICAO SARPs and guidance material.

2.4 During 2014, a new type of activity, i.e. off-site validation, was formally launched after a test period in 2013. The objective of an off-site validation activity is to assess and validate corrective action plans (CAPs) implemented by a State to address certain eligible findings without conducting an on-site activity, i.e. a USOAP CMA audit or an ICAO Coordinated Validation Mission (ICVM). Further details related to off-site validation activities are outlined in the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735), Sections 3.2.5, 7.5, 7.6, 7.7 and 7.8.

2.5 The process of mandatory information requests (MIRs) was activated in 2014. ICAO issues a MIR to a State to request information or documentation needed for USOAP CMA review and validation. If the State does not respond to the MIR with complete, relevant and timely information, ICAO may generate a finding or even a significant safety concern (SSC). Further information on the issuance of MIRs is outlined in Doc 9735, Section 2.11.

2.6 The sharing of unresolved SSCs with the public, which was approved by the Council (C-DEC 197/4) and endorsed by the Assembly (38th Session, Montréal, 24 September – 4 October 2013; *Technical Commission Report*, Doc 10028), started in January 2014 after a trial run in 2013. Unresolved SSCs are now being posted on the ICAO public website (<http://www.icao.int/safety/Pages/USOAP-Results.aspx>).

2.7 The fourth edition of Doc 9735 was published. It includes new material on the evolution of USOAP CMA and related activities, significant improvements and updates on the concept and methodology of USOAP CMA and details about the interaction between ICAO Headquarters and the regional offices in relation to USOAP CMA.

2.8 A new module for the USOAP CMA computer-based training (CBT) was developed, tested and fully launched for the personnel licensing and training (PEL) audit area. In addition, two more modules were developed in the audit areas of primary aviation legislation and civil aviation regulations (LEG) and civil aviation organization (ORG) for full launch in January 2015.

2.9 The USOAP CMA quality management system (QMS) went through a full-system re-certification audit in September 2014 to ensure its on-going compliance with the ISO 9001:2008 standard for quality management systems. The re-certification 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. As part of the QMS, guidance material and documentation supporting CMA processes and activities were developed and/or updated in order to define and standardize tasks performed by USOAP CMA auditors and subject



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matter experts. 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 2014 indicate an overall satisfaction rate of 87 per cent.

3. USOAP CMA ACTIVITIES IN 2014

3.1 Appendix A outlines USOAP CMA activities conducted during 2014 including USOAP CMA audits, ICVMs, off-site validations, MIRs and training. The CMA Activity Plan, which is issued as an Electronic Bulletin and posted on ICAO-NET twice a year, lists the conducted activities.

3.2 The graphs in Appendix B outline some of the improvements in States' results that have been achieved through USOAP CMA activities.

3.3 As of 31 December 2014, a total of fifty-three SSCs had been identified in thirty-two States under the USOAP since 2006. Of these, nine SSCs were resolved by immediate action (within fifteen days) and thirty SSCs were resolved through corrective actions taken by the concerned States. There are currently fifteen unresolved SSCs, involving thirteen States (two States have more than one unresolved SSC).

4. USOAP CMA ACTIVITIES AND IMPROVEMENTS PLANNED FOR 2015

4.1 State activities will be continuously monitored through the CMA online framework. 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 Doc 9735, Sections 3.6 and 4.7.

4.2 In line with the approved budget and available resources, USOAP CMA activities planned for 2015 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, with two seminar/workshops already confirmed for 2015. The CMA Activity Plan also lists planned activities (see 3.1 above).

4.3 ICAO is also considering another mechanism to assist States in improving their EI rates. ICAO will identify the States that have effectively resolved their safety deficiencies and fulfilled the requirements of certain USOAP CMA PQs by implementing processes and procedures that ICAO may deem as best practices. If these States agree, ICAO will highlight and share these best practices with other States through the online framework.

4.4 ICAO will develop and implement a plan to prepare and train USOAP CMA auditors and subject matter experts to address the safety management requirements reflected in the new PQs (see 2.3 above). ICAO will also determine the budgetary and logistics implications of adding safety management auditors and subject matter experts to USOAP CMA activity teams and ensure that this is reflected in the next budget cycle.



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5. ACTION BY THE MEETING

5.1 The Steering Committee is invited to urge China to update its CAP implementation progress information on the On-Line Framework (OLF), and encourage China, Democratic People's Republic of Korea, and Mongolia to complete its PQ self-assessments on the OLF, as stipulated in the Memoranda of Understanding on USOAP CMA.

The table below provides more detail on USOAP CMA activities and developments during 2014.

Activity	Planned/Conducted	Comments
1. On-site CMA Activities		
<p>1.1</p>	<p><i>USOAP CMA Audits</i></p> <p>Determining States’ capabilities for safety oversight by assessing the effective implementation of all safety-relevant ICAO SARPs, associated procedures, guidance material and best safety practices.</p>	<p>Eleven audits were scheduled for 2014.</p> <p>Of these, five audits were conducted in: Egypt, Indonesia, Peru, Russian Federation and Seychelles.</p>
<p>The following audits were postponed:</p> <ul style="list-style-type: none"> • Azerbaijan – administrative reasons; MOU to be resigned • Cambodia – organizational changes • Kiribati – MOU not signed by State • Libya – organizational changes • Panama – elections; organizational changes • Thailand – high UN security level <p>Audit results are available on the USOAP CMA online framework at: http://www.icao.int/usoap</p>		
<p>1.2</p>	<p><i>ICAO Coordinated Validation Missions (ICVMs)</i></p> <p>Assessing the status of corrective actions taken by the State to address previously identified findings and determining whether the State has satisfactorily resolved deficiencies, including any SSCs.</p>	<p>Fifteen ICVMs were scheduled and conducted in 2014 across all ICAO regions in: Belize, Côte d’Ivoire, Israel, Kazakhstan, Maldives, Mauritania, Morocco, Mozambique, Namibia, Republic of Moldova, Saudi Arabia, Sierra Leone, Uganda, United Arab Emirates and Uruguay.</p>
<p>The overall EI for the fifteen States increased from 53 per cent to 67 per cent.</p> <p>States consider ICVMs a form of ICAO assistance that provides guidance and advice on implementation of their corrective actions.</p> <p>ICVM results are available on the USOAP CMA online framework at: http://www.icao.int/usoap</p>		

Activity	Planned/Conducted	Comments	
2. Off-site Validation Activities			
2.1	<p><i>Off-site Validation Activities</i></p> <p>Assessing and validating corrective action plans (CAPs) implemented by a State to address certain eligible findings without conducting an on-site activity, i.e. an audit or ICVM.</p>	<p>Five off-site validation activities were planned for 2014.</p> <p>By the end of 2014, sixteen off-site validations were conducted in: Albania, Benin, Burkina Faso, Cambodia, Côte d'Ivoire (two activities), Guatemala, Guinea, Madagascar, Mali, Mauritania, Portugal (two activities), Senegal, Sudan and United Arab Emirates.</p>	<p>Off-site validation activities were beta tested in 2013 and fully launched in 2014.</p>
2.2	<p><i>Mandatory Information Requests (MIRs)</i></p> <p>Requesting information or documentation needed for USOAP CMA review and validation.</p>	<p>In 2014, MIRs were issued to ten States.</p> <p>Of these, two MIRs resulted in PQ findings, two were closed without a change in the PQ status and six remain open and in progress.</p>	<p>The process for issuing MIRs was developed in 2013 and fully launched in 2014.</p>
3. Training			
3.1	<p><i>Training of Auditor and Subject Matter Expert Nominees</i></p> <p>Prepare aviation experts from States or recognized international organizations as nominees as a prerequisite to be nominated and further trained as auditors and subject matter experts to conduct USOAP CMA audits and ICVMs.</p>	<p>Forty-four nominees for training of auditors and subject matter experts took the USOAP CMA CBT in 2014.</p> <p>As of December 2014 and since the launch of the CBT in 2011, 264 participants from forty-nine States and five international organizations have taken the CBT as a prerequisite for USOAP auditor and/or ICVM subject matter expert training.</p> <p>There are a total of sixty-six USOAP auditors and eighty-six ICVM experts on the USOAP CMA roster.</p>	<p>States and recognized organizations are called upon to nominate experts for secondment to ICAO on a long- or short-term basis in support of the USOAP CMA, either as auditors or as subject matter experts.</p> <p>During 2014, France, Malaysia, Republic of Korea and Singapore provided long-term secondments to support the USOAP CMA.</p>

	Activity	Planned/Conducted	Comments
3.2	<p><i>Familiarization Training for State Employees</i></p> <p>Provide training for National Continuous Monitoring Coordinators (NCMCs) and familiarize States' safety oversight employees with USOAP CMA methodology and activities.</p>	<p>Sixty participants took the USOAP CMA CBT as NCMC and familiarization training in 2014.</p> <p>As of December 2014 and since the launch of the CBT in 2011, 330 participants from seventy-three States and eight international organizations have taken the CBT for NCMC and familiarization training.</p>	<p>NCMC and familiarization training allows States to enhance the knowledge and competency of their aviation safety personnel regarding USOAP CMA, particularly to prepare for an upcoming USOAP CMA activity.</p>
3.3	<p><i>Seminars/ Workshops</i></p> <p>Assist States in their participation in USOAP CMA and, particularly, preparation for an upcoming USOAP CMA activity.</p>	<p>Twelve seminar/workshops were conducted with 282 participants from forty-one States and seven international organizations.</p> <p>Six seminar/workshops were budgeted and planned by ICAO and conducted in: ICAO HQ – Montréal (4 seminar/workshops); APAC region hosted by Indonesia; ESAF region hosted by the ICAO ESAF Regional Office in Nairobi, Kenya.</p> <p>Six seminar/workshops were conducted on a cost-recovery basis in: Cabo Verde, Colombia, Portugal, Sudan, United Republic of Tanzania and Zambia.</p>	<p>USOAP CMA seminar/workshops were conducted in all ICAO regions.</p> <p>In the case of the Cabo Verde and Portugal cost-recovery seminar/workshops, a few other States were also invited to participate.</p>

Global and Regional Effective Implementation by Audit Area and CE

The graphs below outline the USOAP CMA average level of Effective Implementation (EI), globally and for the COSCAP-NA States, by audit area and by critical element (CE), as of 13 April 2015.

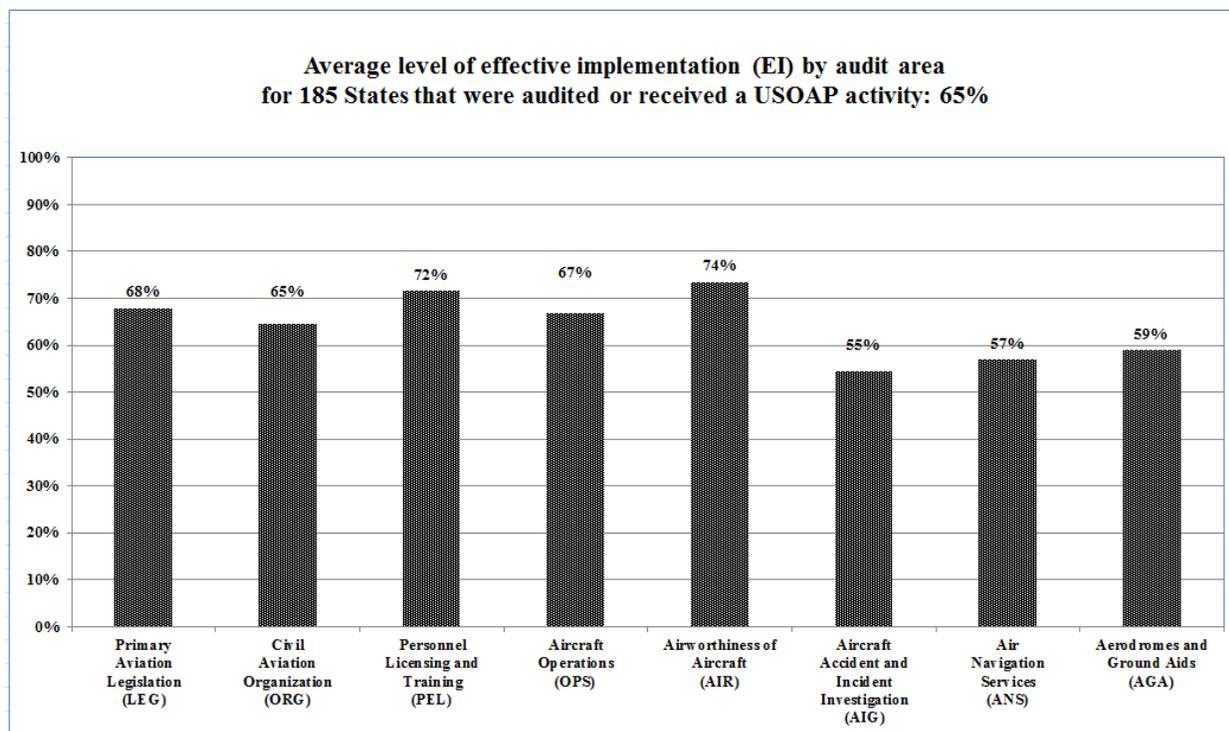


Figure B-1. Average global level of effective implementation (EI) by audit area

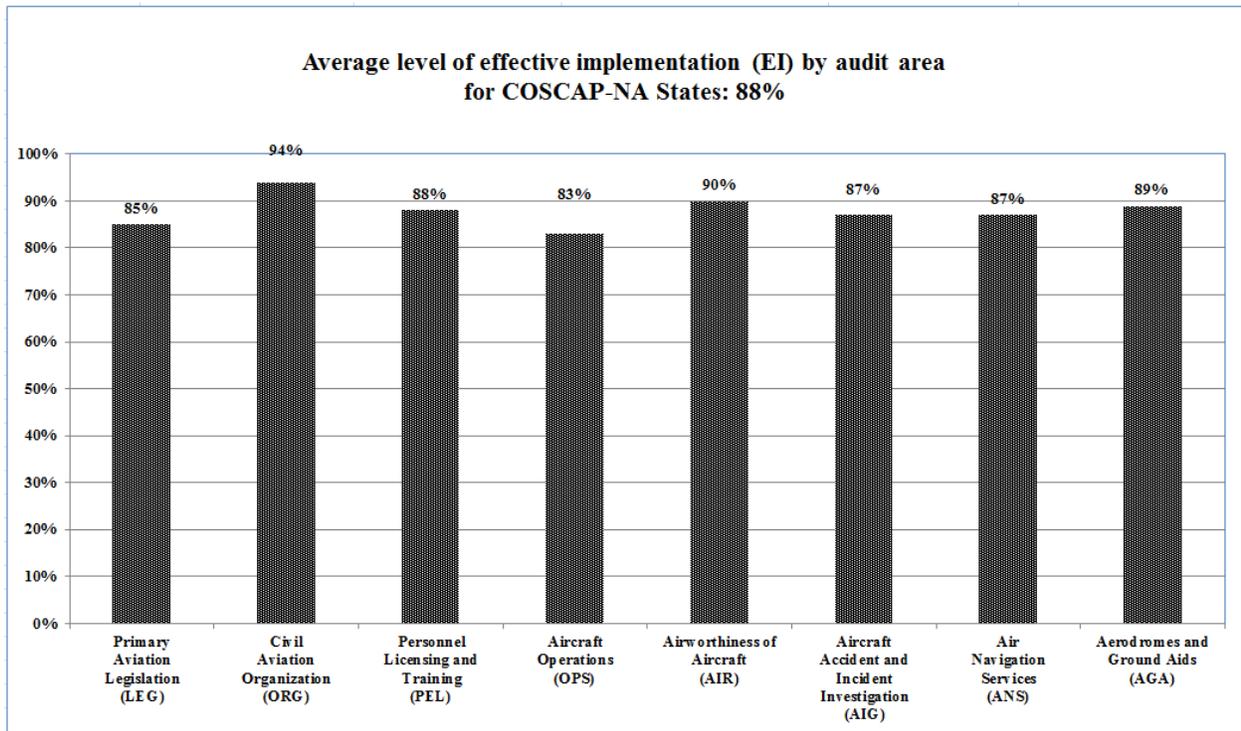


Figure B-2. Average level of effective implementation (EI) by audit area for COSCAP-NA States

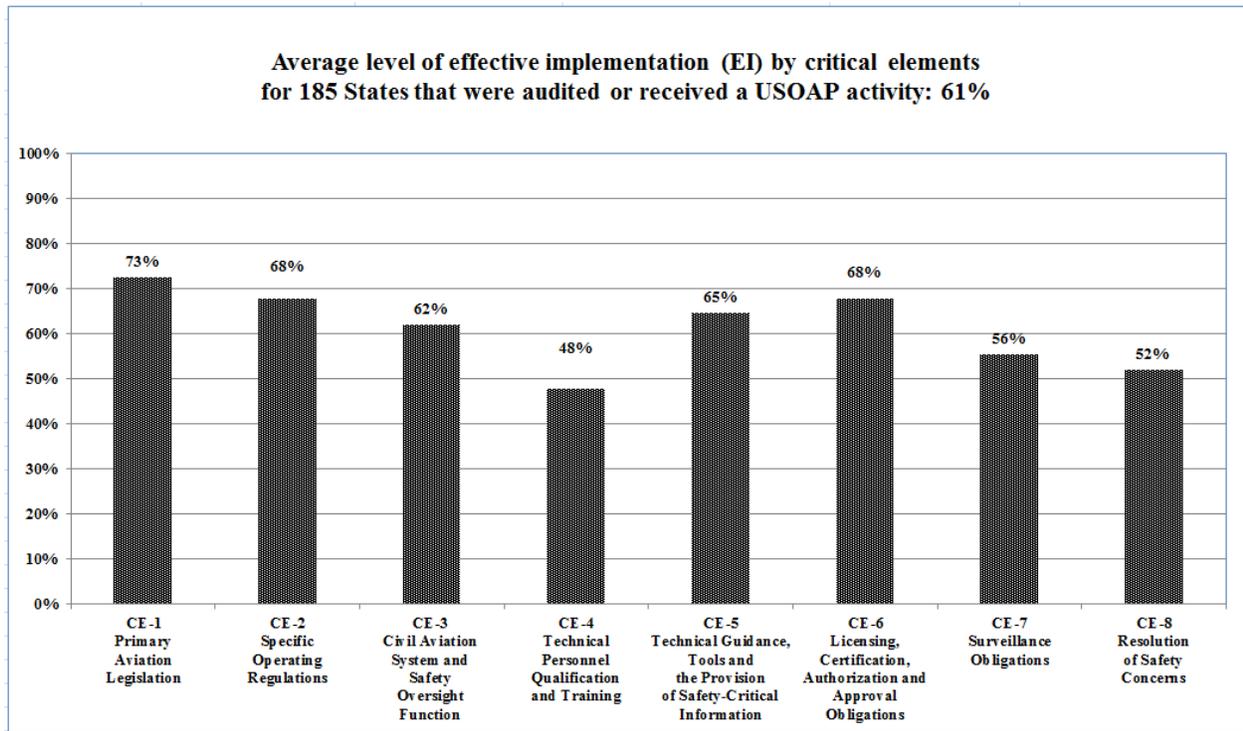


Figure B-3. Average global level of effective implementation (EI) by CE

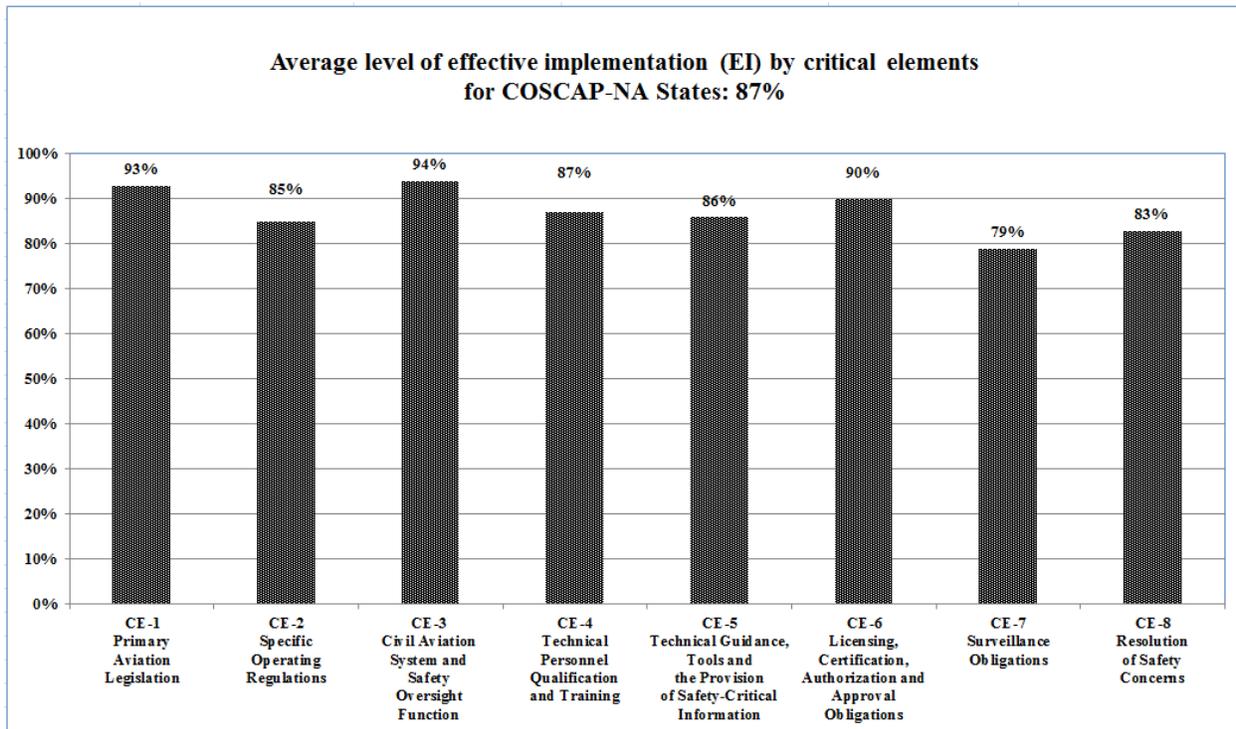


Figure B-4. Average level of effective implementation (EI) by CE for COSCAP-NA States

Progress in CAP Implementation and Self-assessments

The graph in figure C-1 below outlines the level of implementation of Corrective Action Plans (CAPs) across ICAO regional office accreditation areas, as reported by States on the CMA Online Framework.

The graph in figure C-2 shows the level of progress made by COSCAP-NA States in completing the protocol question (PQ) self-assessment on the CMA Online Framework. Currently, China, the Democratic People’s Republic of Korea and Mongolia have not started self-assessment; the Republic of Korea has completed 79% of its self-assessment.

The data is reported as of 13 April 2015.

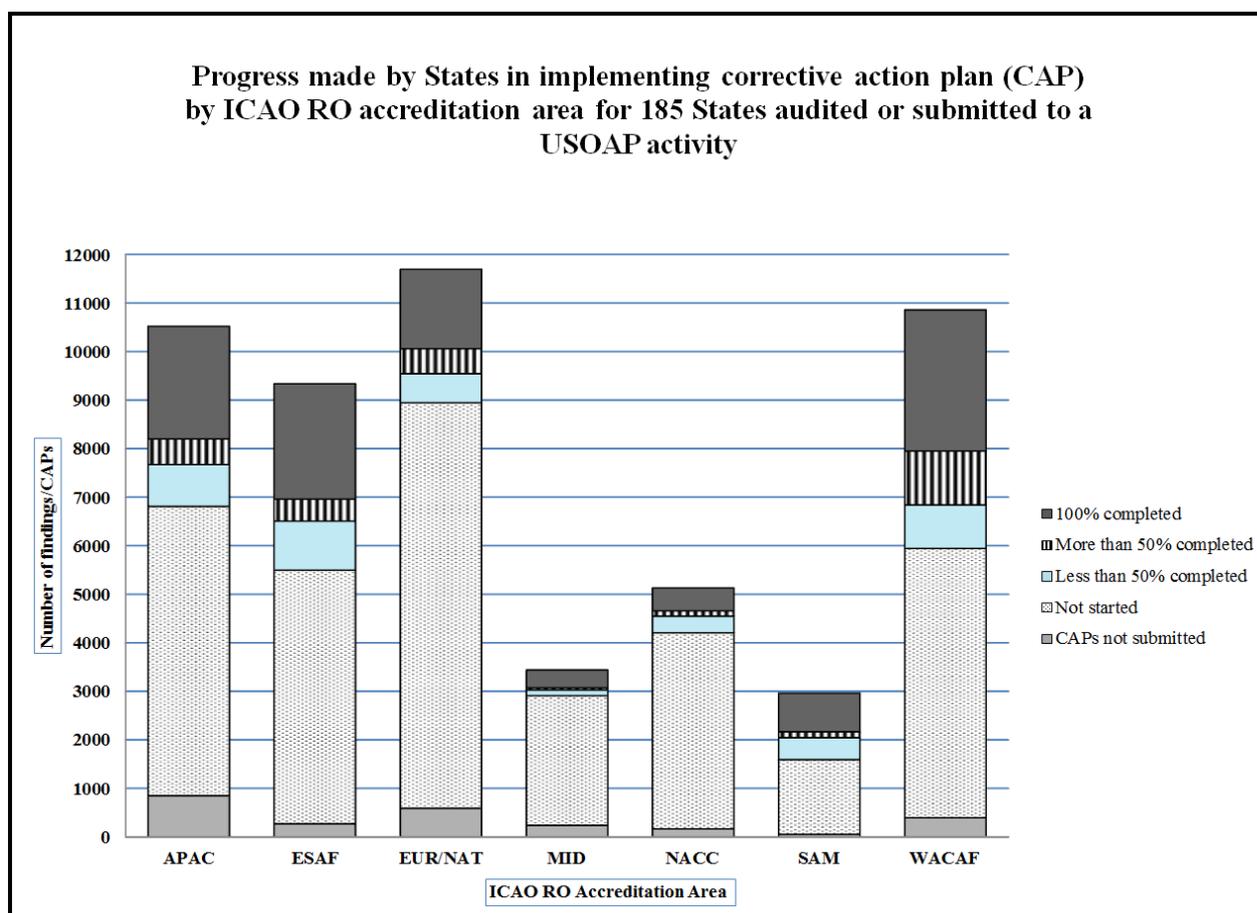


Figure C-1. Progress made by States in implementing corrective action plans (CAPs)

by ICAO RO accreditation areas for 185 States that were audited or received a USOAP activity (as reported by States on the CMA Online Framework)

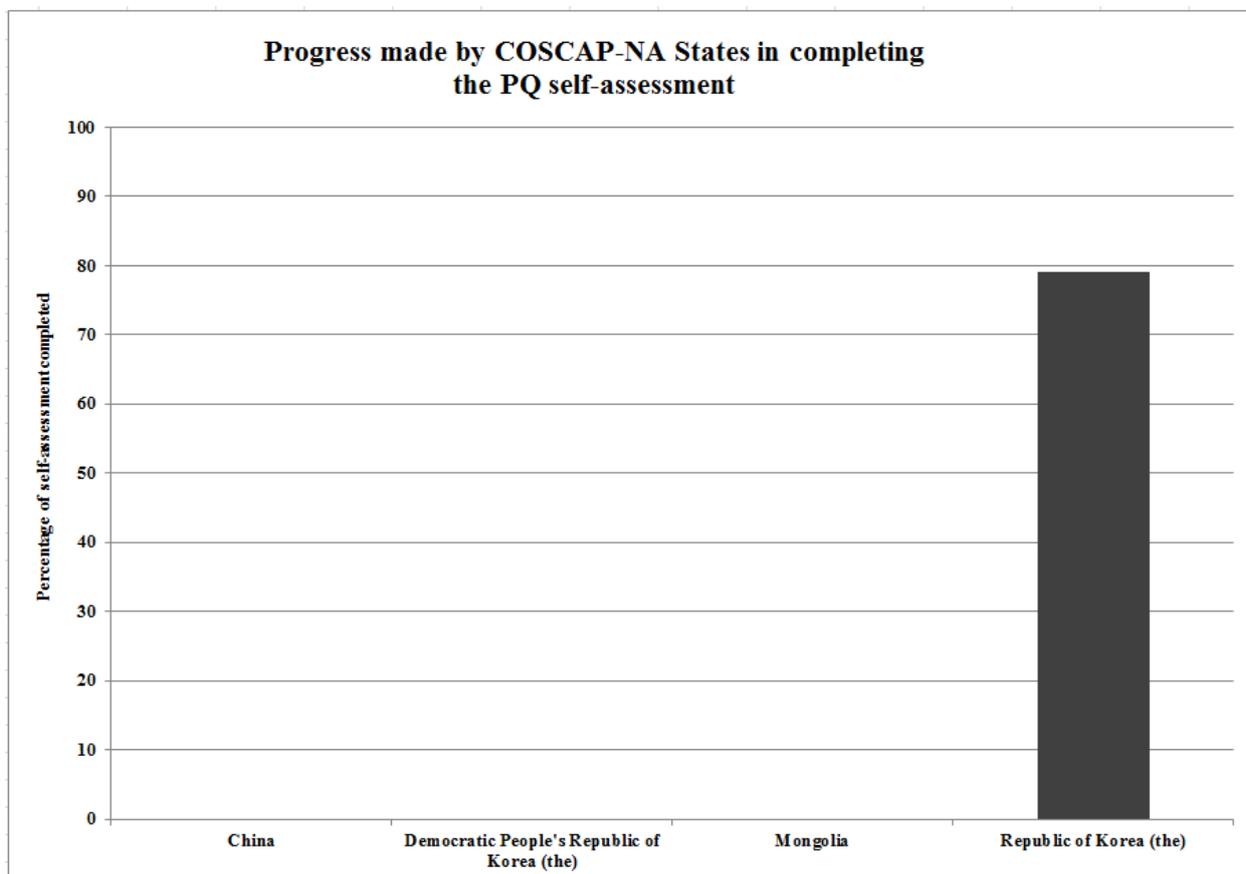


Figure C-2. Progress made by COSCAP-NA States in completing the PQ self-assessment (as reported by States on the CMA Online Framework)

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