International Civil Aviation Organization
North American, Central American and Caribbean Office (NACC)
Thirteenth Meeting of Directors of Civil Aviation of the Central Caribbean (C/CAR/DCA/13)
Havana, Cuba, 28 - 31 May 2013

Agenda Item 4:   **Aviation Safety Matters**

4.1   **ICAO Universal Safety Oversight Audit Programme (USOAP) – Continuous Monitoring Approach (CMA)**

THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) - CONTINUOUS MONITORING APPROACH (CMA)

(Presented by the Secretariat)

SUMMARY
This working paper presents the progress of the activities for the implementation of the ICAO Universal Safety Oversight Audit Programme with a Continuous Monitoring Approach (USOAP CMA).   It also presents updated information on the Lack of Effective Implementation (LEI) for NAM/CAR States, available on the ICAO Integrated Safety Trend Analysis and Reporting System (iSTARS) as a result of USOAP – CMA activities.

References:

- Doc 9958 - 37th *Assembly Resolutions in Force* (28 September - 2 October 2010)
- Doc 9734 - *Safety Oversight Manual*, Part A - The Establishment and Management of a State's Safety Oversight System
- Doc 9735 - *Universal Safety Oversight Audit Programme Continuous Monitoring Manual*
- Electronic Bulletin EB 2011/44 - *ICAO Computer Based Training (CBT) in USOAP CMA Activities*
- Electronic Bulletin EB – 2012/25 - *Developing/Updating Corrective Action Plans (CAPs) Effectively*
- Electronic Bulletin EB 2012/63 – *Implementation of the ICAO Universal Safety Oversight Audit Programme – Activity Plan*
- Electronic Bulletin EB 2012/68 - *Full launch of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach as of 1 January 2013*
- State Letter *EMX057* – ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Regional Seminar/Workshop

STRATEGIC OBJECTIVE	*This working paper is related to Strategic Objective* A. Safety – Enhance global civil aviation safety.

1. Introduction

1.1 In line with Resolution A37-5 adopted at the 37th Session of the Assembly, ICAO and member States have continued the Universal Safety Oversight Audit Programme (USOAP) evolution activities to a Continuous Monitoring Approach (CMA) as a maximum priority to provide information on safety performance of States to other member States and the traveling public in a continuous manner. The objective of USOAP-CMA is to promote global safety through the observance of the continuous monitoring of State's safety oversight capability.

1.2 The USOAP-CMA entered into force on 1 January 2013, in accordance with the calendar approved by the Council in the 4th session of its 197th Sessions, on 5th November 2012.

1.3 The ICAO USOAP-CMA allows identification of deficiencies and encourages States to develop and implement corrective actions to improve their safety oversight system, which should result in lower exposure to risk. The transition to the CMA represents a flexible, long-term cost-effective and sustainable method of identifying safety deficiencies, assessing associated risks, developing assistance strategies and prioritizing improvements.

2. Discussion

2.1 The NAM/CAR Regions States have signed a new Memorandum of Understanding (MoU) with ICAO, and have designated their National Continuous Monitoring Coordinator (NCMC). It is expected that all States name a substitute NCMC, in case the former is not on duty or available, is no longer part of the civil aviation authority, or that has been assigned to different duties.

2.2 The activity plan includes audits under the Comprehensive Systems Approach (CSA) framework, ICAO Coordinated Validation Missions (ICVMs) and regional theoretical and practical seminars. The CSA and limited CSA audits will focus on States that require these missions. The activities plan and the half yearly updates will be published on the CMA online portal: http://www.icao.int/usoap.

2.3 States interested in receiving an ICVM that are not listed under candidate States may ask for a cost-recovery mission by submitting such a request in writing to the Secretary General. The ICVMs document the progress achieved and collect evidence that validates the corrective actions taken by States to resolve the previously identified Findings and Recommendations (F&R), including the Safety Significant Concerns (SSCs).

2.4 Candidate States for an ICVM are selected based on an analysis of safety risk factors, as well as previous audit results, the progress made by States in resolving USOAP detected deficiencies and the level of traffic in the State.

2.5 In line with the activities programme of the USOAP-CMA, seven ICVM missions have been completed in the CAR Region; in Bahamas (May - June 2011), Costa Rica (February 2012), Mexico (May 2012), Honduras (November 2012), Jamaica (December 2012). Organization of Eastern Caribbean States – (OECS) (February 2013) and Barbados (April 2013). Other ICVM missions have been scheduled for 2013; in Belize (23-29 October 2013) and Bahamas (November/December 2013). In December 2012 a CSA audit was completed in Haiti.

2.6   Team members from the CMO section at ICAO HQ and the ICAO NACC Regional Office attend all activities. The participation of ACSA has provided great support to Costa Rica and Honduras ICVMs. It is expected that CASSOS will provide their support to ICVMs in the C/CAR.

2.7   During 2011 and 2012, the ICAO NACC Regional Office organized three Regional NCMC Seminars/Workshops for the NAM/CAR Regions on the implementation of CMA and State Aviation Safety Tools (SAST), in Mexico City, Mexico, (12 - 16 de September 2011), in San José, Costa Rica, (28 February – 2 March 2012), and in Antigua and Barbuda (July 2012).

Electronic Tools

2.8   During the transition to the CMA, certain services and functions of the Integrated Safety Trend Analysis and Reporting System (iSTARS) were disabled and migrated to the new CMA online framework. The iSTARS electronic tools for the CMA activities have been redesigned and are available for interactive use in "real time" in the CMA online framework of USOAP, which can be accessed in: http://www.icao.int/usoap, thanks to a set of integrated web applications.

2.9   In December 2012, data from the Corrective Action Plans (CAPs) of the member States was transferred by ICAO from iSTARS to the CMA online framework. Starting 1 January 2013, the CAP updates are made in the CMA online framework. Guidance related to the CAP updates can be found in the CMA online framework under the name *"Tutorials & Help"* at http://www.icao.int/usoap.

2.10   The Protocol Questions (PQ) of the USOAP CMA have been revised in accordance with the most recent amendments of the Annexes. The PQ applicable to the USOAP CMA activities will be available online on 1 May 2013. The revised PQs can be found in the CMA online framework under the title *"CMA Library"*.

2.11   For further information concerning recent developments related to CMA from USOAP, guidance texts can be found in *"Tutorials & Help"*, including Frequently Asked Questions (FAQ), help files and videos on how to use the online framework.

2.12   The ICAO NACC Regional Office has provided assistance to the NCMCs to update the information using the online electronic tools. To support this need, a Regional Seminar of the USOAP CMA was held at on the ICAO NACC Regional Office from 14 to 16 May 2013 to provide the participants updated CMA information from USOAP and hands-on instruction on the CMA online framework.

2.13   During the USOAP CMA activities, it has been observed that many States have not established a satisfactory safety oversight system and/or an incident investigation system. The **Appendix** to this working paper shows the Lack of Effective Implementation (LEI) information from iSTARS for States of the NAM/CAR Regions.

2.14   It should be noted that the average of effective implementation was increased due to improvements in the safety oversight system achieved by States that received an ICVM. The LEI associated with Critical Element Four (CE4), *qualification and training of technical staff*, is the top issue affecting the effective implementation percentage. The analysis of the graphics shows that the main areas needing improvement are as follows:

ORG   reorganization/CAA structure in line with new needs, lack of inspectors and a calculation method of the staff needed.
ANS   lack of regulations and procedures, staff, SMS and training.
AGA   lack of inspectors, procedures, certification, SMS and training.
AIG   lack of autonomy, protection regulations to the AIG information and procedures.

2.15   Based on the results of the 37th Session of the Assembly, ICAO reviews the criteria to share the Significant Safety Concern (SSC) information with member States and the traveling public in a continuous manner in order to improve decision making regarding the safety of air transport (Resolution A37-5, Clause 5). Currently general information regarding the level of effective implementation of the States related to the USOAP/CMA is available on the ICAO website. At this site the following legend is included:

> **“*Safety Audit Information***
> *This information has been updated and relocated from the* **ICAO Flight Safety Information Exchange (FSIX)** *website. You can use the search box to find a State and then compare the result of its last USOAP CMA activity with the global average or any other State on the list. The Level of Implementation of each Audit Area is rated from 0 to 10, with* **0** *being "**Not Implemented**" and* **10** *being "**Fully Implemented**".”*

> ***Regional Safety Oversight Organization (RSOO)***

2.16   The establishment of a regional/sub regional safety oversight organization offers significant value in terms of capability and self-sufficiency in the long term, based on a cost-benefit analysis. To that end, the States should also analyze and clearly define the roles and functions between the national systems of the States and a regional safety oversight organization, in terms of:

- mutual recognition,
- technical assistance to strengthen the capacity,
- strengthen the regulatory framework, and
- standard harmonization.

2.17   An RSOO could assist member States in the State Safety Programme (SSP) implementation and investigation of accidents and incidents processes. The greatest benefits could be found in the economic savings in the establishment of the collection and safeguarding processes of a safety library.

2.18   Considering the experience in Costa Rica and Honduras regarding ACSA assistance, the C/CAR States could seek the support of CASSOS to identify the common improvement opportunities of the USOAP CMA, review their strengths and weaknesses, as well as the trends and resources to arrange other sustainable activities in common agreement.
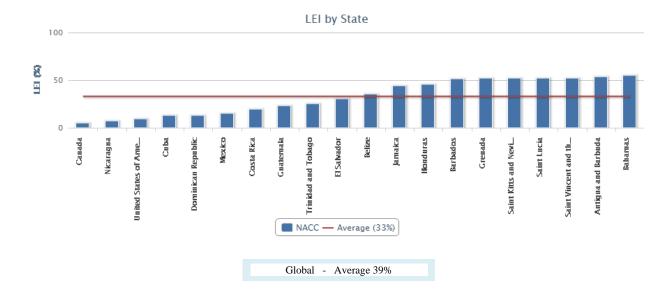
3.   Suggested Action

3.1   The Meeting is invited to urge C/CAR States to:

   a)   take note of the activities achieved in the USOAP CMA transition plan;

   b)   support the completion of ICAO USOAP activities with a focus on Continuous Monitoring Approach (CMA);

   c)   nominate their alternate National Continuous Monitoring Coordinator (NCMC), if not already done so;

   d)   take appropriate actions to improve areas as described in paragraph 2.14;

   e)   encourage Bahamas to be prepared to receive the ICAO Coordinated Validation Mission (ICVM), in accordance with the activities programme of Electronic Bulletin EB 2012/63; and
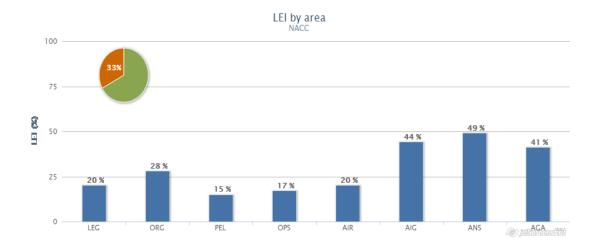
   f)   take other actions as necessary.

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APPENDIX

LEI BY STATE AND AUDIT AREA

State	LEI	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
Antigua and Barbuda	53.11	25.00	41.67	17.50	9.77	26.89	75.26	87.37	77.27
Bahamas	54.51	42.31	72.73	26.87	25.00	21.78	34.02	77.45	97.99
Barbados	51.20	35.71	36.36	35.62	57.14	46.08	53.06	58.91	49.31
Belize	34.56	37.93	28.57	26.32	35.38	29.73	66.67	27.86	29.49
Canada	4.79	7.14	6.25	3.26	10.79	3.19	8.33	3.92	1.14
Costa Rica	19.32	14.29	15.38	19.51	23.70	19.64	14.43	12.00	29.14
Cuba	12.87	7.14	0.00	0.00	18.98	24.76	16.49	4.48	16.48
Dominican Republic	13.32	7.14	0.00	5.56	20.80	25.74	9.38	10.05	12.50
El Salvador	30.42	11.11	8.33	12.50	11.68	9.91	14.58	68.34	37.33
Grenada	52.15	25.00	41.67	15.56	9.42	26.89	75.26	87.37	77.27
Guatemala	22.82	14.81	7.14	1.14	5.80	12.50	34.02	46.23	23.49
Honduras	44.96	31.03	81.82	29.11	40.74	24.76	60.42	59.31	41.94
Jamaica	44.24	25.93	30.77	7.14	8.03	24.07	83.51	79.02	44.16
Mexico	15.32	10.71	21.43	4.17	3.60	5.13	18.37	29.21	21.38
Nicaragua	7.37	6.90	0.00	5.88	5.88	7.62	8.33	9.45	6.45
Saint Kitts and Nevis	52.15	25.00	41.67	15.56	9.42	26.89	75.26	87.37	77.27
Saint Lucia	52.15	25.00	41.67	15.56	9.42	26.89	75.26	87.37	77.27
Saint Vincent and the Grenadines	52.15	25.00	41.67	15.56	9.42	26.89	75.26	87.37	77.27
Trinidad and Tobago	25.34	10.34	33.33	22.67	11.59	5.71	64.95	35.29	16.11
United States of America	8.86	21.43	0.00	8.24	5.11	3.06	17.35	16.42	3.64

LEI by State

Global - Average 39%

LEI by area
NACC

— END —