International Civil Aviation Organization
North American, Central American and Caribbean Office (NACC)
Twenty-fifth Meeting of Directors of Civil Aviation of the Eastern Caribbean (E/CAR/DCA/25)
St. John's, Antigua and Barbuda, 3–5 December 2013

Agenda Item 4:   **Aviation Safety Matters**
     4.2   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 current information of the ICAO Universal Safety Oversight Audit Programme activities with a Continuous Monitoring Approach (USOAP CMA).
It also presents updated information of the new USOAP – CMA online framework.

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* • Electronic Bulletin EB 2013/31 – *Implementation of the ICAO Universal Safety Oversight Audit Programme – Activity Plan 2014* • Electronic Bulletin EB 2012/68 - *Full Launch of the Universal Safety Oversight Programme Continuous Monitoring Approach as of 1 January 2013*

Strategic Objective	*This working paper is related to Strategic Objective:* *A. Safety – Enhance Global Civil Aviation Safety*

1.   Introduction

1.1   The 37th Session of the ICAO Assembly adopted Resolution A37-5, which directs and ensures the evolution of the USOAP to USOAP-CMA as a highest priority for ICAO, and that information on safety performance of Member States will be shared with other Member States and the traveling public in a continuous manner. The objective of USOAP-CMA is to promote global safety through the continuous monitoring of State safety oversight capability.

1.2   The ICAO USOAP-CMA entered in force on 1 January 2013.

2.   Discussion

2.1   States of the NAM/CAR Regions 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.

2.2   The activities plan includes audits under the Comprehensive Systems Approach (CSA), ICAO Coordinated Validation Missions (ICVMs) and regional seminars. The CSA and CSA limited audits will focus on the States that require these missions. The activity plan and updates are published every six months on the CMA online system: http://www.icao.int/usoap.

2.3   States interested in receiving an ICVM in 2014 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 ICVM documents the progress and collects evidence that validates the status of the corrective actions taken by the States to resolve previously identified Findings and Recommendations (F&R), including Safety Significant Concerns (SSCs).

2.4   Candidate ICVM States are selected based on an analysis of safety risk factors as well as results from previous audits, the progress made to resolve detected USOAP deficiencies and the level of traffic in the State.

2.5   In accordance with the USOAP-CMA activities programme, ICVM missions have been completed in Bahamas (May - June 2011); Costa Rica (February 2012); Mexico (May 2012); Honduras (November 2012); Jamaica (December 2012); Organization of Eastern Caribbean States (OECS) (20 February - 1 March 2013); and Barbados (17-23 April 2013). An ICVM mission has been programmed for Bahamas (11-17 December 2013). A CSA audit was completed in Haiti in December 2012. Other ICVMs have been scheduled in Belize (4-11 February 2014) and Guatemala (4-12 March 2014).

2.6   The ICAO NACC Regional Office organized Regional Seminars/Workshops for the NAM/CAR Regions on CMA implementation and State Aviation Safety Tools (SASTs) in Mexico City, Mexico, 12 - 16 de September 2011; San José, Costa Rica, 28 February – 2 March 2012; Antigua and Barbuda, July 2012; and in Mexico City, Mexico, 14 to 16 May 2013; on the electronic tools of the new CMA online framework, which can be accessed at http://www.icao.int/usoap.

2.7   Team members from the CMO Section from ICAO Headquarters and the ICAO NACC Regional Office attend all activities.

2.8   Since 1 January 2013, CMA electronic tools have been redesigned and are now available in "real time" through the CMA online framework. Certain services and functions of the Integrated Safety Trend Analysis and Reporting System (iSTARS) in regard to the CMA activities were deactivated because of their migration to the new CMA online framework.

2.9   Member States are now able to update their Corrective Action Plan (CAP) using the USOAP-CMA online framework. The Protocol Questions (PQs) have been revised in accordance with the most recent Annex amendments and can be seen in the CMA online framework under the title *"CMA Library."*

2.10   Further information on guidance texts related to the CAP updates, Frequently Asked Questions (FAQ), help files and videos on how to use the online framework can be found in *"Tutorials & Help"* at http://www.icao.int/usoap.

2.11   In accordance with Annex 19, paragraph 3.2, requiring implementation of States Safety Oversight System, it has been noted that many States have not established a satisfactory oversight system. The **Appendix** to this working paper shows the Lack of Effective Implementation (LEI) information from the CMA online framework for States of the NAM/CAR Regions.

2.12   It should be noted that the effective implementation average was increased due to improvements in the safety oversight system achieved by States who received an ICVM. The LEI associated with Critical Element 4 (CE4), *Qualifications and Training of Technical Staff*, is the top issue affecting the effective implementation percentage. The analysis of the graphics shows the main areas needing improvement are as follows:

> ORG   *Reorganization/structure of the AAC in accordance to the 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 for AIG data and procedures*

2.13   ICAO actually reviews criteria to continuously share SSC information with Member States and the traveling public in order to improve decision-making regarding air transportation safety (Resolution A37-5, Clause 5). Currently the ICAO website shows general information regarding the USOAP-CMA Overall Effective Implementation (EI) of States.

Regional Safety Oversight Organizations (RSOOs)

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

- mutual recognition
- technical assistance to strengthen capacity
- strengthening regulatory framework
- standard harmonization

2.15   An RSOO can assist Member States with implementation of Annex 19 requirements regarding the State safety oversight system, SSP/SMS processes and components, an incident reporting system to facilitate collection of information on safety deficiencies, and accident and incident investigation system.

2.16   The greatest benefits can be found in economic savings in the establishment of the collecting and safeguarding of a safety library. States will be able to identify common opportunities and review their strengths and weaknesses, as well as the trends and resources to arrange other agreed sustainable activities.

3. **Suggested Action**

3.1 The Meeting is invited to:

a) take note of the USOAP-CMA activity plan events;

b) urge E/CAR States to nominate their National Continuous Monitoring Coordinator (NCMC) substitute, if not already done so;

c) encourage E/CAR States to take appropriate actions to develop a Corrective Action Plan (CAP), especially in the areas described in paragraph 2.12;

d) encourage E/CAR States to update their CAP and other related USOAP-CMA information through the online framework (http://www.icao.int/usoap); and

e) take other actions as necessary.

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APPENDIX

Level of Implementation

ICAO SAFETY

Level of Implementation

Global average ● | Antigua and Barbuda ■

ICAO SAFETY

Level of Implementation

Global average ● | Barbados ■

ICAO SAFETY

Level of Implementation

Legend: Global average ● / Grenada ■

(Chart — Grenada)

Category	Grenada	Global average
Legislation	7	7
Organization	8	6
Licensing	9	7
Operations	9	7
Airworthiness	7	7
Accident Investigation	7	5
Air Navigation Services	2	5
Aerodromes	2	6

ICAO SAFETY

Level of Implementation

Legend: Global average ● / Netherlands ■

(Chart — Netherlands)

Category	Netherlands	Global average
Legislation	9	7
Organization	10	6
Licensing	9	7
Operations	9	7
Airworthiness	10	7
Accident Investigation	7	5
Air Navigation Services	9	5
Aerodromes	8	6

|ICAO SAFETY

Level of Implementation

Legend: Global average ● | Saint Kitts and Nevis ■

Categories: Legislation, Organization, Licensing, Operations, Airworthiness, Accident Investigation, Air Navigation Services, Aerodromes

|ICAO SAFETY

Level of Implementation

Legend: Global average ● | Saint Lucia ■

Categories: Legislation, Organization, Licensing, Operations, Airworthiness, Accident Investigation, Air Navigation Services, Aerodromes

ICAO SAFETY

Level of Implementation

Legend: Global average — Saint Vincent and the Grenadines

ICAO SAFETY

Level of Implementation

Legend: Global average — Trinidad and Tobago

ICAO SAFETY

Level of Implementation

Legislation | Organization | Licensing | Operations | Airworthiness | Accident Investigation | Air Navigation Services | Aerodromes

● Global average ■ United Kingdom of Great Britain and Northern Ireland

ICAO SAFETY

Level of Implementation

Legislation | Organization | Licensing | Operations | Airworthiness | Accident Investigation | Air Navigation Services | Aerodromes

● Global average ■ United States of America

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