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RASG-AFI/7 |

Seventh Meeting of the Regional Aviation Safety Group for the AFI Region

Updates on USOAP CMA PQs – Edition 2020

Presented by RASG-AFI - Secretariat



2020 PQ amendment and Priority PQs (PPQs)

- PQ revision cycle
- GEUSR
- 2020 edition of PQs
- Migration to 2020 edition of PQs
- PPQs
- CAPs Report
- Action by the meeting



Group of Experts for a USOAP CMA Structured Review (GEUSR)

- The 39th Session of the ICAO Assembly (2016) recognized that the USOAP CMA had brought significant benefits to ICAO and States and recommended that ICAO should undertake a review of the USOAP CMA methodology, processes and tools to provide Member States with an opportunity to provide user feedback and enable ICAO to plan improvements to the programme. Following this outcome, ICAO established, in early 2017, the Group of Experts for a USOAP CMA Structured Review (GEUSR).



GEUSR recommendations

- 6 groupings comprising 37 recommendations.
 - Group A: Structured revision of the Protocol Questions
 - Group B: Priority Protocol Questions
 - Group C: Types and Prioritization of USOAP activities
 - Group D: Presentation of State Indicators
 - Group E: Training and guidance
 - Group F: Tools enhancements (OLF)



ICAO Council Approval

- During its 214th Session, the ICAO Council (C-DEC 214/5) approved the recommendations made by the GEUSR and requested the Secretariat to present an update of the evolution of the USOAP CMA to the Thirteenth Air Navigation Conference (AN-Conf/13).
- **Recommendation 6.3/1 — Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)**

That ICAO:

- f) implement as a matter of priority the GEUSR recommendations regarding the structured revision of the PQs (Group A recommendations) and the identification of 'Priority PQs' (Group B recommendations);



GEUSR recommendations

Group A: 7 recommendations regarding the structured revision of the protocol questions

1. Conduct a one-off exercise to identify and remove questions from the USOAP CMA not directly related to safety oversight or accident investigation...
2. Establish a policy to exclude from the USOAP CMA PQs that reference only Annex 9, 16 and 17.
3. Identify PQs whose meaning is already captured in other existing PQs and combines them as necessary...
4. Ensure a balanced distribution/ratio across “establishment/implementation” PQs, audit areas and CEs...
5. Identify and remove PQs whose requirements extend beyond ICAO Standards...
- 6. Aim to reduce the total number of PQs through the PQ rationalization exercise as described in Recommendations 1 to 5 by 10-20%.**
7. Aim to keep the number of PQs to not more than the number reached after completion of the PQ rationalization exercise recommended in Recommendations 1 to 6 above. This limit in the number of PQs should be maintained going forward.



2020 edition vs 2017 edition of PQs

	2017 PQs						2020 PQs			
	Total No. (2017)	Number of					TOTAL No. (A+B+C+D)	NUMBER OF		
		Deleted	Revised (A)	Merged (B)	No Change (C)	New (D)		PPQ	ON-SITE	OFF-SITE
LEG	23	0	23	0	0	0	23	14	3	20
ORG	14	2	11	1	0	1	13	5	9	4
PEL	99	10	48	7	34	4	93	35	71	22
OPS	146	21	85	12	28	1	126	34	91	35
AIR	210	26	79	5	100	2	186	33	102	84
AIG	104	21	21	19	43	1	84	24	46	38
ANS	179	69	71	27	12	12	122	27	97	25
AGA	168	29	43	17	79	4	143	40	106	37
	943	178	381	88	296	25	790	212	525	265



GEUSR recommendations

Group B: 2 recommendations regarding the priority protocol questions (PPQs)

8. Identify a set of priority PQs that, when resulting in a low EI score, would indicate a lack of capability of the State to effectively identify and resolve safety deficiencies. This subset of PQs should be identified from the existing PQs using the following criteria:
 - a. include those PQs directly related to the identification of SSCs and the enablers for those SSC-related PQs;
 - b. include PQs on aspects which, if not implemented, may leave safety issues unidentified or unresolved;
 - c. constitute a self-sufficient set of PQs of approximately 20-25% of the total PQs, which would enable a focused audit;
 - d. reflect a balanced number across the audit areas and sub-areas;
 - e. focus on PQs with implementation aspects (“implementation PQs”), but include relevant establishment PQs; and
 - f. only include PQs applicable to the majority of States.
9. Take the necessary actions to inform States of the expectation to complete and update their self-assessments of the priority PQs. The level (quantitative and qualitative) of the PQ self-assessment should be added to the list of indicators used to prioritize USOAP CMA activities.



PPQs by audit area

Audit area	2017 PQs	2020 PQs		
	Total No.	Total No.	PPQ	Number of On-Site Off-Site
LEG	23	23	14	3 20
ORG	14	13	5	9 4
PEL	99	93	35	71 22
OPS	146	126	34	91 35
AIR	210	186	33	102 84
AIG	104	84	24	46 38
ANS	179	122	27	97 25
AGA	168	143	40	106 37
	943	790	212	525 265



Other Changes reflected in the 2020 amendment of the PQs

- Changes to SARPs and associated Guidance Material;
- New Standards (new PQs added);
- Reference updates/correction (e.g. added A19 in the references)
- Question/Guidance revised for clarity (e.g. increase clarity, correct inaccuracies, removal of unnecessary/un-relevant items, etc.)



FAQs regarding the 2020 edition PQs & New CAPs report

- Frequently Asked Questions (FAQs) regarding the 2020 edition of the Protocol Questions is now available in the OLF Library. You can find them under the "Guidance Material" section of the CMA Library module.
- A new report called "Merged PQs in Previous Cycle" has been added to the Reports menu. This report prints the CAPs of PQs that were deleted due to the fact that they were Merged with other CAPs in the current cycle. An attached document available on the OLF illustrates how to access this report.



ACTION BY THE MEETING

The Meeting is invited to:

- note the evolution of the USOAP CMA toward the continuing assessment of the effectiveness and sustainability of States' safety oversight systems; and
- encourage States to review and update their information in the Self-Assessment as it relates to the amended PQs.



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