



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

USOAP Continuous Monitoring Approach (CMA)

Objective



To provide an up-to-date overview of the
USOAP CMA methodology and activities

Outline



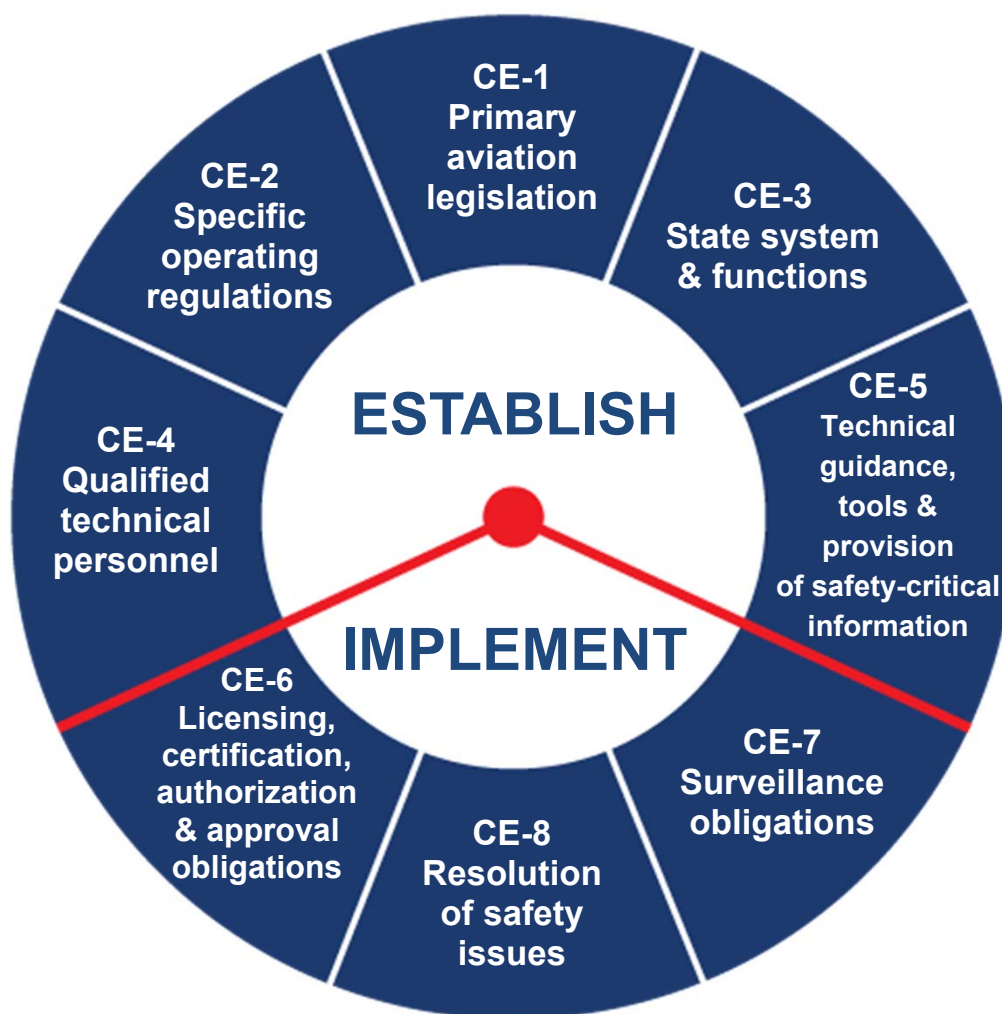
- 1) Critical Elements (CEs) of a State Safety Oversight System
- 2) USOAP CMA Audit Areas and Protocol Questions (PQs)
- 3) USOAP CMA Components
- 4) Significant Safety Concerns (SSCs)
- 5) Roll-out of SSP Implementation Assessments under USOAP CMA
- 6) USOAP CMA Computer-Based Training (CBT)
- 7) States' main obligations under the USOAP CMA

Critical Elements (CEs) of a State Safety Oversight System

ICAO carries out audits and other monitoring activities to determine the safety oversight capabilities of its Member States by:

- Assessing their effective implementation of the 8 CEs in 8 audit areas (i.e. LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA) through Protocol Questions (PQs); and
- Verifying the status of the Member States' implementation of:
 - Safety-related ICAO Standards and Recommended Practices (SARPs);
 - Associated procedures; and
 - Guidance material.

Critical Elements (CEs)



The definitions of the eight CEs of a State safety oversight system are found in Annex 19 — *Safety Management*, Appendix 1 (2nd edition, July 2016).

Guidance on the eight CEs is provided in Doc 9734 — *Safety Oversight Manual, Part A — The Establishment and Management of a State Safety Oversight System*.

Note.— The English version of the third edition of Doc 9734, Part A is available on the ICAO-NET and the CMA Library on the OLF.

Protocol Questions (PQs)

PQ — Example



| PQ No. | Protocol Question | Guidance for Review of Evidence | ICAO References | CE |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|------|
| 4.129 | Has the State promulgated regulations for AOC applicants to establish procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry? | Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. | STD A6 Part I, 11.1 Part III, Section II, 9.1 GM A6 Part I, Att. E Part III, Att. | CE-2 |
| 4.103 | Is the organization of the applicant clearly defined? a) duties, responsibilities and lines of reporting are clearly delineated and duly documented? | 1) Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. 2) Review exchange of letters with the applicant. 3) Verify that the safety management, quality assurance management and emergency management systems have been: a) established; b) documented; and c) implemented. | STD A6 GM Doc 8335 Part II, C2 Part III, C5 | CE-6 |

PQ asked by auditor

Examples of evidence to be presented by State

ICAO References

CE number associated with PQ

PQ Amendment



- ICAO revises and updates PQs on a periodic basis to:
 - a) reflect the latest changes in ICAO provisions; and
 - b) harmonize and improve PQ references and content.
- Revision of PQs incorporates inputs from:
 - a) States;
 - b) ICAO ANB;
 - c) ICAO ROs;
 - d) USOAP mission team members; and
 - e) external stakeholders.

2016 Edition of the PQs



- The 2016 edition of the PQs was posted in November 2016 in the “CMA Library” on the OLF. (See *EB 2016/70*, 30 November 2016.)
- The Library copy for each audit area includes an Introduction, Guidelines and Summary of Amendments.
- The 2016 edition has been applicable for all USOAP CMA activities starting after 1 June 2017.

CMA Library



2017 Edition of the PQs



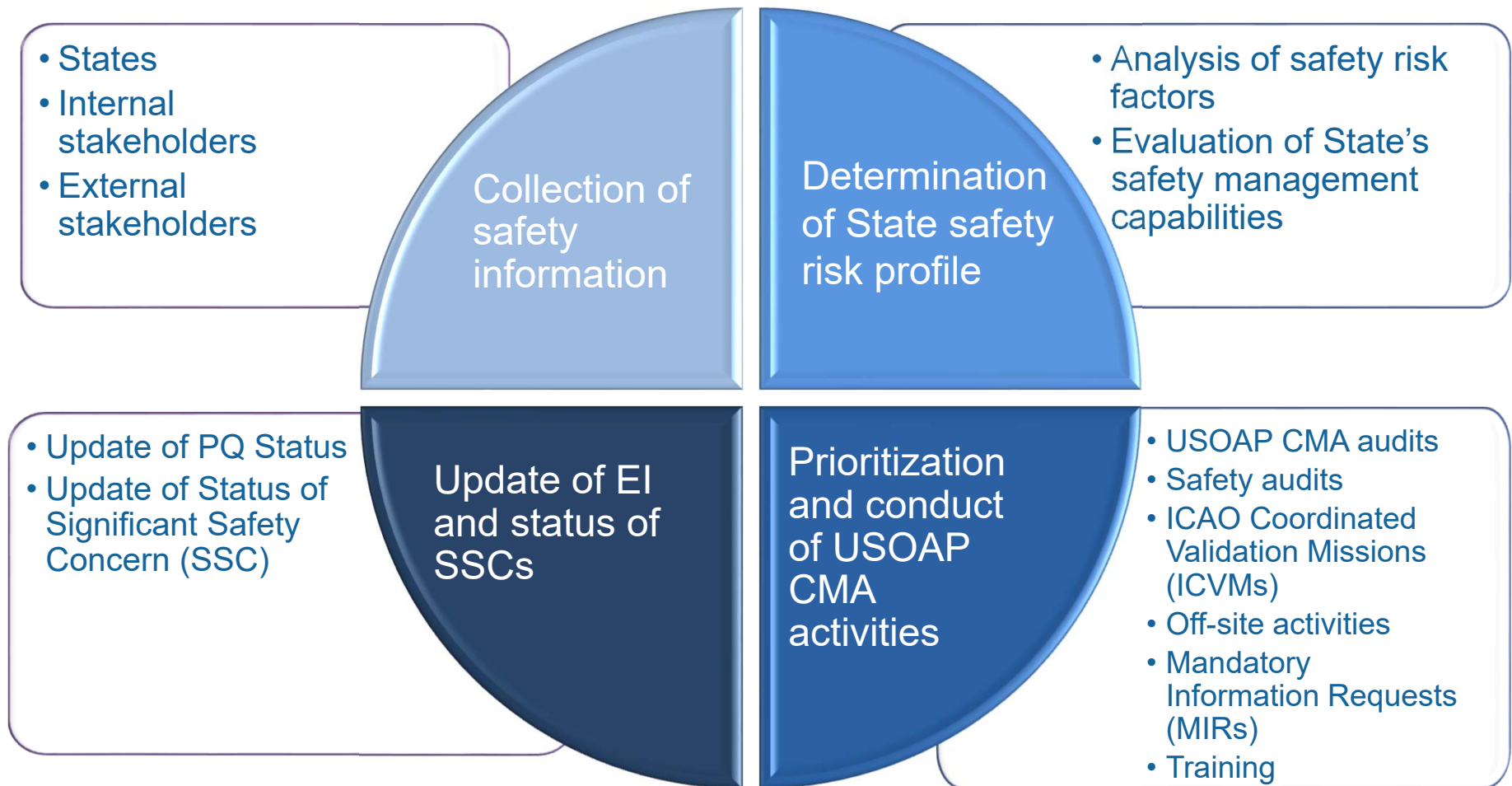
- With the roll-out of Amendment 1 to Annex 19, a 2017 edition of the PQs has been developed on the basis of the 2016 edition and excludes aspects related specifically to the State Safety Programme (SSP).
- This 2017 edition of the PQs is posted in the “CMA Library” on the OLF.
(See EB 2018/4, 19 January 2018.)
- The 2017 edition will be applicable for all USOAP CMA activities **starting after 1 June 2018.**

CMA Library



USOAP CMA Components

USOAP CMA Components





Main Activities under USOAP CMA

- **CMA audit:** On-site, to conduct a systematic and objective assessment of a State's safety oversight system. Can be a full scope or limited scope audit.
- **ICVM:** On-site, to collect and assess evidence of a State's effective correction of previously identified findings (**in one or more audit areas**). Collected evidence is reviewed and validated at ICAO HQ.
- **Off-site validation activity:** to assess a State's effective corrective actions addressing previously identified findings related to PQs *not* requiring an on-site activity.

A More Recent Type of Validation Activity...



- Off-site validation report resulting from on-site reviews.
- A USOAP CMA limited scope on-site activity, integrated within a scheduled mission in a State by ICAO or its safety partners. During an Integrated Validation Activity (IVA), SMEs sample, collect and assess evidence provided by the State for identified PQs demonstrating effective implementation of corrective actions to address findings previously identified by ICAO. ICAO validates the collected evidences and information.
- Safety partner: Organization which may provide technical support to USOAP CMA activities on the basis of a formal agreement with ICAO (e.g. EASA).

Off-Site Validation Activity



- CAPs related to the majority of PQ findings associated with CEs 6, 7 and 8 (collectively known as the “Implementation” CEs) do not qualify for an off-site validation activity.
- Such CAPs must be assessed and validated through an on-site activity.

Criteria Used to Select a State for an *Off-Site Validation Activity*



- 1) State has PQ findings associated with eligible PQs (most of the PQs from CEs 1 to 5);
- 2) Most (about 75%) of the State's corresponding CAPs, for the audit area considered, meet the following three conditions:
 - a) CAPs fully address the corresponding PQ findings;
 - b) CAPs are reported by the State as fully implemented; and
 - c) The State has submitted all relevant evidence for the corresponding PQs through the OLF; and
- 3) Information submitted by State through PQ self-assessment.

Six Criteria for a Good CAP (“RCDSRC”)



- 1) **Relevant:** CAP addresses the *issues* and *requirements* related to the finding and corresponding PQ and CE.
- 2) **Comprehensive:** CAP is *complete* and includes *all elements or aspects* associated with the finding.
- 3) **Detailed:** CAP outlines implementation process using *step-by-step approach*.
- 4) **Specific:** CAP identifies *who will do what, when* and in coordination with other entities, if applicable.
- 5) **Realistic:** In terms of *contents* and *implementation timelines*.
- 6) **Consistent:** In relation to *other CAPs* and with the *State's self-assessment*.

Mandatory Information Request (MIR)

When can a MIR be issued?



- In most cases, a MIR is issued by ICAO when concerns are raised by internal and/or external stakeholders regarding a State's safety oversight capabilities.

When can a MIR be issued? (cont.)



A MIR may also be issued in the following cases:

- a) important information is missing in relation to the State's SAAQ, CCs and/or PQ self-assessment;
- b) the State has not provided initial or amended CAPs as needed;
- c) a significant change is observed in the State's organization;
- d) information is needed in addition to an ICAO RO visit; or
- e) information collected during a USOAP CMA activity is incomplete or insufficient.

State's Response to a MIR



- States are *required* to respond to a MIR using the “MIR” module of the OLF.



Significant Safety Concerns (SSCs)



Definition of an SSC

“An SSC occurs when the audited State allows the holder of an authorization or approval to exercise the privileges attached to it, although the minimum requirements established by the State and by the Standards set forth in the Annexes to the Chicago Convention are not met, resulting in an immediate safety risk to international civil aviation.”

Reference: *EB 2010/7* dated 19 February 2010

Status of SSCs



of unresolved SSCs (4 States)

4

of SSCs resolved through corrective actions
taken by the States **after being posted** on ICAO website

43

of SSCs resolved through immediate actions taken by the
States **prior to being posted** on the ICAO website

9

Note.— Numbers were last updated on 10 November 2017.

Roll-out of SSP Implementation Assessments under USOAP CMA

March 2018: Amended SSP-Related PQs

Amended SSP-related PQs:

- Will *reflect* Annex 19 Amdt 1, *Safety Management Manual* (SMM) (Doc 9859, 4th edition) and lessons learnt from the voluntary assessments conducted.
- Will *form* a dedicated list of PQs (complementing the PQs on “core” safety oversight and investigation functions).
- Will *not be linked to CEs*, but to the applicable SSP component (e.g. State Safety Risk Management, State Safety Assurance and State Safety Promotion).
- Will *not be assessed* as “satisfactory/non-satisfactory”, but in terms of “*level of progress achieved*”.
- Will *be supported by references* (from Annexes and Guidance Material).
- Will *be broken down into 7 areas*: GEN (SSP Establishment and Operation – including LEG/ORG aspects), PEL, OPS, AIR, ANS, AGA & SDI (Safety Data Collection and Processing System (SDCPS) + Accident and Incident Investigation).

SSP Implementation Assessments – Phase 1: 2018 – 2019

SSP implementation assessments will:

- *Complement*, and *not impact*, the State's Effective Implementation (*EI*) score.
- Not generate findings, nor require the State to submit a "corrective action plan" (CAP).
- Be conducted by a *limited pool of auditors*, to ensure consistency.
- Use the SSP-related PQs in selected areas (e.g. GEN + AGA + SDI).

SSP implementation assessment reports will:

- Reflect the *level of progress achieved* by the State in SSP implementation, rather than a measurement.
- Will be *shared* with other States on the USOAP CMA Online Framework, contributing to the exchange of experience and best practices.

USOAP CMA CBT

USOAP CMA CBT



As per EB 2011/44, the computer-based training (CBT) was launched to:

- Provide participants with a thorough understanding of the USOAP CMA methodologies and the essential knowledge required to participate in USOAP CMA activities; and
- Serve as an opportunity for States to enhance the competencies of their aviation safety personnel in the areas addressed by USOAP CMA.

USOAP CMA CBT



- Per Assembly Resolution A37-5, States and recognized organizations are called upon to nominate experts for secondment to ICAO on a long- or short-term basis to support USOAP CMA.
- For State-nominated experts who meet stated qualifications and experience criteria for the various audit areas (per *SL AN19/34-15/35*, 13 May 2015), ICAO will waive their CBT fees.
- More information available at:
<https://www.icao.int/safety/CMAForum/Pages/USOAPCMA-CBT.aspx>.

States' Main Obligations under the USOAP CMA

As per the USOAP CMA MOU and by using the OLF, States shall, in particular:

- Continuously update their SAAQ and CCs/EFOD;
- Continuously update their CAPs and PQ status (self–assessment), providing all related evidence; and
- Reply promptly to MIRs sent by ICAO.



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(MID) Office
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Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



THANK YOU