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# USOAP perspective on IFPs

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# Outline

- 1) USOAP
  - overview
  - Audits areas and CEs
- 2) Evidence by CEs –
- 3) General PQs
- 4) SAR PQs
- 5) Interactive session on PQs



## What is the Universal Safety Oversight Audit Programme (USOAP)?

The Universal Safety Oversight Audit Programme (USOAP) is a programme through which ICAO monitors the fulfillment of the safety oversight obligations by its Member States.

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



Universal Safety Oversight Audit Programme  
Continuous Monitoring Approach  
(USOAP CMA)





# USOAP Audits

The approach for USOAP audits is based on:

“...the implementation of a *structured process and methodology* for the planning, preparation, conduct, reporting, follow-up and evaluation of ICAO safety oversight audits, in order to determine States’ capability for safety oversight.”

ICAO Doc 9735 and MOU signed between the State and ICAO.



# Audit Areas

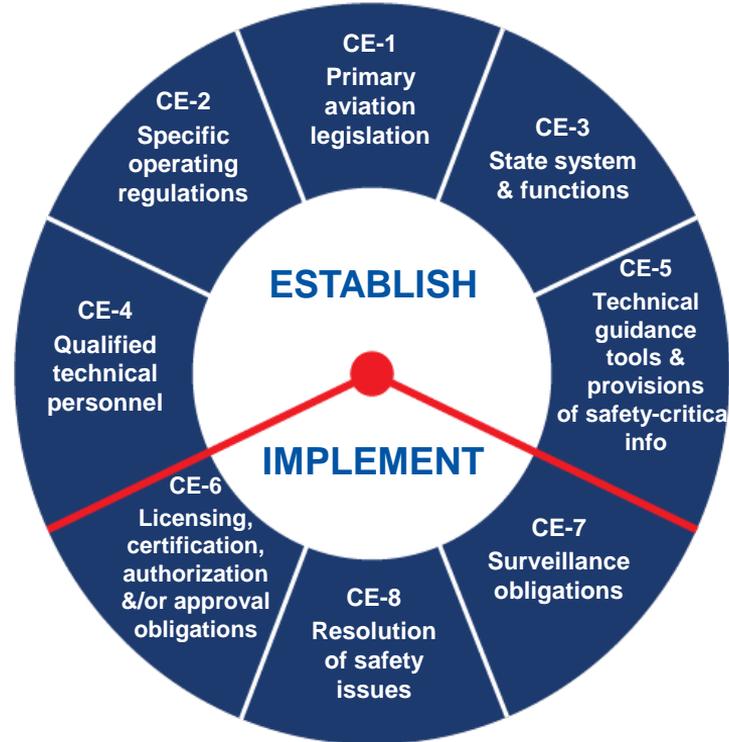




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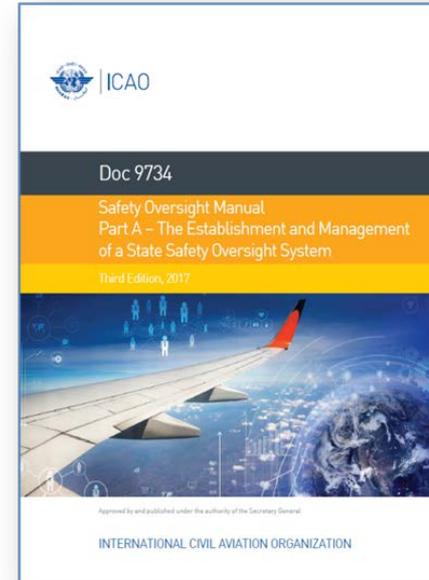
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# Critical Elements (CEs) of a Safety Oversight System



# Eight CEs of a State safety oversight system

- **Definitions of CEs:** in Annex 19 — *Safety Management*, Appendix 1 (2<sup>nd</sup> edition, July 2016)
- **Guidance for CEs:**  
Doc 9734 — *Safety Oversight Manual*, Part A — *The Establishment and Management of a State Safety Oversight System* (3<sup>rd</sup> edition, 2017)\*.
- \* Available on ICAO-Net and CMA Library of the CMA OLF.





## USOAP CMA Protocol Questions

The primary tool used in USOAP for assessing the level of effective implementation of a State's safety oversight system based on the critical elements, the Convention on International Aviation, ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and related guidance material.

Enable standardization in the conduct of USOAP CMA activities.

Percentage of "Satisfactory" PQs is reflected in the EI.

Evidence-based approach:

- **Show me.**
- **Lack of evidence or lack of sufficient evidence = PQ status becomes or remains N/S.**

N/S PQ generates a finding and since 2014, each finding is PQ-specific.



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**Give me your evidence**





## Evidence by CEs - Examples

### CE-1

- Legislative instruments related to civil aviation activities and established entities (laws, treaties, etc.), promulgated and published versions;
- bilateral agreements on Article 83 bis of the Chicago Convention or other equivalent topics.
- Legislation is collective term combining
- Primary air law, binding for all citizens
- Specific operating regulations, binding for actors and participants in aviation activity only

### CE-2

- Regulatory instruments (regulations; directives); promulgated and published versions;
- procedures for the amendment of regulations;
- procedures for identifying and notifying differences, if any, to ICAO;
- copy of list of differences published in the AIP;
- (policy on the granting of exemptions and examples of granted exemptions)



## Evidence by CEs - Examples

### CE-3

- Documents related to nomination, delegation, cooperation, etc. (MOU, letters, etc.);
- organizational charts;
- documents describing functions and responsibilities;
- sample of job descriptions;
- sample of credentials.
- documents on the authorities funding and approved budget;
- documents on the process to determine staffing needs;
- procedure for the delegation of tasks to other entities or individuals;
- letters of nomination or designation with respect to the delegation of tasks

### CE-4

- Document defining the minimum qualification and experience requirements;
- document on the recruitment process;
- training policy;
- training programmes;
- training plans;
- completed OJT forms;
- documents on the system for keeping training records (copies of training records are not required).



## Evidence by CEs - Examples

### CE-5

- Process or procedure for making necessary documents available to technical staff (annexes to the CC, regulations, etc.), document control and/or system for maintaining the documents up-to-date;
- handbooks, procedures, checklists and other guidance material;
- guidance provided to the industry;
- link to the electronic version of the AIP;
- Ensure that procedures provide sufficient detail on WHO does WHAT, WHEN, HOW and in coordination with WHOM



## Evidence by CEs - Examples

### CE-5

- Procedures should provide sufficient details on WHO does WHAT, HOW, WHEN, and in coordination with WHOM:
- WHO: Define the entities in charge of each task, who has the authority to decide, particularly with respect to enforcement aspects, who has the authority to approve the results, reports, etc. or to sign licenses, certificates, etc.
- WHAT: Define each step of the process, indicate the expected result and the template/format to be used; Establish the link with other procedures, if any.
- HOW: Indicate sequence of actions, equipment/tools to used, reference to applicable checklists; Describe the means of traceability of the activity.
- WHEN: If the procedure is part of a process, the step of the process at which the said procedure takes place; indicate the periodicity and the maximum interval between two actions and the deadline for completion of each step.
- with WHOM: Identify external entities participating in the activity, if any.



## Evidence by CEs - Examples

### CE-6

- Completed check-lists used for licensing/ certification/ approval and/or authorization processes
- Issued licences, certificates, approvals and/or authorizations;
- Copies of exchange of letters with the industry

### CE-7

- Surveillance policy;
- surveillance programme and plans
- Copies of inspection or audit reports and/or monitoring activities.



## Evidence by CEs - Examples

### CE-8

- Processes, procedures, checklists
- Exchange letters with the industry regarding deficiencies and corrective actions
- Enforcement procedures
- Evidence of actual enforcement actions (imposed fines or restriction/limitations, suspended or revoked licences/certificates/ approvals/authorizations)



CE-1	<ul style="list-style-type: none"> <li>• Laws, treaties</li> <li>• Bilateral agreements on Article 83 bis of the Chicago Convention</li> </ul>
CE-2	<ul style="list-style-type: none"> <li>• Regulations, directives</li> <li>• Procedures for the amendment of regulations;</li> <li>• Procedures for identifying and notifying differences, if any, to ICAO</li> </ul>
CE-3	<ul style="list-style-type: none"> <li>• Documents related to nomination, delegation, cooperation, etc. (MOU, letters, etc.);</li> <li>• Organizational charts;</li> <li>• Documents describing functions and responsibilities;</li> <li>• Sample of job descriptions; Sample of credentials;</li> <li>• Budget decisions</li> <li>• Documents on the process to determine staffing needs</li> </ul>
CE-4	<ul style="list-style-type: none"> <li>• Document defining the minimum qualification and experience requirements</li> <li>• Training policy, programmes, training plans;</li> <li>• Completed OJT forms, Training records</li> </ul>

CE-5	<ul style="list-style-type: none"> <li>• Manuals, Handbooks</li> <li>• Procedures</li> <li>• Checklists</li> </ul>
CE-6	<ul style="list-style-type: none"> <li>• Completed check-lists used for licensing/ certification/ approval and/or authorization processes</li> <li>• Issued licences, certificates, approvals and/or authorizations;</li> <li>• Copies of exchange of letters with the industry</li> </ul>
CE-7	<ul style="list-style-type: none"> <li>• Surveillance policy;</li> <li>• surveillance programme and plans</li> <li>• Copies of inspection or audit reports and/or monitoring activities;</li> </ul>
CE-8	<ul style="list-style-type: none"> <li>• Exchange letters with the industry regarding deficiencies and corrective actions</li> <li>• Enforcement procedures</li> <li>• Evidence of actual enforcement actions (imposed fines or restriction/limitations, suspended or revoked licences/certificates/ approvals/authorizations);</li> </ul>



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# General



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.009	Has the State promulgated specific operating regulations to transpose the ANS-related provisions of Annexes 2, 3, 4, 5, 10, 11, 12 and 15?	<ol style="list-style-type: none"><li>1) Confirm the title, date of promulgation and last amendment of all regulations related to ANS.</li><li>2) Verify that the content of the regulation is consistent, sufficient and properly organized to cover: g) search and rescue;</li></ol>	CC Art. 12 STD A19 C3, 3.2.1 & 3.2.2 GM Doc 9734 Part A, C3		CE-2



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.031	Has the State established an organizational structure with functions related to the safety oversight of ANS providers?	<ol style="list-style-type: none"><li>1) Confirm current approved organizational structure for CAA and ANS safety oversight, including clear functions and responsibilities and reporting lines.</li><li>2) Note names and acronyms of the established authorities and each section dealing with ANS safety oversight activities.</li><li>3) Cross-check State Aviation Activity Questionnaire (SAAQ).</li></ol>	GM Doc 9734 Part A, C3		CE-3



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.037	Has the State developed procedures to assist ANS inspectors in carrying out their safety oversight functions in a standardized and effective manner?	1) Verify that inspector's procedures and checklists are detailed and based on the State's requirements. Note to the auditor: Procedures may be compiled into an inspector's handbook or manual.	GM Doc 9734 Part A, C3		CE-5



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.039	Are the relevant ICAO documents and other technical and regulatory publications readily available to all ANS inspectorate personnel?	<ol style="list-style-type: none"><li>1) Verify accessibility of the following documents:<ol style="list-style-type: none"><li>a) Primary aviation legislation and ANS specific operating regulations.</li><li>b) Annexes 1, 2, 3, 4, 5, 10, 11, 12 and 15.</li><li>c) PANS, guidance material and other ANS-related publications.</li><li>d) World Meteorological Organization (WMO) documentation.</li><li>e) Other technical/regulatory publications.</li></ol></li><li>1) Review the document control system and method to determine currency of documents.</li></ol> <p>Note to the auditor: Check for field/regional offices as well as Headquarters.</p>	GM Doc 9734 Part A, C3		CE-5



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.042	Have ANS inspectors been issued credentials to facilitate access to ANS facilities in the State and access to service providers' documentation for the purpose of inspections and enforcement?	<ol style="list-style-type: none"><li>1) Review credentials to ensure: 1) Reference to empowering legislation.</li><li>2) Method established to control currency of credential.</li><li>3) Inspector's photo.</li></ol>	GM Doc 9734 Part A, C3		CE-3



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.045	Has the State established and implemented a mechanism for the review and elimination of deficiencies identified within the framework of the Planning and Implementation Regional Groups (PIRGs)?	<ol style="list-style-type: none"><li>1) Review mechanism to incorporate these deficiencies into a national repository that enables the following: a) tracking; b) analysis; c) assignment of responsibility; d) determination and registration of corrective and preventive actions as appropriate; e) assignment of timelines; and f) review of effectiveness of actions taken.</li><li>2) Review communication with the relevant ICAO Regional Office to update status of the deficiencies.</li></ol>	GM Doc 9734 Part A, C3		CE-8



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.051	If the State is involved in the provision of ANS, is there a distinct separation between the regulatory and the service provision functions for all fields in ANS?	<ol style="list-style-type: none"><li>1) Review the organizational structure and confirm effective separation of regulatory function from service provision functions for:</li><li>2) Air traffic services,</li><li>3) Aeronautical information services (including cartography),</li><li>4) Flight procedures design service,</li><li>5) CNS services,</li><li>6) Meteorological service, and</li><li>7) Search and rescue services.</li></ol> <p>Note to the auditor: If a “functional” separation is in place, the State must demonstrate that the regulatory function operates completely independently, including the use of enforcement actions..</p>	GM Doc 9734 Part A, C2		CE-3



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# SAR



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.481	Has the State arranged for the establishment and provision of SAR services within its territory and the areas where the State has accepted responsibility to provide SAR on a 24-hour basis in accordance with Annex 12 provisions?	<ol style="list-style-type: none"><li>1) Review documented evidence of the establishment of the service which includes a responsible authority and a legal framework.</li><li>2) Review organizational structure.</li><li>3) If the State has made arrangements with another Contracting State, review how the service provision has been delegated.</li></ol>	STD A12 2.1.1 & 2.1.3		CE-6



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.487	Does the SAR inspectorate have sufficient human resources to carry out its functions?	<ol style="list-style-type: none"><li>1) Review ability to attract new inspectors as well as existing vacancies and level of turnovers in past years.</li><li>2) Review methodology established for determining staffing needs to carry out all safety oversight-related tasks, including: a) review and revision of regulations, b) training, c) development of guidance material, d) issuance of approvals, e) conducting of surveillance, and f) resolution of identified safety concerns. Note to the auditor: This PQ is linked to ORG 2.053.</li></ol>	GM Doc 9734 Part A, C3		CE-3



<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.491	Has the State established for SAR inspectors: a) job descriptions; b) minimum qualifications; and c) experience requirements?	1) Review job descriptions of SAR inspectors. 2) Review qualifications and experience criteria established.	GM Doc 9734 Part A, C3		CE-3



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.495	Has the State developed a formal training programme detailing the type of training to be provided to its SAR inspectors?	<ol style="list-style-type: none"><li>1) Review contents of training programme.</li><li>2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.</li></ol>	GM Doc 9734 Part A, C3		CE-4



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.499	Is the training programme appropriately implemented for SAR inspectors?	<ol style="list-style-type: none"><li>1) Review the most recent training plan.</li><li>2) Verify that the most recent training plan is in accordance with the programme and includes: a) Detailed training types; b) Priorities; and c) Time frames.</li><li>3) Verify that each inspector's training is detailed.</li><li>4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.</li><li>5) Verify that OJT is provided by an experienced senior inspector.</li></ol>	GM Doc 9734 Part A, C3		CE-4



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.505	Has the State established and implemented a formal surveillance programme for the continuing supervision of the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC)?	<ol style="list-style-type: none"><li>1) Review that surveillance programme includes:<ol style="list-style-type: none"><li>a) Types of surveillance activities (audits, inspections, safety events analyses, etc.);</li><li>b) Time frames or frequency of the activities; and</li><li>c) Scope of the activities.</li></ol></li><li>2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections.</li><li>3) Sample checklists and audits/inspections reports of previous and current years.</li></ol>	GM Doc 9734 Part A, C3		CE-7



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.507	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by SAR inspectors?	<ol style="list-style-type: none"><li>1) Review list of deficiencies that have been identified by inspection and the remedial actions planned/taken.</li><li>2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of CAPs.</li><li>3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).</li></ol>	GM Doc 9734 Part A, C3		CE-8



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.513	Has the State established an RCC or, as applicable, an RSC in each search and rescue region (SRR)?	<ol style="list-style-type: none"><li>1) Review the documentation to ensure that each SRR has an RCC.</li><li>2) Existence of appropriate communications facilities.</li><li>3) If a State has not established a joint rescue coordination centre (JRCC), review how close coordination between the aeronautical and marine RCCs/RSC is achieved.</li></ol>	STD A12 2.3.1 & 2.4 RP A12 2.3.2		CE-6



<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.517	Does the State ensure that its SAR organization coordinates with those of neighbouring States?	1) Review international letters of agreement and national SAR plans.	STD A12 3.1.1 RP A12 3.1.5		CE-6



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.519	Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors of such accidents?	1) Review legislation (issued by the appropriate authority).	STD A12 3.1.3		CE-2



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.521	Does the State authorize its rescue coordination centres (RCCs) to provide, when requested, assistance to other RCCs, including assistance in the form of aircraft, vessels, persons or equipment?	1) Review standing orders to RCCs.	RP A12 3.1.7		CE-3



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.525	Does the State ensure that an H24 (continuing day and night service) designation of a SAR point of contact for the receipt of COSPAS-SARSAT distress data?	<ol style="list-style-type: none"><li>1) Check the COSPAS-SARSAT website to ensure that the State has designated a single point of contact (SPOC).</li><li>2) Check if the SPOC has responded to test messages sent from COSPAS-SARSAT.</li></ol>	STD A12 3.2.5		CE-6



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.529	Has the State ensured that each rescue coordination centre (RCC) and rescue sub-centre (RSC) employ sufficient workforce skilled in coordination and operational functions?	<ol style="list-style-type: none"><li>1) Review mechanism established to ensure effective implementation.</li><li>2) Review documented evidence.</li></ol>	STD A12 2.1.1.2		CE-7



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.537	Does the State ensure that the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC), is staffed 24 hours a day by trained personnel proficient in the use of the English language?	<ol style="list-style-type: none"><li>1) Review mechanism established to ensure effective implementation.</li><li>2) Review the policy that the English language proficiency is required in radiotelephony communications.</li><li>3) Verify if training is aligned with the IAMSAR guidance material.</li><li>4) Review method used by the State to confirm that training records are maintained.</li></ol>	STD A1 1.2.9 A10 Vol. II, 5.2.1.2 A12 2.3.3 RP A12 2.3.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.2		CE-7



PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.543	Does the State ensure that each rescue coordination centre (RCC) has prepared detailed plans of operation for the conduct of SAR operations?	<ol style="list-style-type: none"><li>1) Review State mechanism to ensure compliance on continuous basis (including compliance that information is available and up-to-date).</li><li>2) Review if the RCC plans of operations: a) identify designated SAR units, public or private, and b) indicate that the SAR units are suitably located and equipped for SAR operations (review letter of agreements).</li><li>3) Review how the State arranges with aircraft, vessels and local services and facilities that do not form part of the SAR organization to cooperate fully and to extend any possible assistance to the survivors of aircraft accidents.</li></ol>	STD A12 2.5.1, 2.6.1, 3.2.1, 4.1.1 & 4.2.1	Yes	CE-7



<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.545	Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged?	<ol style="list-style-type: none"><li>1) Review mechanism established to ensure effective implementation.</li><li>2) Review implementation of training to verify if it includes communication, coordination and full-scale exercises.</li><li>3) Review evaluation mechanism.</li></ol>	STD A12 4.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.3	Yes	CE-7



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## Interactive session on PQs related to SAR





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THANK YOU