



P/03 Rev. Agenda Item 5.1 **Universal Safety Oversight** **Audit Programme** **Continuous Monitoring** **Approach (USOAP CMA)**

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Outline

- Overview of USOAP CMA
- State Responsibilities under USOAP CMA
- Role of the National Continuous Monitoring Coordinator (NCCMC)
- Effective State Participation in the USOAP CMA
- Introduction of USOAP CMA State Dashboard
- Key USOAP CMA Messages for the 41st Assembly



Overview of USOAP CMA



Objective of the Programme

- The objective of the USOAP CMA is to promote global aviation safety through the continuous monitoring of the Member States by assessing whether the States have implemented the critical elements of a safety oversight system consistently and effectively.

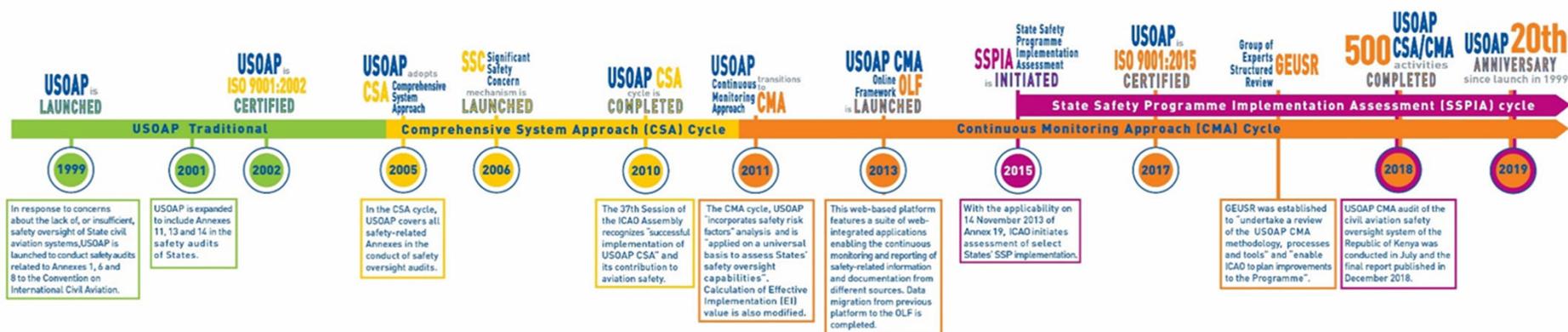


ICAO's Monitoring and Oversight

- ICAO's Monitoring and Oversight (MO) office is responsible for all of the continuous monitoring and oversight activities related to aviation safety within the Air Navigation Bureau (ANB).
- MO leads the execution and evolution of the USOAP CMA, as directed by the Assembly and the Council under the authority of the Secretary General and the ANB Director.
- MO galvanizes the principles of sharing safety information and fosters partnerships for monitoring purposes.



USOAP Evolution



By evolving, the USOAP maintains its status as the leader of global monitoring systems of States' safety oversight capabilities and/or their maturity in implementing SSPs.



USOAP CMA



Continuous Monitoring
(Online Framework — OLF)



Planning and
Scheduling



Audit and Validation
Activities



SSP Implementation
Assessments (SSPIAs)



Reports, Analyses and
Working Papers



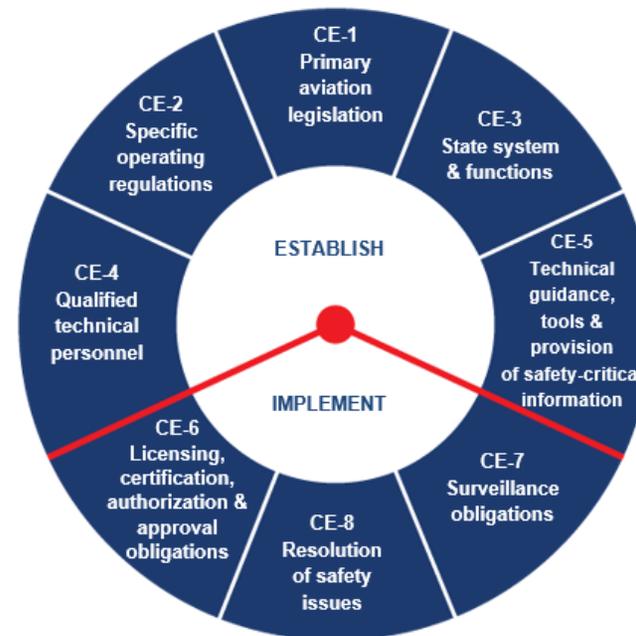
Training and
Workshops



USOAP CMA Activities

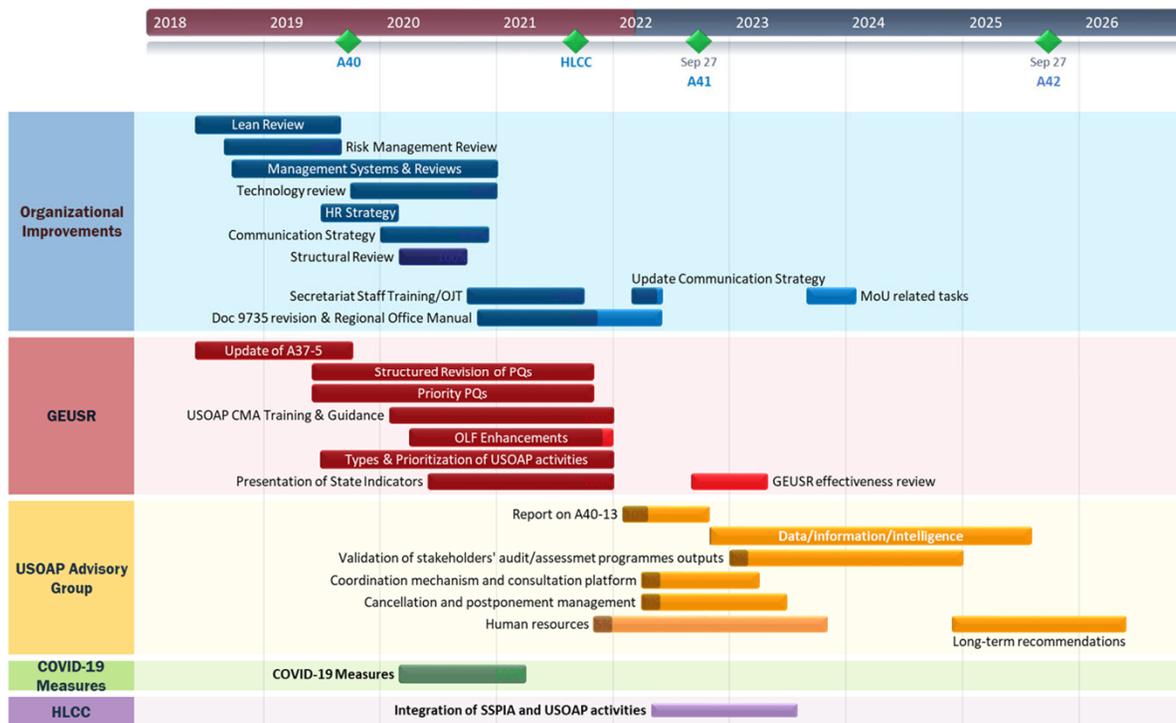
ICAO conducts audit and validation activities to determine the safety oversight capabilities of its Member States by assessing their effective implementation of the 8 Critical Elements (CE) in the 8 audit areas:

- Primary Aviation Legislation and Civil Aviation Regulations (LEG)
- Civil Aviation Organization (ORG),
- Personnel Licensing and Training (PEL)
- Aircraft Operations (OPS)
- Airworthiness of Aircraft (AIR)
- Aircraft Accident and Serious Incident Investigation (AIG)
- Air Navigation Services (ANS)
- Aerodromes and Ground Aids (AGA)





Status of USOAP Transformative Activities





State Responsibilities under USOAP CMA



USOAP CMA MOU

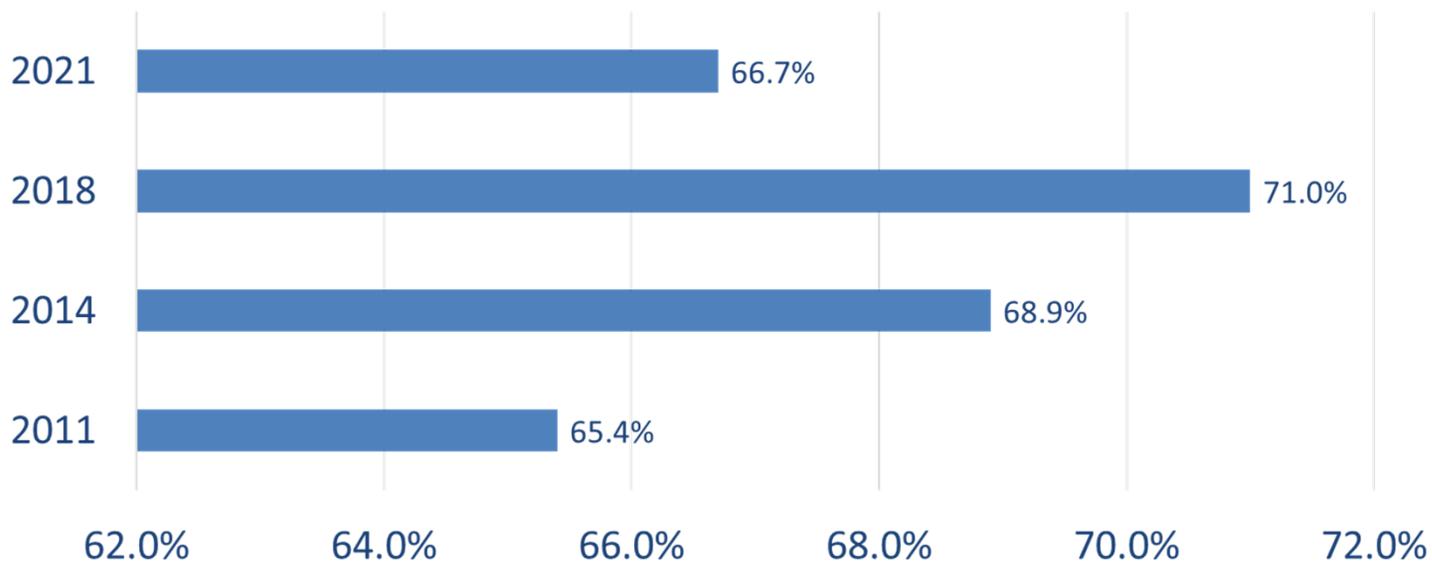
- 32nd Session of the Assembly urged all Contracting States to sign a bilateral Memorandum of Understanding (MOU) with the ICAO.
- Requires States to submit and update regularly information through the USOAP CMA Online Framework, including:
 - State Aviation Activity Questionnaire (SAAQ) responses;
 - Status of the USOAP Protocol Questions (PQs) through the Self-Assessment;
 - Mandatory Information Requests (MIRs) information;
 - Significant Safety Concerns (SSCs) information;
 - Corrective Action Plan (CAP) updates; and
 - Electronic Filing of Differences (EFOD) entries.

A State's information should be reviewed and/or updated on the OLF at least once every 12 months.



Effective Implementation Evolution

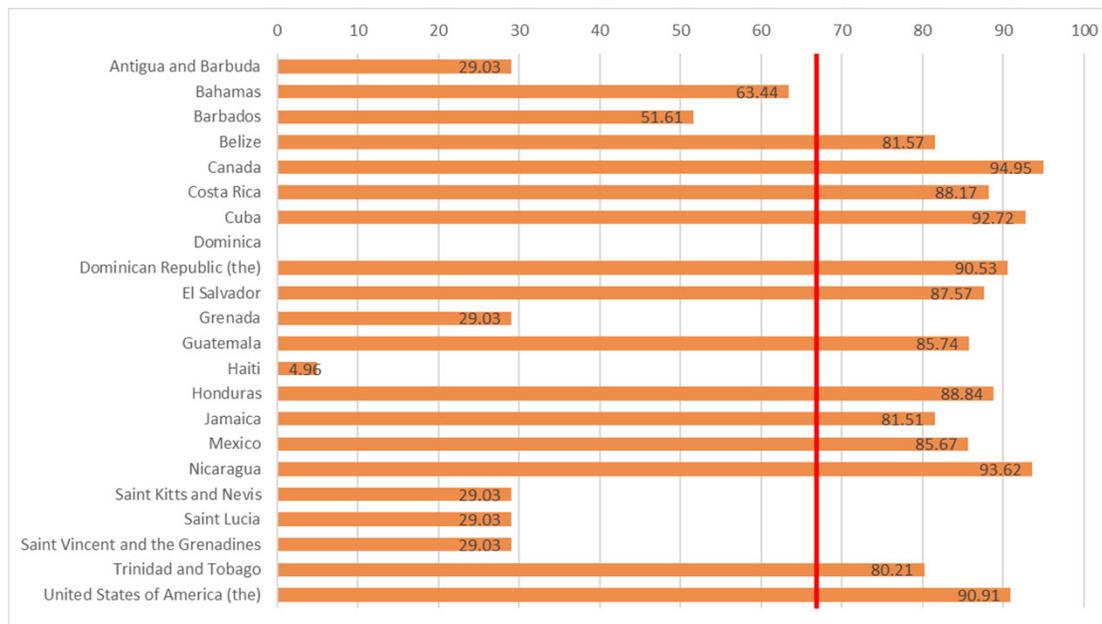
EI Percentage Evolution for NACC Region





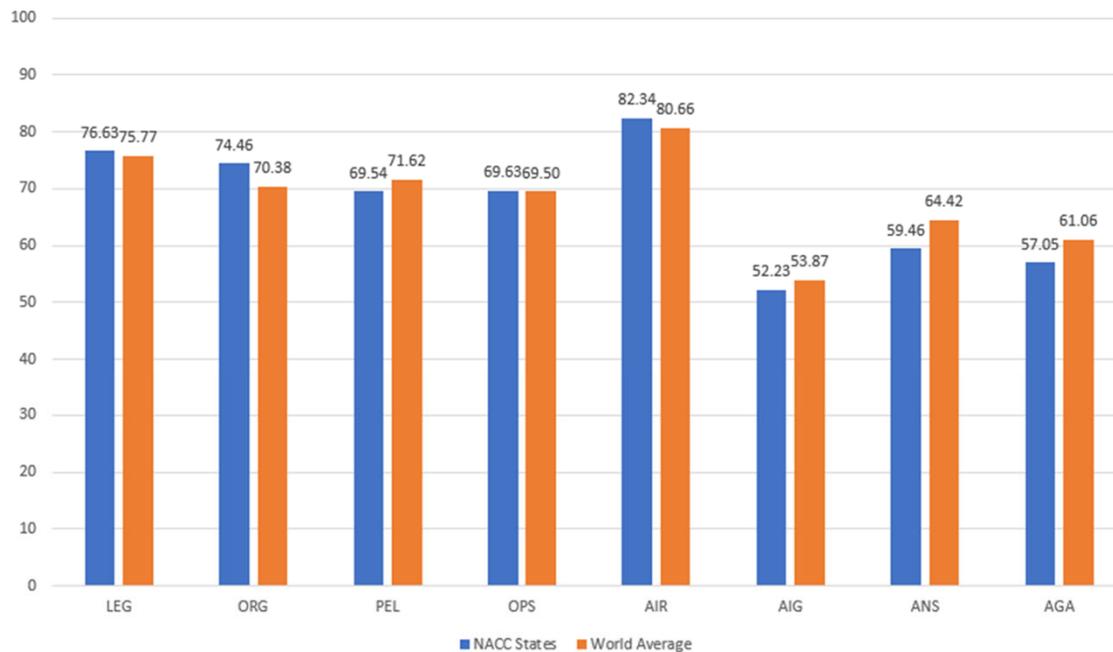
NACC States vs. World Average (by EI)

NACC States Average (66.88%) < World Average (68.42%)





NACC vs. World (by Audit Area)

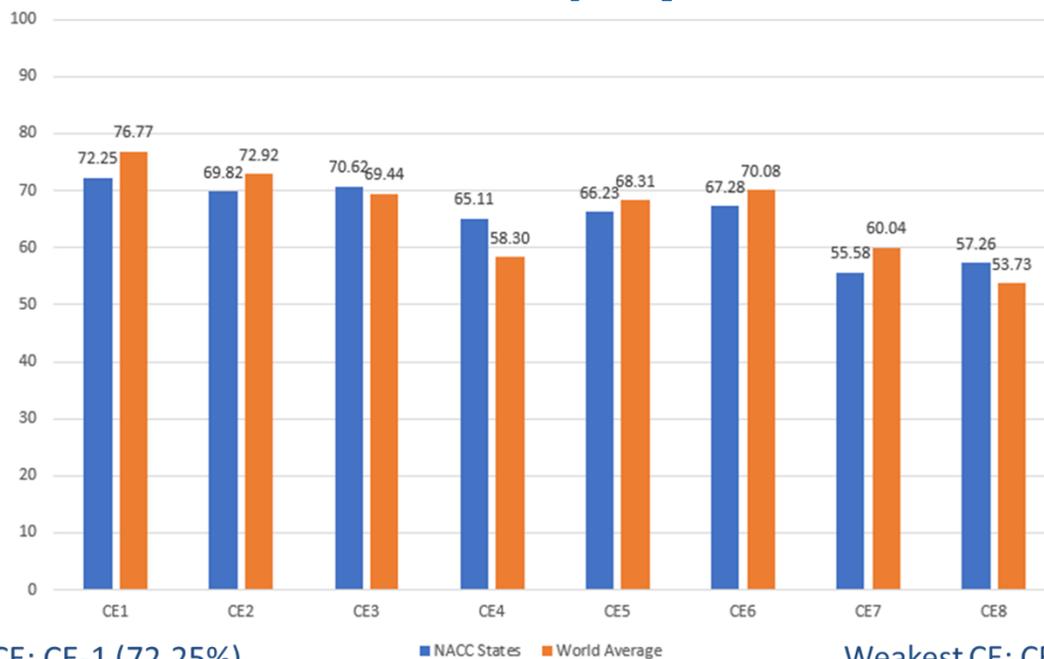


Strongest Audit Area: AIR (82%)

Weakest Audit Area: AIG (52%)



NACC vs. World (by Critical Element)



Strongest CE: CE-1 (72.25%)
(Primary Aviation Legislation)

Weakest CE: CE-7 (55.58%)
(Surveillance Obligations)



NACC Region

- Total of 14 Auditors supplied by the NACC Member States
 - 6 active auditors
 - 8 candidates awaiting OJT
- 7 other experts from NACC RO Technical Officers

Note: Continued need for Spanish-speaking auditors, particularly in PEL, OPS, AIG, & AGA



RSOO Interaction and Support

- Past USOAP audit results have demonstrated that States fail to develop the capability for effective safety oversight due a lack of adequate resources, creating the risk for unsafe conditions.
- ICAO supports regional and sub-regional organizations safety oversight systems to overcome these deficiencies through the pooling of resources, particularly the use of appropriately qualified and experienced personnel.



Role of the National Continuous Monitoring Coordinator (NCCMC)



NCMC Role and Responsibilities

The main duties of a NCMC are to:

- Act as the focal person (i.e., State Coordinator) and project manager for all matters related to the USOAP CMA activities as required under the MOU.
- Monitor, manage and coordinate the State's participation in the USOAP CMA.
- Ensure the regular maintenance and update on all USOAP CMA documentation and associated ICAO information using the OLF.



Importance of the NCMC

Key functions include:

- Coordination with ICAO HQ and the Regional Office
- Coordination with State SMEs in appropriate technical areas
- Support of on- and off-site USOAP CMA activities
- Participation in USOAP CMA training



NCMC Qualifications and Experience

Basis Qualifications and Experience

- a) Minimum of 4 years experience working within a civil aviation organization in a technical or associated aviation safety role;
- b) Proficiency in spoken and written English, and in the language necessary to support the assigned duties;
- c) Ability to use Microsoft Office software (i.e., Word, Outlook, Excel and PowerPoint);
- d) Knowledge of ICAO organization, functions and activities;
- e) Knowledge of the USOAP CMA; and
- f) Knowledge of the Convention on International Civil Aviation (Doc 7300), of Annex Standards and Recommended Practices (SARPs), and related ICAO documentation and guidance material



NCMC Training Requirements

- ICAO CBT Training
- USOAP CMA training as provided by ICAO and its Safety Partners
- Approved Auditor Training (e.g., ICAO, ISO, etc.)
- Safety management system, quality management system, human factors, etc.



DG Support for NCMCs

DGs should ensure support for their State's NCMC by:

- Appointing an effective NCMC and a NCMC team, as needed;
- Ensuring NCMCs and their teams, as appropriate, can coordinate with their local audit area expert teams to ensure timely updates to the OLF; and
- Support NCMC participation in the NACC's NCMC group.



Effective State Participation in the USOAP CMA



Effective State Participation in the USOAP CMA

- Active participation in scheduled USOAP CMA activities
- Regular review and update of State information in the OLF (i.e., PQ self-assessment, SAAQ)
- Timely submission, updates and implementation of CAPs
- Timely responses to Mandatory Information Request (MIRs)
- Timely and effective resolution of Significant Safety Concerns (SSCs)



Introduction of the State Dashboard



ICAO

UNITING AVIATION

Introduction of the State Dashboard

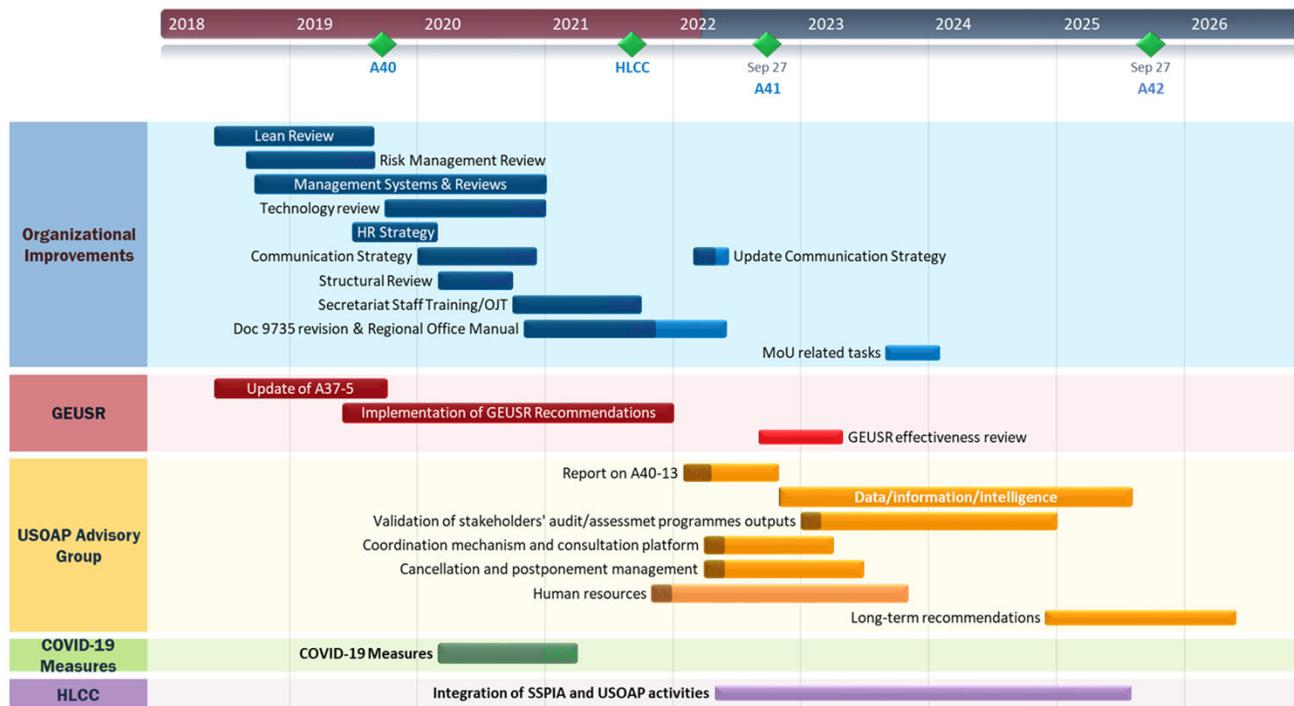
<https://soa.icao.int/USOAP>



41st Assembly Message



41st Assembly Message





41st Assembly Message (cont'd)

- The USOAP CMA's evolution continues.
- 2 WPs on the prior triennium and the endorsement of the work under the streams.
- States are encouraged to support the Assembly's endorsement of the streams of work associated with our transformative efforts.



ICAO | UNITING AVIATION



ICAO

North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



THANK YOU