Regional USOAP Continuous Monitoring Approach (CMA) Workshop

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Module 3

Overview of the USOAP

ICAO

Module Objective

The objective of this module is to provide
an up-to-date overview of the USOAP CMA methodology
and activities.

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Outline

☑ **Critical Elements (CEs) of a State Safety Oversight System**

☑ **USOAP CMA Audit Areas and Protocol Questions (PQs)**

☑ **USOAP CMA Components**

☑ **USOAP CMA Computer-Based Training (CBT)**

☑ **States' main obligations under USOAP CMA**

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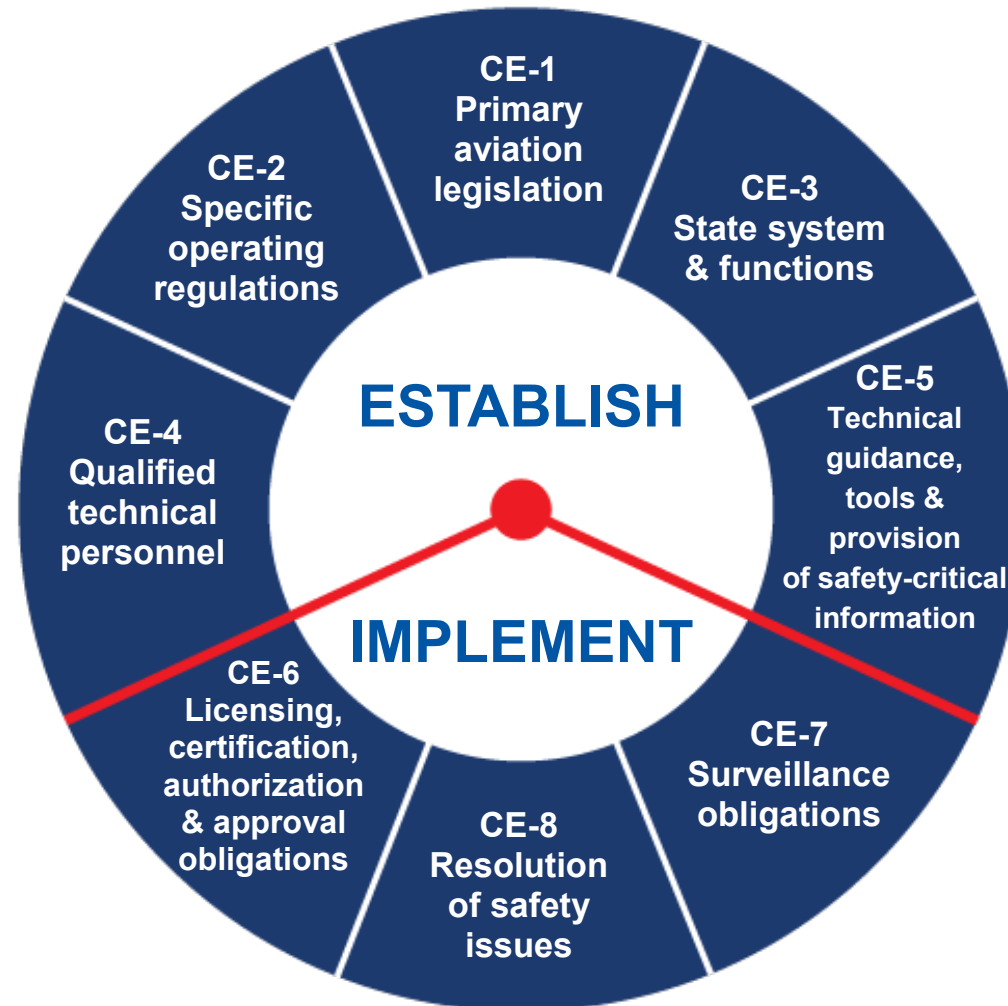# Critical Elements (CEs) of a State Safety Oversight System

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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.

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Critical Elements

CE-1
Primary aviation legislation

CE-2
Specific operating regulations

CE-3
State system & functions

CE-4
Qualified technical personnel

CE-5
Technical guidance, tools & provision of safety-critical information

ESTABLISH

IMPLEMENT

CE-6
Licensing, certification, authorization & approval obligations

CE-7
Surveillance obligations

CE-8
Resolution of safety issues

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Critical Element 1 (CE-1_

Primary aviation legislation

- States shall promulgate a comprehensive and effective aviation law, commensurate with the size and complexity of their aviation activity and consistent with the requirements contained in the Convention on International Civil Aviation, to enable the oversight and management of civil aviation safety and the enforcement of regulations through the relevant authorities or agencies established for that purpose.

- The aviation law shall provide personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel and associated records, as applicable, of individuals and organizations performing an aviation activity.

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Critical Element 2 (CE-2)

Specific operating regulations

States shall promulgate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures in conformity with the Annexes to the Convention on International Civil Aviation.

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Critical Element 3 (CE-3)

State system and functions

- States shall establish relevant authorities or agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources for the management of safety.

- States authorities or agencies shall have stated safety functions and objectives to fulfill their safety management responsibility.

- States shall ensure that personnel performing safety oversight functions are provided with guidance that addresses ethics, personal conduct and the avoidance of actual or perceived conflicts of interest in the performance of official duties.

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Critical Element 4 (CE-4)

Qualified technical personnel

- States shall establish minimum qualification requirements for the technical personnel performing safety-related functions and provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level.

- States shall implement a system for the maintenance of training records for technical personnel.

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Critical Element 5 (CE-5)

Technical guidance, tools and provision of safety-critical information

- States shall provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner.

- States shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

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Critical Element 6 (CE-6)

Licensing, certification, authorization and approval obligations

- States shall implement documented processes and procedures to ensure that individuals and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization or approval to conduct the relevant aviation activity.

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Critical Element 7 (CE-7)

Surveillance obligations

- States shall implement documented surveillance processes, by defining and planning inspections, audits, and monitoring activities on a continuous basis, to proactively assure that aviation licence, certificate, authorization and approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

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Critical Element 8 (CE-8)

Resolution of Safety Issues

- States shall use a documented process to take appropriate actions, up to and including enforcement measures, to resolve identified safety issues.

- States shall ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by individuals and organizations performing an aviation activity in resolving such issues.

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Eight CEs of a State Safety Oversight System

- **Definitions of CEs**: in Annex 19 — *Safety Management*, Appendix 1 (2nd edition, July 2016)

- **Guidance for CEs:**
  Doc 9734 — *Safety Oversight Manual, Part A — The Establishment and Management of a State Safety Oversight System* (3rd edition, 2017)*.
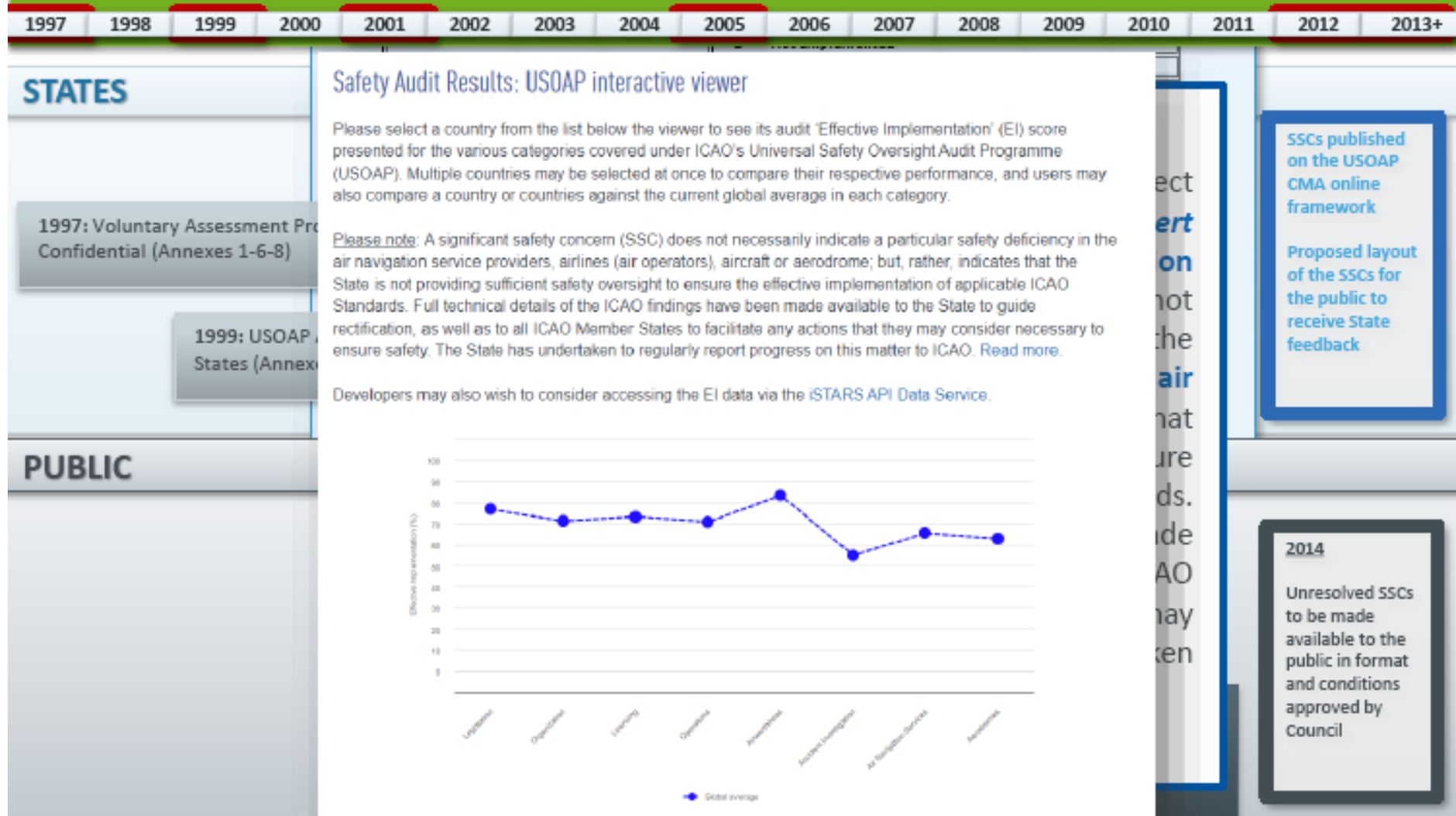
* Available on ICAO-Net and CMA Library of the CMA OLF.

As of January 2013, safety oversight information is available
on the ICAO public website:
URL: http://www.icao.int/safety/Pages/USOAP-Results.aspx

| 1997 | 1998 | 1999 | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013+ |

STATES

1997: Voluntary Assessment Pr
Confidential (Annexes 1-6-8)

1999: USOAP
States (Annex

PUBLIC

Safety Audit Results: USOAP interactive viewer

Please select a country from the list below the viewer to see its audit 'Effective Implementation' (EI) score presented for the various categories covered under ICAO's Universal Safety Oversight Audit Programme (USOAP). Multiple countries may be selected at once to compare their respective performance, and users may also compare a country or countries against the current global average in each category.

Please note: A significant safety concern (SSC) does not necessarily indicate a particular safety deficiency in the air navigation service providers, airlines (air operators), aircraft or aerodrome; but, rather, indicates that the State is not providing sufficient safety oversight to ensure the effective implementation of applicable ICAO Standards. Full technical details of the ICAO findings have been made available to the State to guide rectification, as well as to all ICAO Member States to facilitate any actions that they may consider necessary to ensure safety. The State has undertaken to regularly report progress on this matter to ICAO. Read more.

Developers may also wish to consider accessing the EI data via the iSTARS API Data Service.

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SSCs published
on the USOAP
CMA online
framework

Proposed layout
of the SSCs for
the public to
receive State
feedback

2014

Unresolved SSCs
to be made
available to the
public in format
and conditions
approved by
Council

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USOAP CMA Audit Areas and Protocol Questions

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Audit Areas

Protocol Questions

- Primary tool used to assess States' safety oversight capabilities, for each CE.

- 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.**

- Not Satisfactory (N/S) PQ generates a finding, and, since 2014, each finding is PQ-specific.

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PQ - Example

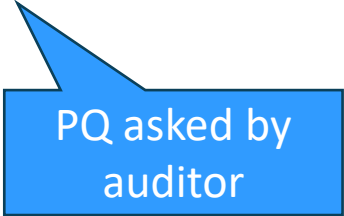| PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
5.125	Have procedures been developed for the issuance of certificate of registration and for the maintenance of the aircraft register?	1) Verify procedures. 2) Verify that aircraft must be de-registered from previous State first. 3) Verify that procedures indicate that no combinations shall be used which might be confused with the five-letter combinations used in the International Code of Signals, Part II, the three-letter combinations beginning with Q used in the Q Code, and with the distress signal SOS, or other similar urgent signals, for example XXX, PAN and TTT.	CC Art. 19 STD A7 7 & 8 GM Doc 9760 Part III, C2	Yes	CE-5

PQ asked by auditor

Examples of evidence to be presented by the State

ICAO References

Priority PQ?

CE associated with this PQ

ICAO

PQ - Example

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
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ICAO

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Priority PQ?

ICAO

PQ - Example

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CE associated with this PQ

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Priority Protocol Question

- Identified as required by GEUSR

- A subset of PQs, which, if found not satisfactory, may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively

- PPQs are a subset of PQs from the existing PQs

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PPQ by Audit Area

Audit Area	2017 PQs	2020 PQs			
	Total No.	Total No.	Number of		
			PPQ	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

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PPQ by Critical Element

	Total 2020 PQs		CE-1		CE-2		CE-3		CE-4		CE-5		CE-6		CE-7		CE-8	
	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ
LEG	23	14	14	9	6	5	0	0	0	0	3	0	0	0	0	0	0	0
ORG	13	5	0	0	0	0	9	4	2	1	2	0	0	0	0	0	0	0
PEL	93	35	0	0	13	6	6	1	7	0	10	2	40	22	10	4	7	0
OPS	126	34	3	0	11	4	10	1	5	2	20	1	56	22	14	4	7	0
AIR	186	33	0	0	41	5	14	1	12	3	37	10	59	11	10	2	13	1
AIG	84	24	8	4	11	5	10	2	4	1	42	7	0	0	0	0	9	5
ANS	122	27	3	0	6	2	16	0	14	0	2	0	27	7	47	18	7	0
AGA	143	40	2	1	21	6	7	2	7	2	14	1	51	17	32	9	9	2
	790	212	30	14	109	33	72	11	51	9	130	21	233	79	113	37	52	8

Use of PPQs

- PPQs will assist States by providing them with an overview of those PQs with greater direct relationships to risks that are necessary to be addressed for the establishment and implementation of their safety oversight systems.

- The use of PPQs allows ICAO to create focused USOAP CMA activities to ensure its resources and oversight efforts are applied accurately to the areas of greater safety risks.

- PPQs are **not** a replacement for the entire set of protocol questions, which continues to be essential in a comprehensive assessment of the effectiveness of a State's safety oversight system.

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PQ Amendment

- ICAO revises and amends PQs on a periodic basis to: a) reflect changes to the ICAO provisions; and b) harmonize and improve PQ references and content.

- Amendment of PQs incorporates inputs from:
    a) ICAO ANB;
    b) ICAO ROs;
    c) external stakeholders; and
    d) lessons learned and experiences drawn.

- PQ amendments may have a positive or negative impact on the level of EI of all States, as PQs may be added, changed, merged, separated, and/or deleted.

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2020 Edition of PQs

- In addition to the periodic amendment of USOAP PQs, the 2020 edition of the PQs was mainly a result of the implementation of the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR).

- This 2020 edition of the PQs is posted in the "CMA Library" on the OLF.

- The 2020 edition of the PQs became applicable for all USOAP CMA activities, **starting after 1 January 2022**.

  (EB 2021/40, dated 31 December 2021, refers)

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2020 Edition of PQs *(cont'd)*

Impact on EI:

- With the introduction of the 2020 edition of the PQs, the global EI decreased by 1.53 per cent when calculated against the previous edition of the PQs.

- There is no recognized correlation in the changes to States' EIs by audit area, critical element (CE) or region.
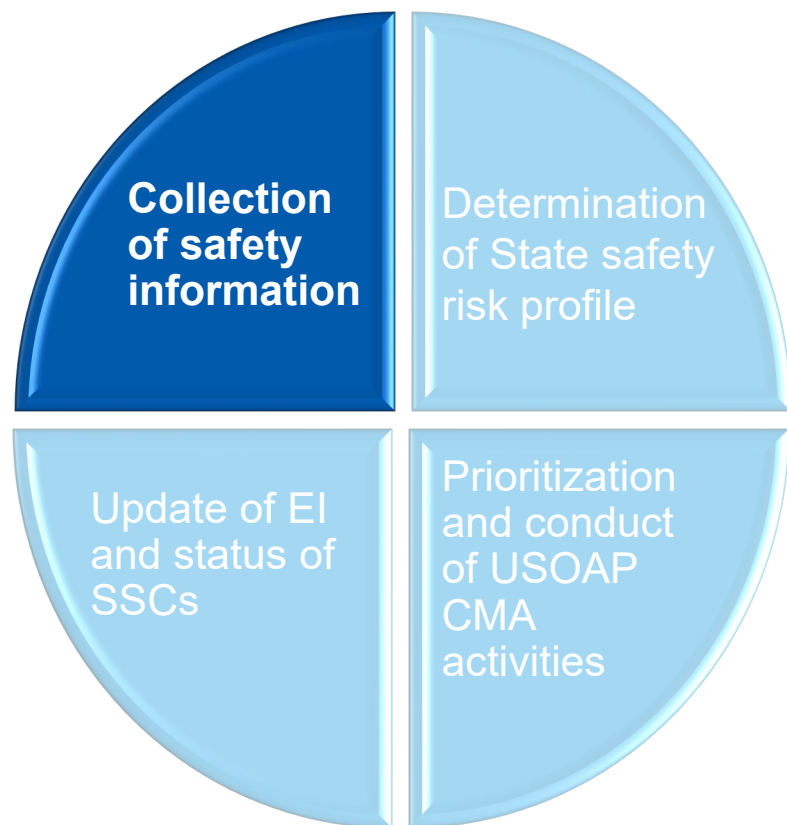
(EB 2021/36, dated 26 November 2021, refers)

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USOAP CMA Components

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USOAP CMA Components

- States
- Internal stakeholders
- External stakeholders

Collection of safety information

Determination of State safety risk profile

- Analysis of safety risk factors
- Evaluation of State's safety management capabilities

- Update of PQ Status
- Update of Status of Significant Safety Concern (SSC)

Update of EI and status of SSCs

Prioritization and conduct of USOAP CMA activities

- USOAP CMA audits
- Safety audits
- ICAO Coordinated Validation Missions (ICVMs)
- Off-site activities
- Mandatory Information Requests (MIRs)
- Training

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Collection of Safety Data and Information

Collection of safety information

Determination of State safety risk profile

Update of EI and status of SSCs

Prioritization and conduct of USOAP CMA activities

States provide:
1. State Aviation Activity Questionnaire (SAAQ);
2. Compliance Checklists (CCs) on the Electronic Filing of Differences (EFOD) system;
3. Self-assessment; and
4. Updated Corrective Action Plans (CAPs).

Internal stakeholders include the entire ICAO Secretariat.

External stakeholders include national, regional, supranational and international organizations with a standing legal agreement with ICAO on monitoring activities, such as FAA, EASA, IATA, etc.:
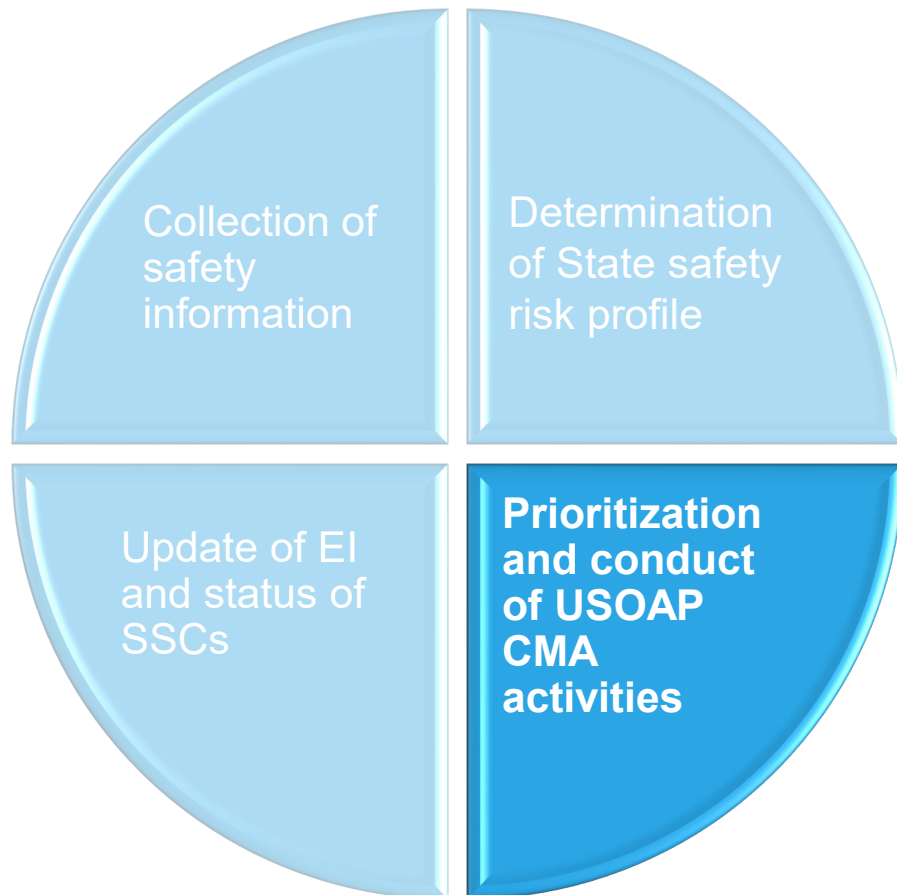
Note.— Some of these organizations conduct audit activities that generate safety information used as indicators for the USOAP CMA.

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Main Indicators for Determining State Safety Risk Profile

Collection of safety information

Determination of State safety risk profile

Update of EI and status of SSCs

Prioritization and conduct of USOAP CMA activities
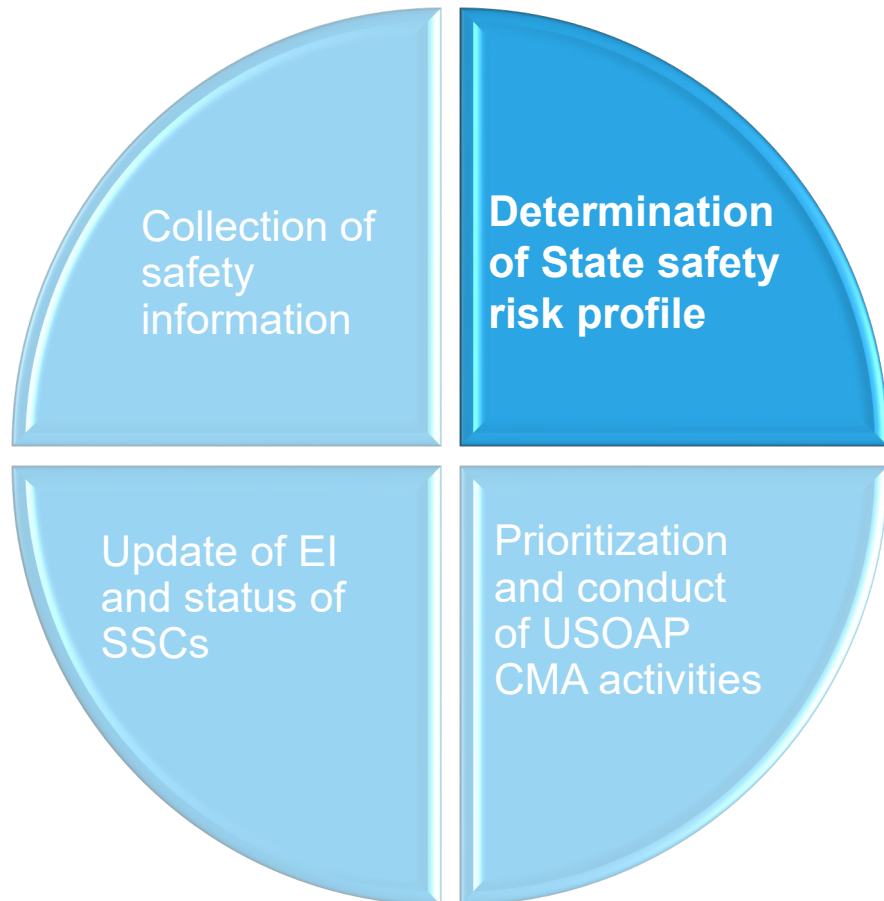
a) EI (determined through previous USOAP CMA activity);

b) Date and scope of last USOAP CMA activity;

c) Any postponement or cancellation by the State of a previously planned USOAP CMA activity;

d) Existence of SSC(s);

e) A State's progress in resolving an SSC, and/or the resolution thereof;

f) Level of (international) aviation activity and its trend (e.g., traffic);

g) Aviation accidents rate and its trend;

h) Level of progress made by a State in completing and updating PQ self-assessment on the OLF;

i) Level of progress made by a State in completing and updating the SAAQ on the OLF;

j) Level of progress made by a State in submitting and implementing CAPs to resolve identified deficiencies in each audit area on the OLF; and

k) Level of progress made by a State in completing the CC/EFOD system on the OLF.

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Prioritization of USOAP CMA Activities

Collection of safety information

Determination of State safety risk profile

Update of EI and status of SSCs

Prioritization and conduct of USOAP CMA activities

ICAO prioritizes CMA activities in States based on:

a) State safety profiles under USOAP; and

b) The following factors, non-exhaustively:
   - major changes in legislation/regulations in a State's civil aviation;
   - major changes in the organizational structure of a State's civil aviation authority;
   - significant changes in any of the audit areas within the State's civil aviation system;
   - level of aviation activities in the State for each audit area, such as the number of aircraft movements (arrivals and departures), personnel licences issued or validated, air operator certificates (AOCs) issued, aircraft registered, and serious aviation incidents and accidents;
   - information and recommendations from the ROs;
   - information shared by ICAO safety partners;
   - air navigation deficiencies;
   - State's progress in achieving GASP objectives on safety management;
   - evidence of a robust and sustainable safety oversight system and an aircraft accident/incident investigation system;
   - evidence of an effective mandatory safety reporting system, State aircraft accident and incident database, and safety analyses; and
   - regional representation.

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Conduct of USOAP CMA Activities

All USOAP CMA activities are planned, scheduled and conducted for a Member State based on available resources, i.e.

a) Approved MAC budget; and
b) Available MAC resources.

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USOAP CMA Activities

There are three categories of USOAP CMA activities:
- a) Audits;
- b) Validations; and
- c) SSPIAs.

USOAP CMA activities are conducted in the following modes:

- a) **On-site activities** – an audit, validation or SSPIA where the ICAO activity team reviews, assesses, and validates submitted evidence in person;
- b) **Off-site activities** – an audit or validation where the ICAO activity team reviews, assesses, and validates submitted evidence at ICAO Headquarters with minimal interaction with the States; and
- c) **Virtual activities** – an off-site audit or validation where the ICAO activity team reviews, assesses and validates remotely, using videoconferencing software to conduct interviews and discussions, as well as email or other electronic means to exchange and review evidence.

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USOAP CMA Activities - Audits

The different types of audits:

a) **Documentation-based audit (DBA).** A USOAP CMA activity conducted off site during which ICAO conducts a systematic and objective review of the establishment and/or implementation of a State safety oversight system for a State whose security situation, as classified under the UN Security Level System, precludes an on-site activity by ICAO and/or whose limited level of aviation activities does not warrant an on-site activity.

b) **Focused audit.** A type of USOAP audit which covers exclusively a subset of Protocol Questions (PQs), such as Priority PQs or a specific audit area.

c) **Follow-up audit.** A type of USOAP audit which covers PQs assessed previously as not satisfactory, not applicable, and undetermined.

d) **Full-scope audit.** A type of USOAP audit which covers the PQs associated with the entire scope of a State's safety oversight and accident/incident investigation system, as applicable.

e) **Integrated audit activity (IAA).** An audit, integrated with a scheduled visit to a State by ICAO, during which ICAO conducts a systematic and objective review of a small subset of PQs from a State that has not had previous audit or validation activities in the past five years.

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USOAP CMA Activities - Validations

The different types of validations:

a) **ICAO Coordinated Validation Mission (ICVM).** A validation during which ICAO collects and assesses evidence provided by the State demonstrating that the State has implemented corrective actions (or mitigating measures for significant safety concerns (SSCs)) to address previously identified findings.

b) **Integrated validation activity (IVA).** A validation, integrated with a scheduled visit to a State by ICAO or its stakeholders, where ICAO samples and collects evidence provided by the State for identified PQs, demonstrating effective implementation of corrective actions to address previously identified findings. ICAO HQ validates the collected evidence and information provided by the on-site team member.

c) **Off-site validation activity.** A USOAP CMA activity during which ICAO assesses and validates documented progress indicated by the State on the OLF as implementing its corrective action plan (CAP), including the assessment of relevant evidences uploaded to the OLF, without an on-site visit to the State.

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Factors Affecting the Determination of the Type of an USOAP CMA Activity – an Audit or an ICVM

CMA Audit	ICVM
State's safety risk profile	
Information submitted by State through PQ self-assessment	
Recommendations from RO or ANB sections	
Information shared by recognized international organizations	
Regional balance	
Date of last audit	State's readiness (via reported progress in CAP implementation)
Significant changes in any audit area within the State's civil aviation system	State's progress in resolving identified SSCs

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Factors Affecting the Determination of the Type of an USOAP CMA Activity – an Audit or an ICVM

Factors determining scope	ICVM	CMA Audit
Level of aviation activity in the State	✔	✔
Any changes to the State's system		✔
Acceptability of CAPs	✔	
Level of progress reported by the State in CAP implementation	✔	
State's self-assessment, including submitted evidence	✔	✔
Request by State (cost-recovery activity)	✔	✔
Availability of resources	✔	✔

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Factors Affecting the Determination of the Duration and Team Composition of an USOAP CMA Activity – an Audit or an ICVM

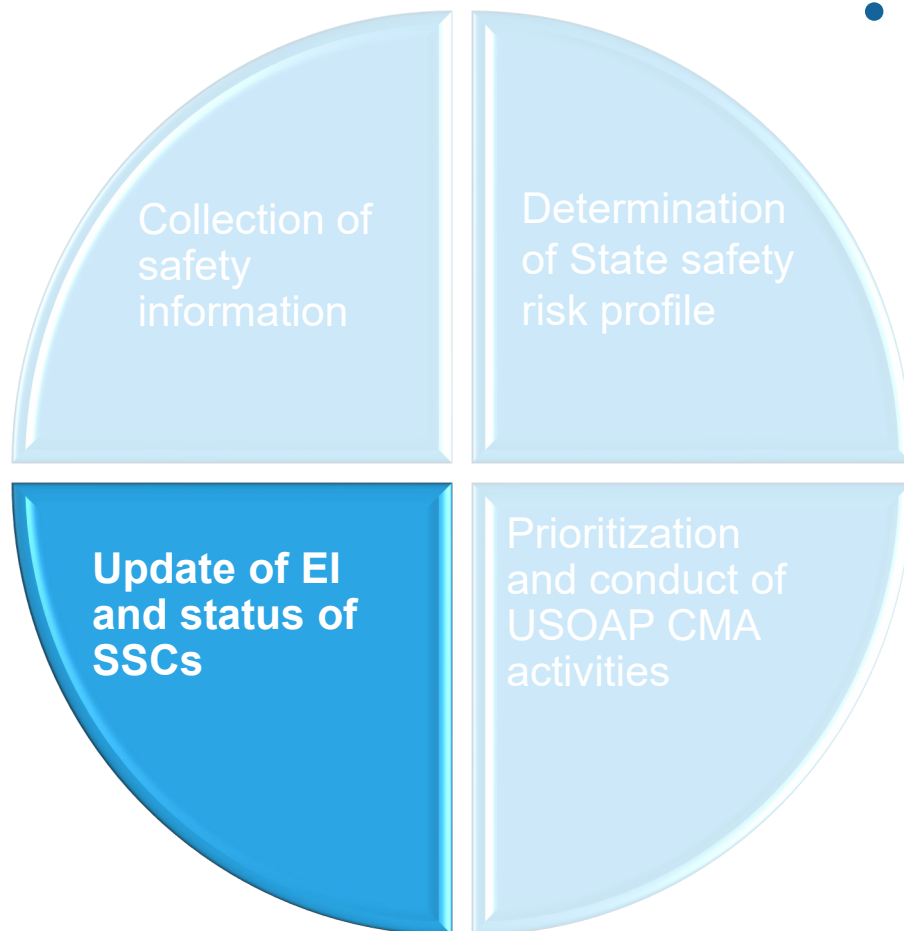| Factors determining duration and team composition	ICVM	CMA Audit
Scope	✔	✔
Complexity of the State's system	✔	✔
Number of Not-Satisfactory PQs to be addressed	✔	
Other factors, such as State's official language	✔	✔

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Criteria Used to Select a State for a Validation Activity

1) For an off-site validation activity: PQ findings associated with eligible PQs (PQs mostly from CEs 1 to 5);

2) For an ICVM: 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 PQ self-assessment on the OLF.

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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 or virtual activity.

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Update of EI

Collection of safety information

Determination of State safety risk profile

Update of EI and status of SSCs

Prioritization and conduct of USOAP CMA activities

- EI calculation:

$$\text{Overall EI (\%)} = \frac{\text{Number of Satisfactory PQs}}{\text{Total Number of Applicable PQs}} \text{ X } 100$$

- The validation of collected safety information enables ICAO to continuously update a State's EI.

- State's EI is reported on the OLF and on iSTARS 4.0.

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PQ Status Change

Status of PQs can only be changed following completion of a USOAP CMA activity, namely:

1) an audit activity (**DBA, Focused audit, Follow-up audit, full scope audit and IAA**); or

2) a validation activity (**ICVM, IVA or Off-site validation**).

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Mandatory Information Request (MIR)

- A MIR is issued by ICAO under the USOAP CMA process when concerns are raised by internal and/or external stakeholders about aspects of a State's safety oversight system.

- A MIR is a tool used under USOAP to seek information or documentation from a State with regards to the State's capability to perform safety oversight of its aviation system.

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When can a MIR be issued?

Generally, MIRs will be issued for one or more of the following instances, but not limited to these instances:

a) a State has not submitted and/or maintained its SAAQ, CC/EFOD, CAPs and/or PQ self-assessment complete and up-to-date;
b) information in the SAAQ, CC/EFOD and/or PQ self-assessment provided by the State contradicts information found in other documents or provided by other stakeholders;
c) a significant change is observed in the organization responsible for a State's aviation safety oversight;
d) credible evidence indicates that a potential deficiency or an SSC may exist, and additional information is required to validate this potential deficiency; it also allows the State the opportunity to clarify the issue;
e) Concerns raised about a State's lack of compliance in the conduct of its aviation activities; e.g. in the process of an aircraft accident or incident investigation;
f) information is needed in addition to an ICAO RO visit; and
g) information collected during a USOAP CMA activity is incomplete or insufficient

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State's Response to a MIR

- States are required to respond to a MIR.

- Failure by a State to respond to a MIR with: a) complete, clear and relevant information addressing the associated PQs and/or b) within the specified timeframe will result in findings and/or SSC(s) for the State.

- In the absence of response by State, the status of all associated PQs becomes Not Satisfactory.

- PQ status change as the result of the review of State responses to a MIR will be made following the off-site validation process.
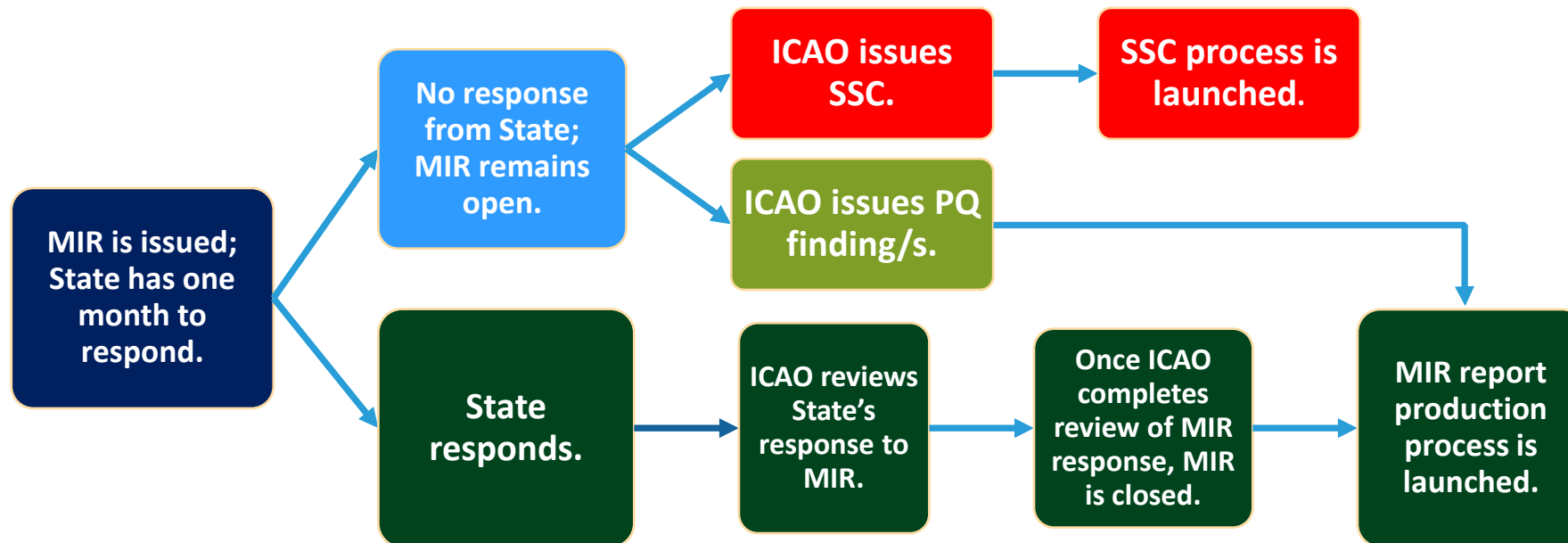
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State's Response to a MIR *(cont'd)*

- Deadline to respond to a MIR will be determined by ICAO on a case-by-case basis depending on the severity and urgency of the issue.

- No deadline extension will be granted in case of serious safety concerns.

- Once State submits MIR response requested by ICAO, ICAO starts review of MIR response.

- MIR is closed once ICAO completes review of MIR response.

- MIR report production process is then launched as an off-site validation activity.

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ICAO Response to a State's MIR Response

- State's response to a MIR is reviewed and assessed by ICAO (i.e. relevant SPOs/TOs of OAS/MAC).

- Assessment of information and other related evidences will lead to one or two of the following scenarios:

  a) no change in status of associated PQs; and

  b) change in status of associated PQ/s and a MIR Report is produced in the form of an off-site validation activity report; and/or

  c) in the most serious cases, an SSC is issued and the SSC process is launched.

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Graphic Summary of MIR Process (1)

Step 1 — A MIR is issued...

- MIR is issued; State has one month to respond.
  - No response from State; MIR remains open.
    - ICAO issues SSC. → SSC process is launched.
    - ICAO issues PQ finding/s. → MIR report production process is launched.
  - State responds. → ICAO reviews State's response to MIR. → Once ICAO completes review of MIR response, MIR is closed. → MIR report production process is launched.

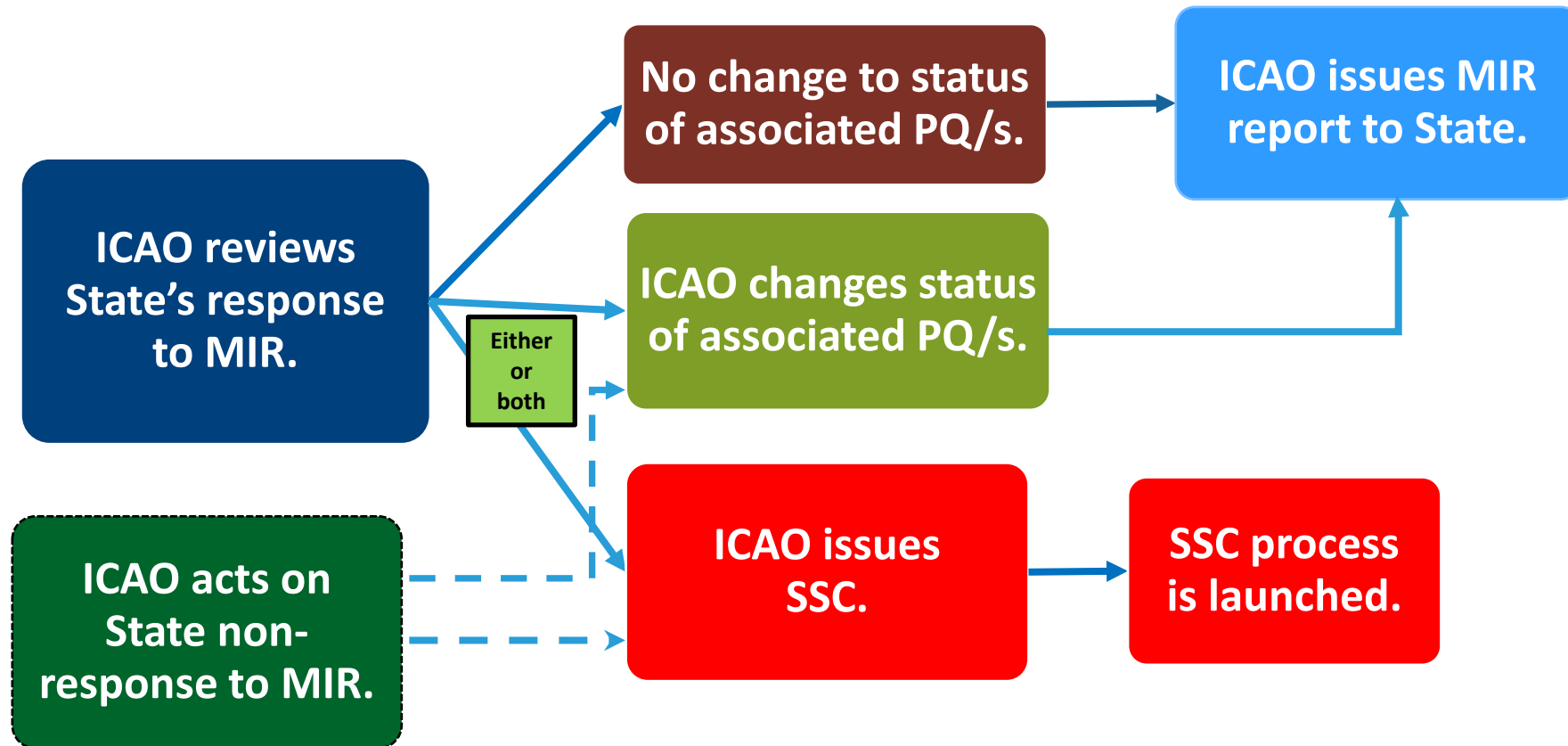ICAO

Graphic Summary of MIR Process (2)

Step 2 — MIR Review and Report Production Process
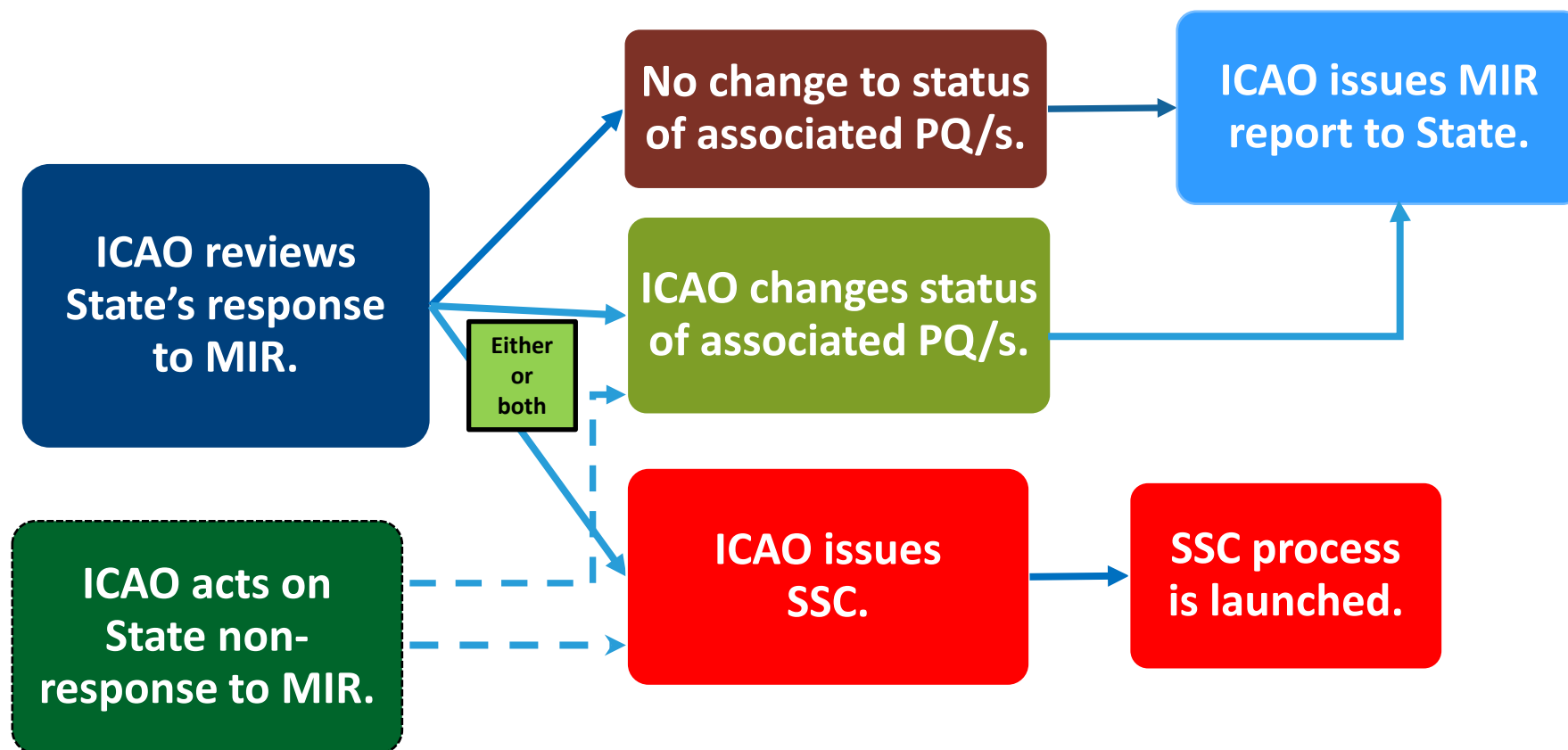
Graphic Summary of MIR Process (2)

Step 2 — MIR Review and Report Production Process

Significant Safety Concerns (SSCs)

Definition of a SSC

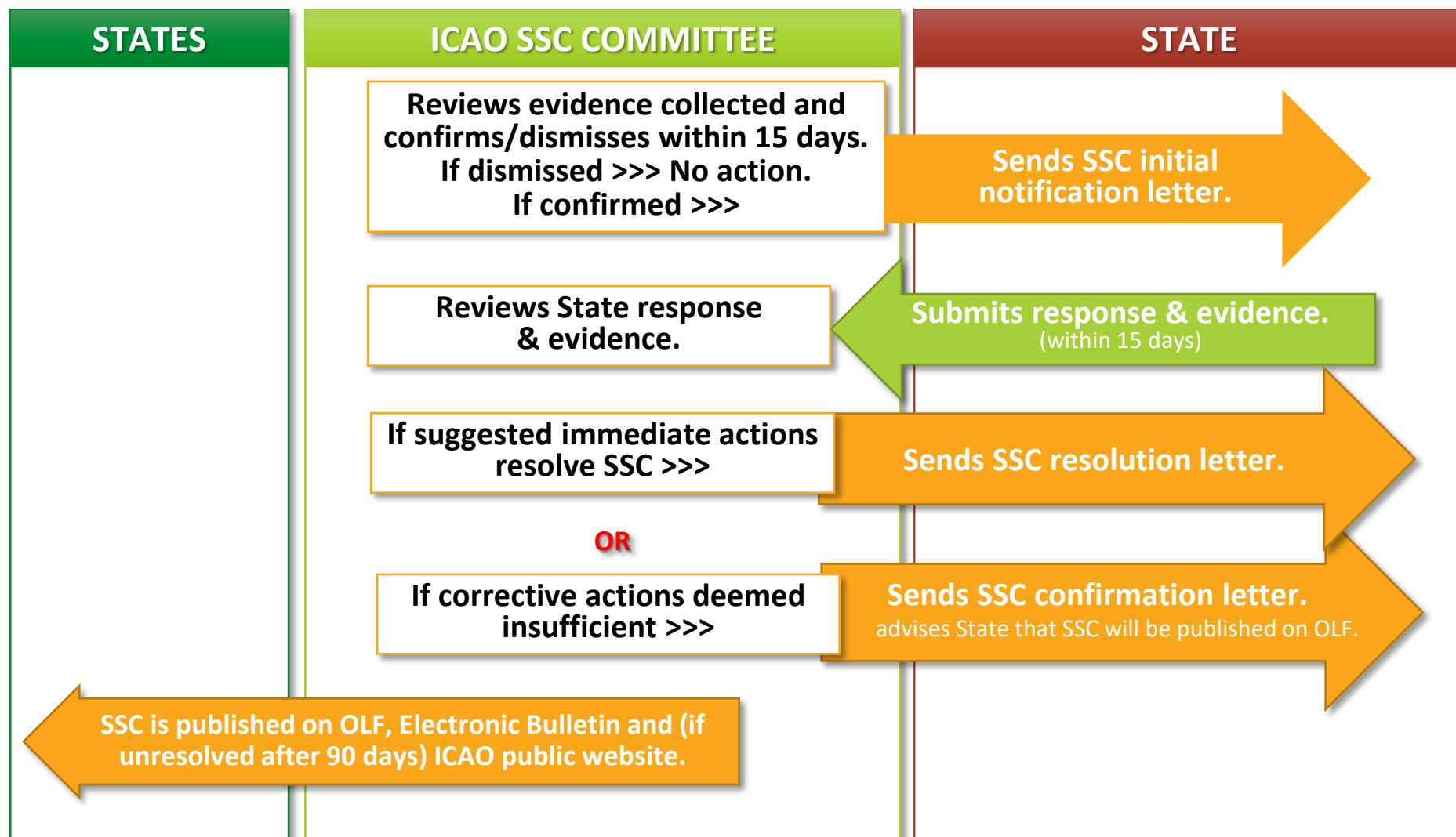"An *SSC* occurs when the audited State allows the holder of an authorization or approval to exercise the privileges attached to it, although the minimum requirements established by the State and by the Standards set forth in the Annexes to the Chicago Convention are not met, resulting in an immediate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

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

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SSC Mechanism - Identification

Continuous monitoring process

Ongoing monitoring of evidence and information collected from the State and other sources

USOAP CMA on-site activity

Preliminary SSC is identified

Evidence collected points to an SSC

- Team leader brings it to the attention of the State as soon as it is discovered.
- State may initiate corrective actions immediately.
- Team leader provides all relevant information to C/OAS.

ICAO SSC Committee is convened to validate

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SSC Mechanism - Notification

STATES	ICAO SSC COMMITTEE	STATE

Reviews evidence collected and confirms/dismisses within 15 days. If dismissed >>> No action. If confirmed >>>

Sends SSC initial notification letter.

Reviews State response & evidence.

Submits response & evidence. (within 15 days)

If suggested immediate actions resolve SSC >>>

Sends SSC resolution letter.

OR

If corrective actions deemed insufficient >>>

Sends SSC confirmation letter. advises State that SSC will be published on OLF.

SSC is published on OLF, Electronic Bulletin and (if unresolved after 90 days) ICAO public website.

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SSC Mechanism - Resolution

STATES	ICAO SSC COMMITTEE	STATE
		Continues to update progress on CAPs.
		Completes State self-assessment.
	Reviews State progress & evidence.	**Advises ICAO that SSC is resolved.**
	Recommends conduct of ICVM to verify implementation.	
	If corrective actions are insufficient >>>	

OR

	If corrective actions resolve SSC >>>	**Sends SSC resolution letter.**
SSC is immediately removed from USOAP CMA OLF and ICAO public website. SSC resolution is published in Electronic Bulletin.		
	Reports SSC resolution to MARB.	

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USOAP Computer-Based Training

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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.

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USOAP CMA CBT

- Assembly Resolution A40-13 urges all Member States to support ICAO in the evolution of the USOAP CMA and, for those able to do so, to second qualified and experienced technical staff to ICAO on a long- or short-term basis.

- State-nominated experts who meet stated qualifications and experience criteria for the various audit areas (per SL AN19/34-15/35, 13 May 2015) will be enrolled at no fee.

- More information is available at: https://www.icao.int/safety/CMAForum/Pages/USOAPCMA-CBT.aspx.

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State's Main Obligations under USOAP CMA

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State Obligations

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

- participate fully in the USOAP CMA by taking part in all USOAP CMA activities and by committing to provide information related to the establishment and implementation of its safety oversight system on an ongoing basis, 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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ICAO Doc 9735, 5th Edition

The USOAP Continuous Monitoring Manual – Doc 9735 was recently revised, and its latest edition, i.e. the 5th edition was published in 2023.

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Updates in ICAO Doc 9735, 5th Edition

- The 5th edition of Doc 9735 introduces updates and changes to the Programme since 2013:

  a) Addition of Annex 19 — Safety Management to USOAP coverage and Introduction of SSPIA as a new USOAP activity (a separate chapter is devoted to SSPIA);
  b) Implementation of the recommendations of GEUSR;
  c) Implementation of the recommendations of the USOAP-AG;
  d) Introduction of new or modified USOAP activities in response to COVID-19;
  e) general programmatic improvements based on State and stakeholder feedback as well as experience and lessons learned; and
  f) update stemming from the 41st Assembly of ICAO.

- In addition, the 5th edition of Doc 9735:

  a) reflected the organizational changes to ICAO, such as MO became MAC;
  b) Optimized the organization of the contents of the manual, such as
     - separate chapters for Audits and Validations, and SSPIAs; and
     - consolidate all info on the OLF in one chapter, i.e. Ch. 6.

Review

☑ **Critical Elements (CEs) of a State Safety Oversight System**

☑ **USOAP CMA Audit Areas and Protocol Questions (PQs)**

☑ **USOAP CMA Components**

☑ **USOAP CMA Computer-Based Training (CBT)**

☑ **States' main obligations under USOAP CMA**

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North Atlantic
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Paris

Asia and Pacific
(APAC) Sub-office
Beijing

Middle East
(MID) Office
Cairo

Western and
Central African
(WACAF) Office
Dakar

North American
Central American
and Caribbean
(NACC) Office
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(SAM) Office
Lima

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Southern African
(ESAF) Office
Nairobi

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(APAC) Office
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Thank You!