



ICAO

# INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY

**RSOOs Workshops**

**Session 4 – USOAP CMA**

**Moderator:**

*Deputy Regional Director, ICAO WACAF*





1. **SSO System**
2. **CAP**
3. **PQs SSA**

# 02 State SO System Assessment

ESTABLISHMENT CEs  
IMPLEMENTATION CEs



# STATE SAFETY OVERSIGHT SYSTEM (SSO) ASSESSMENT

## Review Establishment CEs



### → SSO system and functions (Organization)

- Civil Aviation Authority (CAA)/Accident Investigation Bureau (AIB) organizational structures reflect the current safety oversight administration/organization and be approved by the competent body
- Each safety oversight area, job descriptions to be developed for each inspectorate specialty and grade to cover all functions
- CAA/AIB Practices and procedures described in approved organizational structure manual
- Inspectors nominated based on required training and qualifications

# STATE SAFETY OVERSIGHT SYSTEM (SSO) ASSESSMENT

## Review Establishment CEs



### → Training and Qualification

- Training Policy endorsed by the CAA/AIB CEO
- Training Programme comprehensive, aligned with the training Policy
- Training plans based on an effective training needs assessment and approved in accordance with priorities and available resources.
- OJT conducted by qualified and experienced designated staff and documented
- Individual training records kept up to date

# STATE SAFETY OVERSIGHT SYSTEM (SSO) ASSESSMENT

## Review Establishment CEs

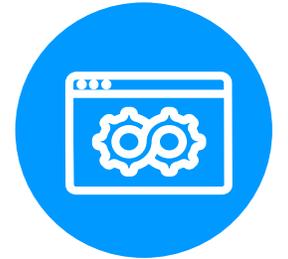


### → Procedures and Guidance Material

- Use USOAP-MO Guidance document on contents of procedures
- Procedures and Guidance Material to be controlled document and approved by the competent authority
- Procedures and guidance material content reflect the State Safety Oversight system
- Procedures associated with checklists referring to the relevant regulations and guidance material with associated forms.

# STATE SAFETY OVERSIGHT SYSTEM (SSO) ASSESSMENT

## Review Implementation CEs



### → Certification/Licensing/Approval/Authorization

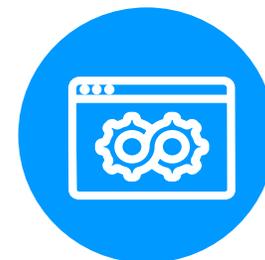
- Processes completed in accordance with existing regulations, procedures, and guidance material
- Involved staff meet training and qualification requirements
- Carried out tasks documented and recorded
- Deficiencies notified to the applicant
- Agreed corrective action plan implemented
- Follow-up inspections conducted, and
- Open items closed prior to issuance of certificate, license, approval, authorization.

# STATE SAFETY OVERSIGHT SYSTEM (SSO) ASSESSMENT

## Review Implementation CEs

### → Surveillance

- Conduct Safety risk-based surveillance
- Surveillance plans to cover all relevant activities
- Surveillance to address CAPs issued from certification/approval processes
- Surveillance activities to be fully implemented and documented



# STATE SAFETY OVERSIGHT SYSTEM (SSO) ASSESSMENT

## Review Implementation CEs

### → Resolution of Safety Concerns – Enforcement and Investigation processes

- Enforcement processes relevant to safety deficiencies categories, gradual, dissuasive and timely
- CAPs implementation effective and documented
- State mandatory and voluntary reporting systems effective
- Findings addressed within prescribed timeframe and appropriate measures taken for open items.
- Identify and manage recurrent non-conformities
- Enforcement measures effective and efficient in accordance with enforcement policy and procedures
- For the AIA, completed and documented investigation processes from the initial notification until the final report and associated recommendations



# 03 CAP Update



## GUIDANCE FOR STATES ON DEVELOPING CORRECTIVE ACTION PLANS (CAPs)

### Criteria

Initial proposed CAPs and subsequent CAP updates should meet the following six criteria:

- 1) Relevant — CAPs should address the issues and requirements related to the finding and corresponding PQ and Critical Element (CE).
- 2) Comprehensive — CAPs should be complete; including all elements or aspects associated with the finding.
- 3) Detailed — CAPs should be laid out in a step-by-step approach, as required, to outline the implementation process.
- 4) Specific — CAPs should identify who will do what, when, in coordination with the responsible office or entity.
- 5) Realistic — CAPs should be realistic in terms of contents and implementation timelines.
- 6) Consistent — CAPs should be consistent in relation to other CAPs and with the State self-assessment.

State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Mandatory Information Requests (MIR) ▾ User Management ▾ Reports ▾ Feedback ▾

Corrective Action Plan (CAP) / Manage Corrective Action Plan

CAPs Qualified PQs Qualified Search

**List Of Not Satisfactory PQs**

PQ No.	Question	Language
1.205 LEG CE-2 CAP: 50%	Has the State established and implemented a process to ensure the identification and publication in the State's AIP of significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices?	English Español Français Русский

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Page: 1 of 1

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**Protocol Finding** CMA 2020 Protocols as of Year 2020

PQ No. 1.205

Reply to PQ Implementation Status Not satisfactory CSA Audit Finding LEG/02 SSC

Activity ICAO Coordinated Validation Miss Start Date 05/06/2018 End Date 12/06/2018 Report Publication Date 26/10/2018

Description  
With the latest amendment to the PQ questions, this PQ has been found Not Satisfactory. Please refer to your previous USOAP audit report for details: Findings 1.205(LEG/02), 3.011(LEG/02), 4.011(LEG/02)

Progress Documented  
The procedure PO.GAJ.03 provides for the definition of significant differences and designates the Office of Legal Affairs as in charge of the coordination and submission to the ANS entity the identified differences for their publication by ASA the ANSP, into the AIP. However, this procedure is not implemented yet.

**Corrective Action Plan**

Est. Imp. Date 03/07/2019 Rev. Imp. Date 31/12/2024 Completed Date Progress Status 50%

State CAP 30/05/2023 [Click to Update PQ Status or Attach Evidence](#)

**State Comments**

If the State disagrees with a finding issued by ICAO and does not submit a CAP for the finding, the State must provide a clear and detailed reason in the "State Comment" field on the USOAP CMA online framework (OLF).

## CAP – Proposed action

**Corrective Action Plan, Action Items: 29/05/2023**

Change Log

 An evidence has to be present and not being outdated to set the CAP status progress to 'Complete'

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress		
1	AAC will identify significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices to be published in the AIP.	AAJ	CC/EFOD Annex 1 to 19	30/04/2019	31/12/2024		50% complete		
2	AAC will coordinate with the AIS the publication in Cabo Verde AIP of all significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices.	AAJ	Gen 1.7 Differences from ICAO SARPS published in AIP	03/07/2019	31/12/2024		50% complete		

- Ensure that the proposed actions in a CAP directly and fully address the PQ finding and ICAO provisions as stated in the ICAO reference/guidance.
- Break down large action items into smaller, more manageable elements.
- Describe each proposed action in a clear and detailed manner.
- List the step-by-step corrective actions in the correct sequential and/or chronological order (e.g. establishing a requirement, elaborating supporting procedure(s), generating associated checklists, and providing training before implementing it).
- Provide a good and clear working plan and adequate detail for the implementation of each step of the proposed corrective actions.

## CAP – Action office

**Corrective Action Plan, Action Items: 29/05/2023**

Change Log

**!** An evidence has to be present and not being outdated to set the CAP status progress to 'Complete'

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress		
1	AAC will identify significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices to be published in the AIP.	AAJ	CC/EFOD Annex 1 to 19	30/04/2019	31/12/2024		50% complete		
2	AAC will coordinate with the AIS the publication in Cabo Verde AIP of all significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices.	AAJ	Gen 1.7 Differences from ICAO SARPS published in AIP	03/07/2019	31/12/2024		50% complete		

- Ensure that the responsible action office is indicated for each one of the corrective action steps.
- If more than one organization or entity are involved in each step, identify and record each one clearly.
- Ensure that the action offices identified in each step of the corrective action have the authority to complete the action, especially with respect to the promulgation of legislation and/or regulations.
- For higher-level corrective actions, such as the promulgation of primary aviation legislation, enter the name of the entity which has the authority to complete the action.
- Spell out the acronym for the title of an action office the first time it is used in the CAP; use the acronym thereafter.

## CAP – Evidence reference

**Corrective Action Plan, Action Items: 29/05/2023**

Change Log

 An evidence has to be present and not being outdated to set the CAP status progress to 'Complete'

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress		
1	AAC will identify significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices to be published in the AIP.	AAJ	CC/EFOD Annex 1 to 19	30/04/2019	31/12/2024		50% complete		
2	AAC will coordinate with the AIS the publication in Cabo Verde AIP of all significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices.	AAJ	Gen 1.7 Differences from ICAO SARPS published in AIP	03/07/2019	31/12/2024		50% complete		

- Indicate the document containing the evidence in a clear manner.
- Provide a specific and clear reference to the page, section or paragraph of the document that contains the information that ICAO needs to review and validate.
- Avoid broad and generic reference to a large document. Be as specific as possible.

## CAP – Estimated Implementation Date (EID)

**Corrective Action Plan, Action Items: 29/05/2023**

Change Log

 An evidence has to be present and not being outdated to set the CAP status progress to 'Complete'

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress		
1	AAC will identify significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices to be published in the AIP.	AAJ	CC/EFOD Annex 1 to 19	30/04/2019	31/12/2024		50% complete		
2	AAC will coordinate with the AIS the publication in Cabo Verde AIP of all significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices.	AAJ	Gen 1.7 Differences from ICAO SARPS published in AIP	03/07/2019	31/12/2024		50% complete		

- Ensure that an estimated implementation date (est. imp. date or EID) is entered for each step in order to save the CAP.
- Ensure that the EID is realistic for the action item.
- Ensure that the EID is appropriate for the level of risk associated with the finding.
- The EID should be the date of completion for the action item.

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## CAP Update

- Responding to ICAO's assessment
  - If ICAO initially assesses a CAP as not addressing or only partially addressing the PQ finding, revise the CAP and ensure that it addresses the shortcomings indicated by ICAO.
  
- Updating CAPs
  - As per the signed MOU between the Member State and ICAO, ensure continuous updating of CAPs by indicating all of the following:
    - a) a progress level (in percentage %) for each action item as it is implemented; and
    - b) the date of completion for each completed action item.
  - If the initial estimated implementation date of an action item has passed and the action has not been completed (or not fully implemented yet), provide a revised implementation date.

# 03 PQs SSA





1.007 LEG ÉC-2 S	L'État a-t-il établi un processus de réglementation permettant l'établissement et la promulgation en temps opportun des règlements d'exploitation spécifiques conformément aux Annexes ?	English Español Français Русский
1.009 LEG ÉC-2 S	L'État a-t-il établi un processus d'amendement de ses règlements d'exploitation spécifiques ou, au besoin, de sa législation aéronautique de base, en tenant compte, entre autres, des dispositions de l'OACI et de leurs amendements ?	English Español Français Русский
1.011 LEG ÉC-5 S	L'État offre-t-il au public la possibilité d'accéder facilement à la législation aéronautique de base, aux règlements d'exploitation spécifiques, aux directives, ordonnances, circulaires et publications, etc. ?	English Español Français Русский
1.013 LEG ÉC-1 S	La législation aéronautique de base prévoit-elle l'institution d'une ou des AAC et la nomination d'un ou des directeur(s) général(aux)/président(s) directeur(s) général(aux) ?	English Español Français Русский
1.015 LEG ÉC-1 N	La législation aéronautique de base délègue-t-elle clairement les pouvoirs à chaque directeur général/président directeur général ayant une responsabilité en matière de supervision de la sécurité ?	English Español Français Русский
1.019 LEG ÉC-1 S	Si l'État a transféré des responsabilités de supervision de la sécurité à une organisation nationale/régionale ou supranationale, ce transfert est-il fondé sur une base juridique appropriée ?	English Español Français Русский
1.023 LEG ÉC-1 S	La législation aéronautique de base prévoit-elle l'émission d'instruments exécutoires supplémentaires, tels que des ordonnances et directives, pour appuyer les activités de supervision de la sécurité ?	English Español Français Русский
1.025 LEG ÉC-2 U	L'État a-t-il établi des procédures pour le recensement des éventuelles différences entre les SARP de l'OACI et sa législation et ses pratiques, et pour leur notification à l'OACI ?	English Español Français Русский

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Description [Translate](#) Source Language Français

Les règlements régissant l'aviation civile [redacted] restent inachevés et la couverture réglementaire est très faible. Bien qu'une série d'arrêtés ministériels ait permis de combler certaines lacunes, les dispositions des Annexes à la Convention de Chicago n'ont pas été toutes introduites et les procédures de révision et d'amendement des règlements béninois correspondants n'ont pas été établies. Par ailleurs, les procédures d'identification des différences avec les dispositions des Annexes, leur notification à l'OACI et leur publication dans la publication d'information aéronautique (AIP) nationale n'ont pas été établies. En outre, la législation de base et les règlements et règles d'exploitation connexes ne sont pas disponibles à l'ensemble des usagers.

Progress Documented [Translate](#) Source Language Français

Evidence [Translate](#) Source Language Français

Rapport EFOD [redacted] en date du 26/11/2014.  
Décision portant approbation de la procédure [redacted] 1,269,030 bytes  
[redacted] df 2.602.392 bytes

**Results of State Self-Assessment-- "Read/Write"** Draft Copy

Reply to PQ: Oui      Self-Assessment Status of Impl.: Satisfaisant      Last Modified: 20/06/2023 [Click To View CAP](#)

Remarks: [Translate](#) Source Language Français

Les règlements régissant l'aviation civile [redacted] sont achevés et couvrent l'ensemble des annexes à la Convention de Chicago relative à l'aviation civile internationale ainsi que les procédures d'identification des différences et de notification à l'OACI et leur publication dans la publication d'ans l'AIP nationale sont finalisées. Par ailleurs, la législation de base et les règlements et règles d'exploitation connexes sont disponibles à l'ensemble des usagers sur le site web de l'ANAC [redacted].

Evidence: [Translate](#) Source Language Français

## List Of Not Satisfactory PQs

PQ No.	Question	Language
Show/Hide Extended Columns		
3.203 PEL ÉC-6 CAP: <input checked="" type="checkbox"/> 25%	L'État a-t-il mis en œuvre un processus pour l'examen et l'évaluation systématiques des formulaires de demande présentés pour la délivrance des licences et qualifications et pour les examens ?	<a href="#">English</a> <a href="#">Español</a> <a href="#">Français</a> <a href="#">Русский</a>
3.208 PEL ÉC-6 CAP: <input checked="" type="checkbox"/> 100%	L'État a-t-il mis en œuvre une procédure d'appel des décisions du service de délivrance des licences ?	<a href="#">English</a> <a href="#">Español</a> <a href="#">Français</a> <a href="#">Русский</a>
3.257 PEL ÉC-6 CAP: <input checked="" type="checkbox"/> 75%	L'État a-t-il mis en œuvre un système pour rétablir les privilèges des licences et qualifications arrivées à échéance ?	<a href="#">English</a> <a href="#">Español</a> <a href="#">Français</a> <a href="#">Русский</a>
3.259 PEL ÉC-6 CAP: <input checked="" type="checkbox"/> 50%	Si l'État délivre des licences civiles à des pilotes militaires, un système a-t-il été mis en œuvre pour : a) la délivrance de licences ou de qualifications de pilote civil ; b) accorder des exemptions ?	<a href="#">English</a> <a href="#">Español</a> <a href="#">Français</a> <a href="#">Русский</a>
3.301 PEL ÉC-6 CAP: <input checked="" type="checkbox"/> 50%	L'État a-t-il mis en œuvre des procédures pour la délivrance de licences et de qualifications de pilote sur la base de licences étrangères (conversion de licences) ?	<a href="#">English</a> <a href="#">Español</a> <a href="#">Français</a> <a href="#">Русский</a>
3.303 PEL ÉC-6 CAP: <input checked="" type="checkbox"/> 100%	L'État a-t-il mis en œuvre des procédures pour la validation des licences et des qualifications de pilote étrangères ?	<a href="#">English</a> <a href="#">Español</a> <a href="#">Français</a> <a href="#">Русский</a>

## Protocol Finding

CMA 2020 Protocols as of Year 2020

PQ No.  Responsible Office for CAP Assessment

Activity  Reply to PQ  Status of Implementation

CSA Audit Finding  Start Date  End Date  Publication Date  SSC

## Description

Le Service PEL a mis en œuvre la procédure SN-SEC-PEL-PROC-09-B relative à la validation d'une licence étrangère. Toutefois, cette procédure ne décrit pas le système en place permettant de vérifier l'adéquation de la licence étrangère présentée avec les normes de l'Annexe 1 à la Convention de Chicago ni la méthode pour déterminer si les examens théorique et/ou pratique sont requises ou non.

Progress Documented

## Corrective Action Plan, Action Items: 14/10/2022

## Change Log

	Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
	1	Amender le RAS 01 en déterminant toutes les exigences requises pour la validation de licences et qualifications de pilote étrangères	DSV/DOL/PEL	RAS 01 Volume I appendice 1 -1.2.b.1 -1.3.c	30/06/2020			Achevé
	2	Amender la procédure (SN-SEC-PEL-PROC-09-B relative à une validation de licences étrangères de pilotes pour établir un système de vérification de toutes les exigences requises (notamment l'adéquation de la licence étrangère avec les normes de l'Annexe 1 de l'OACI) y compris les tests de connaissances théoriques	DSV/DOL/PEL	Procédure de validation de licence étrangère de pilote (SN-SEC-PEL-PROC -09-C)	30/06/2020		05/09/2022	Achevé
	3	Mettre en œuvre la procédure amendée de validation de licence étrangère en s'assurant du respect de toutes les dispositions réglementaires applicables y compris l'adéquation de la licence étrangère avec les normes de l'Annexe 1 de l'OACI	DSV/DOL/PEL	Dossier de validation de licence étrangère de pilote	30/06/2020		16/09/2022	Achevé

PQ No.	Question	Language
Show/Hide Extended Columns		
5.211 AIR CE-2 S	Has the State promulgated regulations for compliance with mandatory continuing airworthiness information from the State of Design?	English Español Français Русский
5.215 AIR CE-5 U	Has the State established procedures for developing its own mandatory continuing airworthiness information on a product for which it is not the State of Design?	English Español Français Русский
5.216 AIR CE-8 N	Has the State established and implemented a system for appropriate actions upon receipt of mandatory continuing airworthiness information from the State of Design?	English Español Français Русский
	In respect of aeroplanes over 5700 kg and helicopters over 3175 kg maximum	

[REDACTED] has developed requirements and procedure for issuance, in consultation with the State of Design, of additional mandatory continuing airworthiness information to those of the State of Design for an aircraft on the Sierra Leone register. However, the procedure is not complete and does not take into account some provisions for the issuance of mandatory continuing airworthiness information, in particular the guidelines for determining when additional information is necessary, the analysis methodology and the way to draft the additional mandatory requirement.

**Question:**  
 Has the State established procedures for developing its own mandatory continuing airworthiness information on a product for which it is not the State of Design?

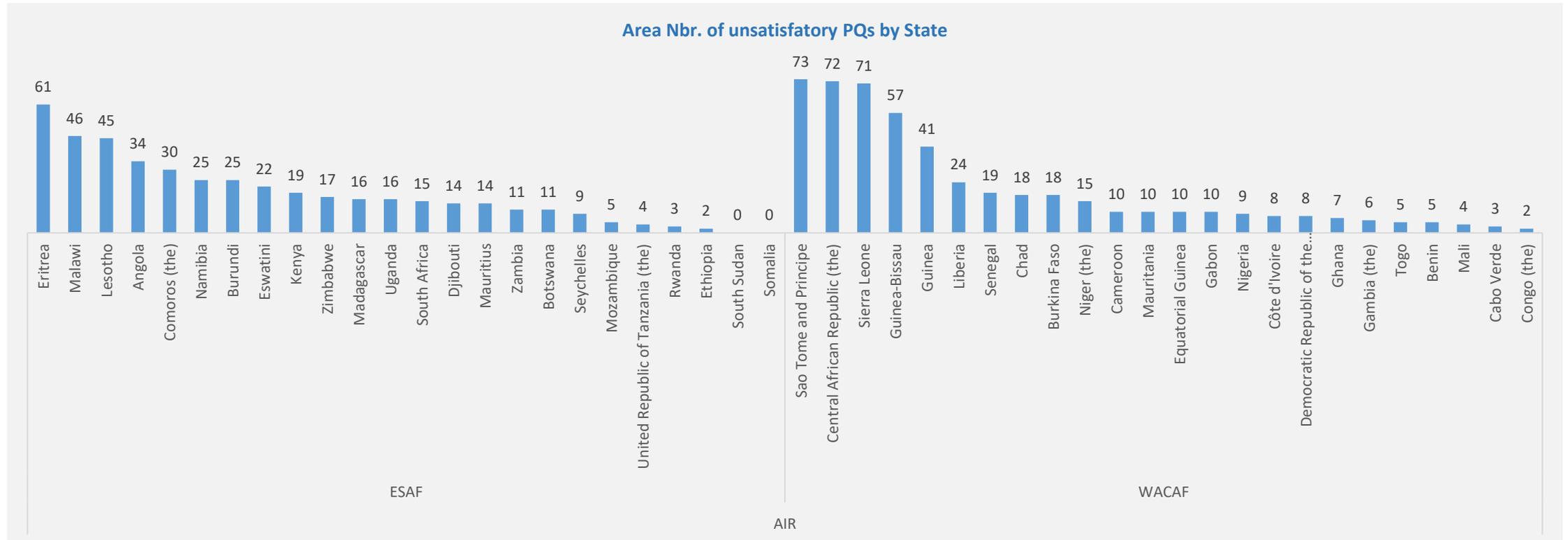
**Review Evidence:**  
 1) Guidelines for determining when additional information is necessary.  
 2) Coordination with the State of Design.

**Reference:**  
 STD  
 A8  
 Part II, 4.2.3  
 GM  
 Doc 9760  
 Part III, 9.5

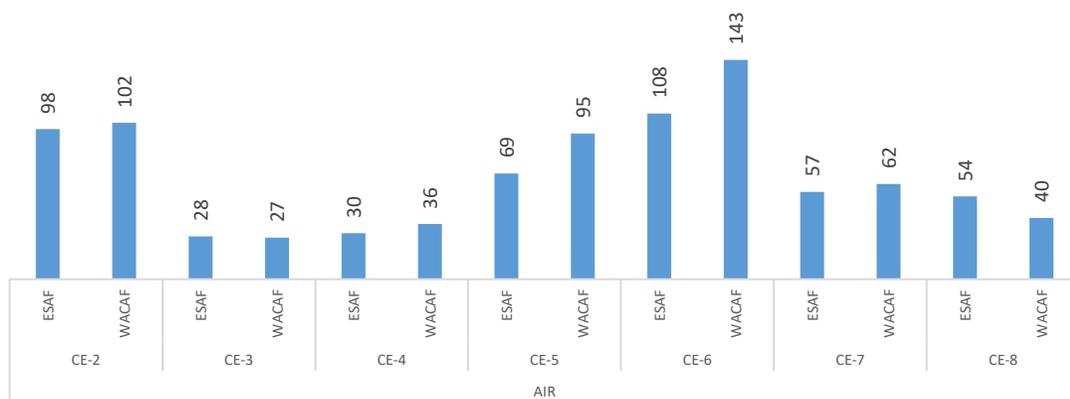
-AWS002 Ed. 1, Rev 00): Chapter 26 / §26.3  
 ft", December 2022 : §5.4.3 ; §5.4.4 ; §5.4.5

OK

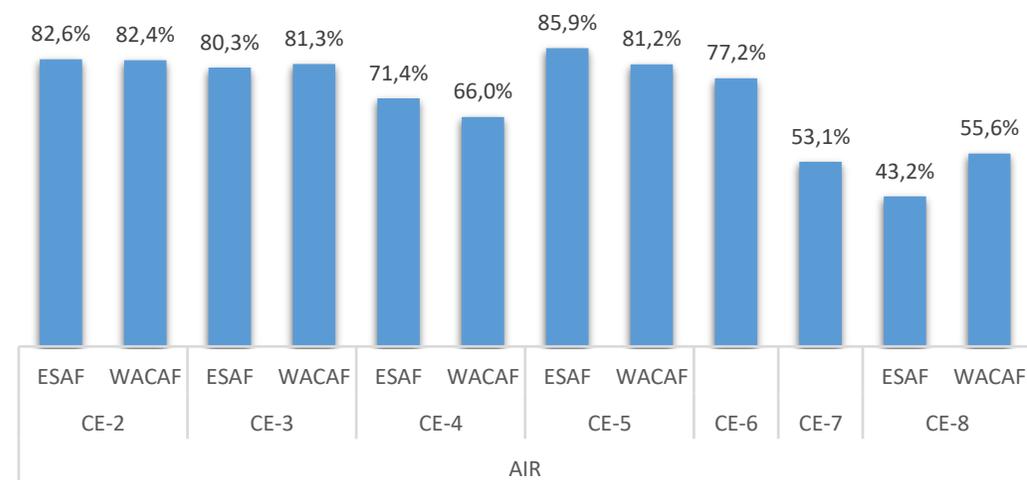
# ESAF and WACAF STATES - NS PQs in AIR



Area - Unsatisfactory PQs by Critical Elements



Safety Oversight - Area Level of Effective Implementation by CE



5.045 If no AED has been established, and the State approves/accepts airworthiness engineering data (modifications, repairs), how and to whom has the airworthiness engineering responsibility been assigned?

In States where an AED is not established, it may be necessary for the AID to be responsible for those engineering tasks associated with continuing airworthiness including evaluation and approval of repair and modification requests related to the continued operation of aircraft.

The related tasks should be accomplished by experienced personnel in the concerned areas

- 5.130 Does the State ensure that an aircraft carries an identification plate inscribed with at least its nationality or common mark and registration mark, made of fireproof metal or other fireproof material of suitable physical properties and secured to the aircraft in a prominent position near the main entrance?

5.205 Does the State ensure at regular intervals that its air operators maintain up-to-date and sufficient documentation concerning FDR parameter allocation, conversion equations, periodic calibration and other serviceability/maintenance information?

- to be verified during air operator's surveillance activities
- checklist and inspection reports to clearly indicate if the air operator maintains up-to-date information
- uses of alternative means or other serviceability/maintenance information as prescribed by the regulations in force in the State

5.217 In respect of aeroplanes over 5700 kg and helicopters over 3175 kg maximum certificated take-off mass, has the State established and implemented a system to ensure that information on faults, malfunctions, defects and other occurrences that cause or might cause adverse effect on the continuing airworthiness of the aircraft is transmitted to the organization responsible for the type design of the aircraft, engine or propeller, or to the organization responsible for the design of the modification, when applicable?

To be confirmed with:

- Provisions in the relevant regulations
- Provisions in AOC holder or MROs Policy and Procedures manual
- Implementation

5.263 Is the AID involved in the process of evaluating an air operator for the issuance of an AOC, including the operations specifications issued in conjunction with the AOC?

5.325 Has the State promulgated airworthiness regulations for RVSM approval?

#### Annex 6 Part I

7.2.10 All States that are responsible for airspace where RVSM has been implemented, or that have issued RVSM specific approvals to operators within their State, shall establish provisions and procedures which ensure that appropriate action will be taken in respect of aircraft and operators found to be operating in RVSM airspace without a valid RVSM specific approval.

*These provisions and procedures need to address both the situation where the aircraft in question is operating without a specific approval in the airspace of the State, and the situation where the operator for which the State has regulatory oversight responsibility is found to be operating without the required specific approval in the airspace of another State.*

# Setting the Scene





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Thank You!