



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach

Preparation and Conduct of USOAP CMA Onsite Activity (Audit or ICVM)

- I. Phases of USOAP CMA Onsite Activity
 - ✓ Phase 1 – Preparation
 - ✓ Phase 2 – Onsite Activity (Audit or ICVM)
 - ✓ Phase 3 – Validation and Report Production (Post-audit/ICVM)
- II. Scope and Conduct of Onsite Activity
- III. Protocol Question (PQ) - Examples
- IV. USOAP CMA On-site Activity Timelines (after completion of the on-site activity)
- V. AGA PQs – Effective from 1 July 2017



I. Phases of USOAP CMA Onsite Activity

Phase 1 — Preparation

- Activity schedule developed and published
- State notified of on-site audit dates – **120 days** before start of the on-site activity
- SAAQ and CCs/EFOD submitted by State
- State-specific audit plan developed and communicated to State
- Completion of audit preparation and coordination with State

USOAP CMA On-site Activity Timelines (before the start of the on-site activity)



RESPONSIBILITIES/TASKS		TIMELINES BY ACTIVITY (days noted below are calendar days)			
ICAO	State	ICVMs	Audits	Cost recovery ICVMs	Safety (cost recovery) audits
Publication/posting of USOAP CMA schedule		Periodic (typically 12 months)		ICAO and the Member State shall mutually agree on the dates and timelines for cost recovery ICVMs on a case-by-case basis.	ICAO and the Member State shall mutually agree on the dates and timelines for safety audits on a case-by- case basis. (Note.— Safety audits are cost recovery audits.)
Notification letter to States about conduct of on-site activity		120 days before start of on-site activity			
	Acknowledging receipt of notification letter	30 days after receipt of notification letter			
Confirmation letter to States about the ICVM scope		90 days before start of ICVM	N/A		
	Acknowledging receipt of confirmation letter	30 days after receipt of notification letter	N/A		
	Updating CAPs	Ongoing submission of CAP updates at least 90 days before start of ICVM	N/A		
Latest date for changing scheduled activity		60 days before start of ICVM	90 days before start of audit		

Audit Plan – Work Programme



Day, dd/mm/yyyy	HH:MM to HH:MM	Opening meeting, welcome address, introductions; LEG/ORG PQs
Day, dd/mm/yyyy	HH:MM to HH:MM	Audit activities in PEL/OPS/AIR/AIG/ANS/AGA
Day, dd/mm/yyyy	HH:MM to HH:MM	Audit activities in OPS/AIR/AIG/ANS/AGA
Day, dd/mm/yyyy	HH:MM to HH:MM	Audit activities in OPS/AIR/AIG/ANS/AGA
Day, dd/mm/yyyy	HH:MM to HH:MM	Visit to industry and service pro Clarification of open items and debriefing on the industry visit
Day, dd/mm/yyyy	HH:MM to HH:MM	Audit team consolidates report and organizes collected evidence
Day, dd/mm/yyyy	HH:MM to HH:MM	Closing meeting and oral presentation of draft audit results

Last chance to provide evidence:
[HH:MM] on [dd/mm/yyyy].

Phase 2 — Onsite Activity (Audit/ICVM)

- Opening meeting (including LEG and ORG)
- On-site audit (PEL/OPS/AIR/AIG/ANS/AGA)
- Audit of a regional office of the CAA and/or investigation authority, if applicable
- Visit to industry and service providers
- Preparation of draft audit PQ findings and draft audit report
- Closing meeting

Closing Meeting Agenda



- General briefing and comments
- Summary and presentation of draft PQ findings
- Closing meeting presentations
- Explanation of post-audit phase activities
- Comments by State authorities

Phase 3 — Validation and Report Production (Post-audit/ICVM)

- ICAO forwards draft audit report to State.
- State submits comments and Corrective Action Plans (CAPs).
- Comments are incorporated into final audit report.
- Final audit report is published on USOAP CMA Online Framework (OLF): **www.icao.int/usoap**.

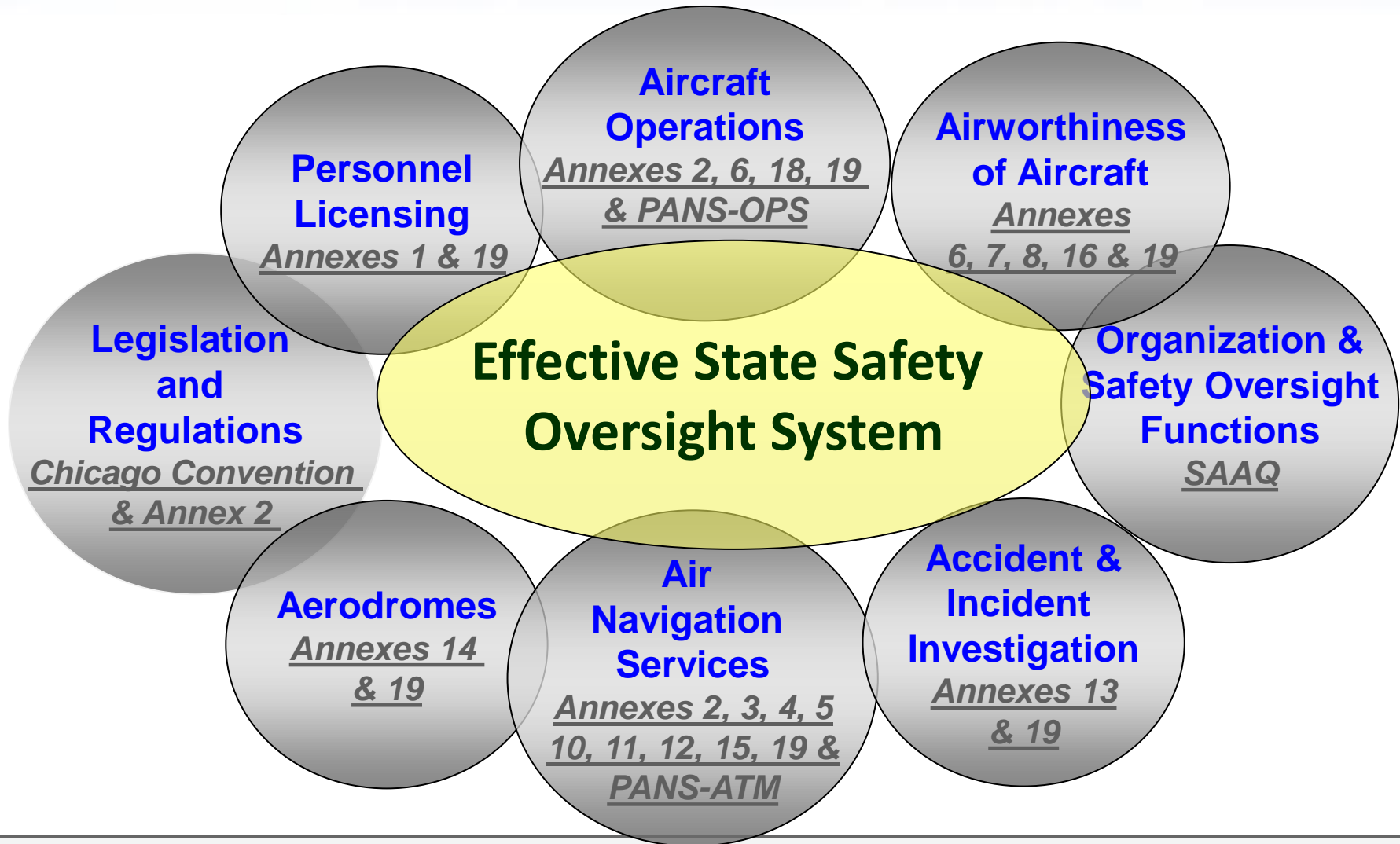
II. Scope and Conduct of Onsite Activity (Audit/ICVM)



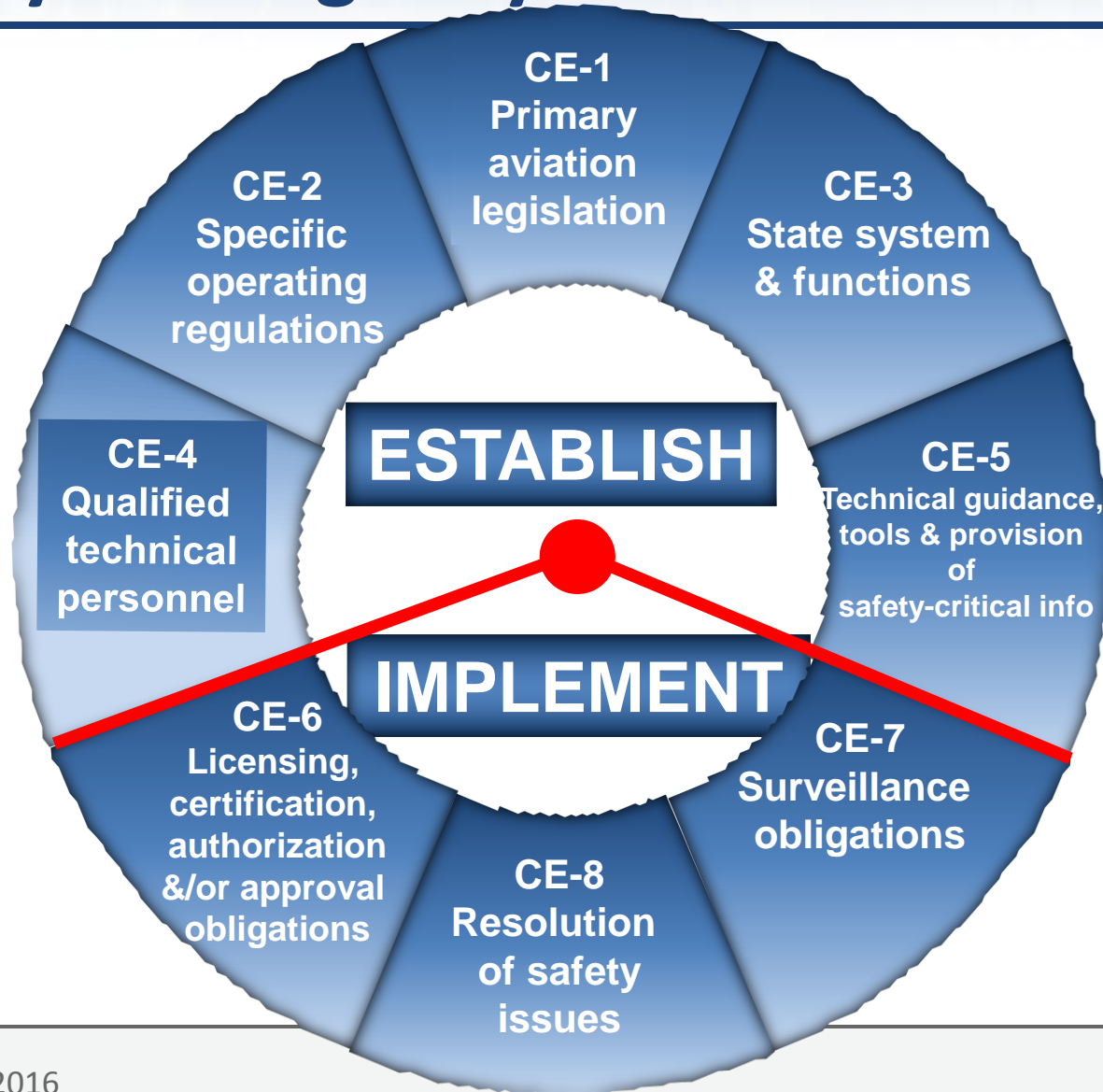
Scope/Conduct of Audit

- Based on ICAO Doc 9735 and MOU signed between **[State]** and ICAO.
- Covers **[#]** audit areas: **[LEG, ORG, PEL, OPS, AIR, AIG, ANS, AGA]**
- PQs are main tools used for conduct of audit.
- Each PQ is linked to one of 8 critical elements (CEs) of State's safety oversight system.
- Effective implementation (EI) is indication of State's capability for safety oversight.

Audit Areas



Critical Elements (CEs) of a Safety Oversight System



Conduct of Audit: PQs

Protocol Questions (PQs)

- Standardize conduct of audits to ensure transparency, quality and reliability.
- Number of “Satisfactory” PQs is reflected in the EI.
- Evidence-based approach:
 - **Show me**
 - **Lack of evidence = PQ finding**

III. Protocol Question (PQ) - Example

PQ — Example



ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
STD A6 Part I 11.1 & Att. E, 3.4 z) Part III 9.1 & Att. E, 6	OPS 4.129 Has the State promulgated regulations for AOC applicants to develop procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State Ministry?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> > Verify the establishment and implementation of: <ul style="list-style-type: none"> a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. > Review air operator's operations manual to confirm implementation and compliance. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable		2
STD A6 Part I 4.2.1.3 Part III 2.2.1.3 GM Doc 8335 Part II C 2 & Part III C 5	OPS 4.103 Is the organizational structure of an AOC applicant reviewed to ensure that: <ul style="list-style-type: none"> a) Duties, responsibilities and authorities are clearly defined, and b) Functional tasks and lines of reporting are clearly delineated and duly documented? 	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> > Verify that applicable operations inspectors' guidance material, manuals, etc. have been developed and implemented. > Review exchange of letters with the applicant. > Verify that the safety management, quality assurance management and emergency management systems have been: <ul style="list-style-type: none"> a) Developed; b) Documented; and c) Implemented. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		6

ICAO Reference

PQ — Example



ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
STD A6 Part I 11.1 & Att. E, 3.4 z) Part III 9.1 & Att. E, 6	OPS 4.129 Has the State promulgated regulations for AOC applicants to develop procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> > Verify the establishment and implementation of: <ul style="list-style-type: none"> a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. > Review air operator's operations manual to confirm implementation and compliance. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable		2
STD A6 Part I 4.2.1.3 Part III 2.2.1.3 GM Doc 8335 Part II C 2 & Part III C 5	OPS 4.103 Is the structure of a reviewed to a) Duties, re authorities are clearly defined, and b) Functional tasks and lines of reporting are clearly delineated and duly documented?	PQ asked by auditor	<ul style="list-style-type: none"> > Verify that applicable operations inspectors' guidance material, manuals, etc. have been developed and implemented. > Review exchange of letters with the applicant. > Verify that the safety management, quality assurance management and emergency management systems have been: <ul style="list-style-type: none"> a) Developed; b) Documented; and c) Implemented. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		6

PQ — Example



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STD A6 Part I 11.1 & Att. E, 3.4 z) Part III 9.1 & Att. E, 6	OPS 4.129 Has the State promulgated regulations for AOC applicants to develop procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	<input type="checkbox"/> Yes <input type="checkbox"/> No	> Verify the establishment and implementation of: a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. > Review air operator's operations to confirm implementation and	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable		2
STD A6 Part I 4.2.1.3 Part III 2.2.1.3 GM Doc 8335 Part II C 2 & Part III C 5	OPS 4.103 Is the organization structure of an AOC reviewed to ensure that: a) Duties, responsibilities and authorities are clearly defined, and b) Functional tasks and lines of reporting are clearly delineated and duly documented?		applicable operations guidance material, have been developed and implemented. > Review exchange of letters with the applicant. > Verify that the safety management, quality assurance management and emergency management systems have been: a) Developed; b) Documented; and c) Implemented.	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		6

Status of regulatory provision or action taken by State

PQ — Example



<i>ICAO ref.</i>	<i>Protocol question</i>	<i>Reply</i>	<i>Guidance for review of protocol question</i>	<i>Status of implementation</i>	<i>Evidence/Notes/Comments</i>	<i>CE</i>
STD A6 Part I 11.1 & Att. E, 3.4 z) Part III 9.1 & Att. E, 6	OPS 4.129 Has the State promulgated regulations for AOC applicants to develop procedures to ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> ➤ Verify the establishment and implementation of: <ul style="list-style-type: none"> a) relevant State regulations; b) applicable certification process; and c) operations inspectors' procedures. ➤ Review air operator's operations manual to confirm implementation and compliance. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable		2
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PQ — Example



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Auditor's
assessment based
on evidence
presented by State

PQ — Example



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Auditor's notes
(e.g. document titles, articles, action taken by State, etc.)

PQ — Example



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STD A6 Part I 4.2.1.3 Part III 2.2.1.3 GM Doc 8335 Part II C 2 & Part III C 5	OPS 4.103 Is the organizational structure of an AOC applicant reviewed to ensure that: <ul style="list-style-type: none"> a) Duties, responsibilities and authorities are clearly defined, and b) Functional tasks and lines of reporting are clearly delineated and duly documented? 	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> > Verify that applicable operations inspectors' guidance material, manuals, etc. have been developed and implemented. > Review exchange of letters with the applicant. > Verify that the safety management, quality assurance management and emergency management systems have been: <ul style="list-style-type: none"> a) Developed; b) Documented; and c) Implemented. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		6

IV. Timeline of Validation and Report Production Phase (Post Audit/ICVM)

USOAP CMA On-site Activity Timelines (after completion of the on-site activity)



<i>RESPONSIBILITIES/TASKS</i>		<i>TIMELINE BY ACTIVITY</i> <i>(days noted below are calendar days)</i>			
		<i>ICVMs</i>	<i>CMA Audits</i>	<i>Cost-recovery ICVMs</i>	<i>Safety Audits</i>
<i>ICAO</i>	<i>State</i>				
<i>After completion of on-site activity</i>					
Written notification of SSC to State		15 days after last day of on-site activity			
Providing draft report to State		90 days after last day of on-site activity			
	Providing comments on draft report	45 days from receipt of draft report			
Publication of final report		30 days from receipt of State comments			
Translation of final report		Additional days as required			
	Submission of CAPs	45 days from posting of PQ Findings online or notification through draft report			

V. USOAP CMA AGA PQs



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

South American
(SAM) Office
Lima

ICAO
Headquarters
Montreal

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) Office
Bangkok

Thank You