



ICAO

**Seventh Meeting of the Africa-Indian Ocean Regional Aviation Safety Group (RASG-AFI/7)  
(Virtual – 5 November 2021)**

**Agenda item 4: Update on the USOAP-CMA Protocol Questionnaire – 2020 Edition**

*(Presented by the Secretariat)*

<b>SUMMARY</b>	
<p>This working paper provides an update on the 2020 Edition of the Protocol Questions (PQs) of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA).</p> <p>Action required by the Meeting is at paragraph 3 of this Paper.</p>	
<i>Strategic Objectives</i>	This working paper relates to the Safety Strategic Objective

## 1. INTRODUCTION

1.1 The aviation community benefits from the enhanced efficiencies and opportunities resulting from the evolution of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA). The efficacy of the USOAP CMA to measure the safety oversight capability of a State relies on a set of protocol questions (PQs) that is focused, balanced, and comprehensive.

1.2 To support the continued evolution of the programme, the Group of Experts for a USOAP CMA Structured Review (GEUSR) undertook a review of the USOAP CMA methodology, processes and tools and issued recommendations, which the ICAO Council agreed upon during its 214<sup>th</sup> Session, (C-DEC 214/5).

1.3 Among other things, it has been recommended the **Structured revision of the Protocols Questions** (PQs). As outcome of implementation of such recommendation, the 2020 edition of the PQs excludes certain PQs that are not relevant to the State's safety oversight system and therefore reduced the total number of PQs from 943 to 790. The new PQs became applicable for all USOAP CMA activities (on-site and off-site activities) since 1 June 2021.

## 2. DISCUSSION

2.1 To fulfil its mandate the GEUSR conducted teleconferences and exchanged correspondences throughout the structured review of the USOAP CMA. In addition, the GEUSR launched a high-level survey to receive feedback from Member States on its work. Following a structured work programme the GEUSR reviewed the methodology, processes and tools of the USOAP CMA and issued thirty-seven recommendations, which were consolidated in six

groups. **Group A: Structured revision of the Protocol Questions; Group B: Priority Protocol Questions;** Group C: Types and Prioritization of USOAP CMA activities; Group D: Presentation of State Indicators; Group E: Training and Guidance; and Group F: Tools Enhancements (OLF).

2.2 Details on the GEUSR recommendations can be found at <https://www.icao.int/Meetings/anconf13/Documents/GEUSRrecommendation.pdf>.

2.3 Under the Group-A, seven recommendations relate to the structured revision of the PQs whose objective is to ensure that the PQs, when taken as a whole, is a reflection of the safety oversight capabilities of States. PQs need to be related to safety oversight, be comprehensive and cover relevant areas, be balanced across all audit areas and not supported only by Recommended Practices or guidance material.

2.4 Under the Group-B, two other recommendations led to the identification of priority protocol questions (PPQs) that provide States with information on PQs that have a higher correlation to operational safety risk so that they can focus their resources accordingly. The PPQs, 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. The higher the number of NS PPQs, the higher the State risk profile.

2.5 The 2020 edition of the PQs, in English, Russian and Spanish, are now available and posted on the USOAP CMA online framework (<https://www.icao.int/usoap>) under the heading “**CMA Library**”. The translation into French is still underway; it will be posted once the ongoing quality control process is completed. All languages will be migrated on the USOAP CMA On Line Framework (OLF) before the use of the new PQs in any activity (beginning in 2022).

2.6 Due to the deletion of 178 PQs from the 2017 edition of the PQs, the effective implementation (EI) scores of States, as reflected on the CMA online framework, will be updated as soon as the States are migrated to the 2020 edition.

### **3. ACTION BY THE MEETING**

3.1 The Meeting is invited to:

- a) note the evolution of the USOAP CMA toward the continuing assessment of the effectiveness and sustainability of States’ safety oversight systems; and
- b) encourage States to review and update their information in the Self-Assessment as it relates to the amended PQs.