



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

*A United Nations Specialized Agency*

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# USOAP CMA UPDATE

- 1) Critical Elements (CEs)
- 2) USOAP CMA Components
  - a) Collection of Safety Information
  - b) Determination of State Safety Risk Profile
  - c) Prioritization and Conduct of USOAP CMA activities
  - d) Update of Effective Implementation (EI) and Status of Significant Safety Concerns (SSCs)
- 3) Audit of SSP implementation



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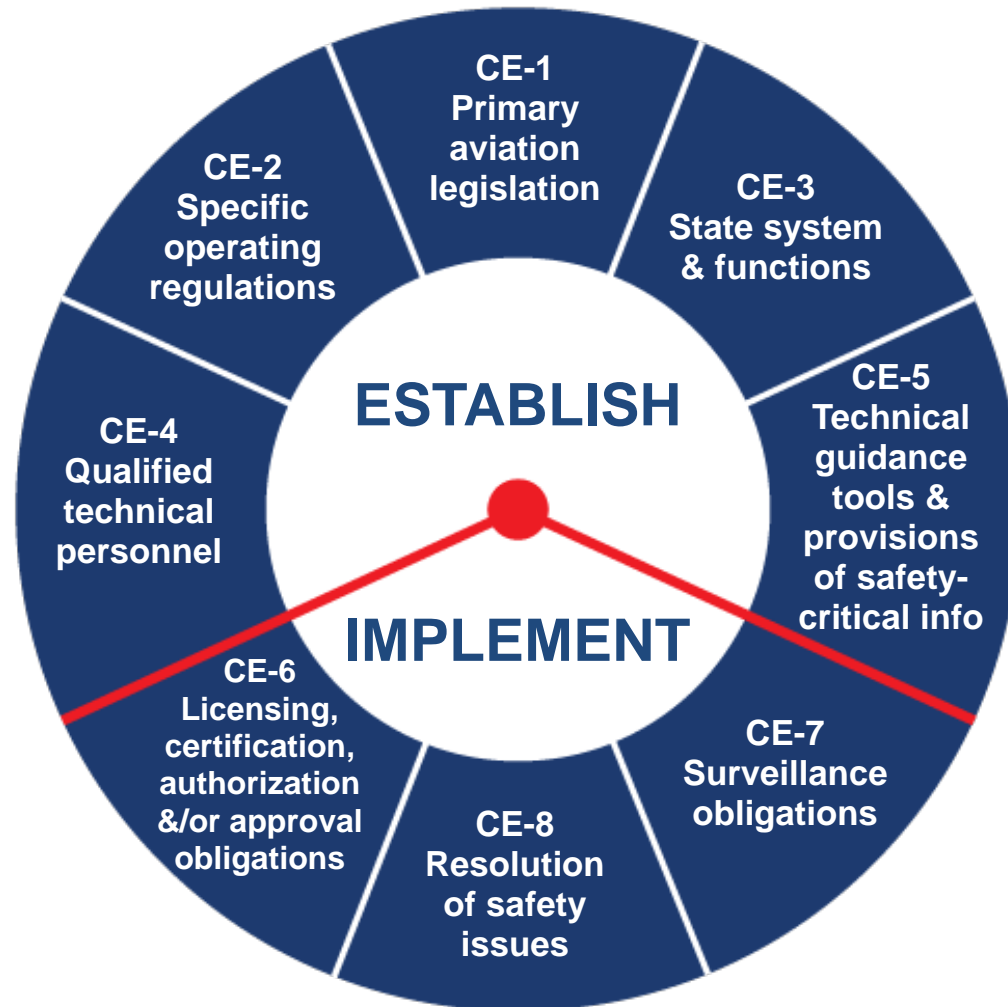
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# Critical Elements (CEs)

ICAO carries out audits and other monitoring activities to determine its Member States' safety oversight capabilities by:

- Assessing the 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.

# Critical Elements (CEs) of an Effective Safety Oversight System



# CEs of the Safety Oversight System



The definitions of the eight CEs of a safety oversight system are found in Annex 19, Appendix 1.

Guidance on the eight CEs is provided in the *Safety Oversight Manual, Part A — The Establishment of a State's Safety Oversight System* (Doc 9734).

# USOAP CMA Audit Areas



Primary aviation legislation and  
civil aviation regulations (LEG)

Civil aviation organization  
(ORG)

Personnel licensing and  
training (PEL)  
Annexes 1 and 19

Aircraft operations (OPS)  
Annexes 6, 9, 18, 19 and  
PANS-OPS

Airworthiness of aircraft  
(AIR)  
Annexes 6, 7, 8, 16 and 19

Aircraft accident and  
incident investigation (AIG)  
Annexes 13 and 19

Air navigation services (ANS)  
Annexes 2, 3, 4, 5, 10, 11, 12,  
15, 19 and PANS-ATM

Aerodromes and ground  
aids (AGA)  
Annexes 14 and 19

# USOAP CMA Components



# USOAP CMA Components



- States
- Internal stakeholders
- External stakeholders

Collection of safety information

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

Determination of State safety risk profile

- Mandatory Information Requests (MIRs)
- Protocol Question (PQ) findings
- Significant Safety Concerns (SSCs)
- Corrective Action Plans (CAPs)

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 validation activities
- Integrated Validation Activities (IVAs)
- Training

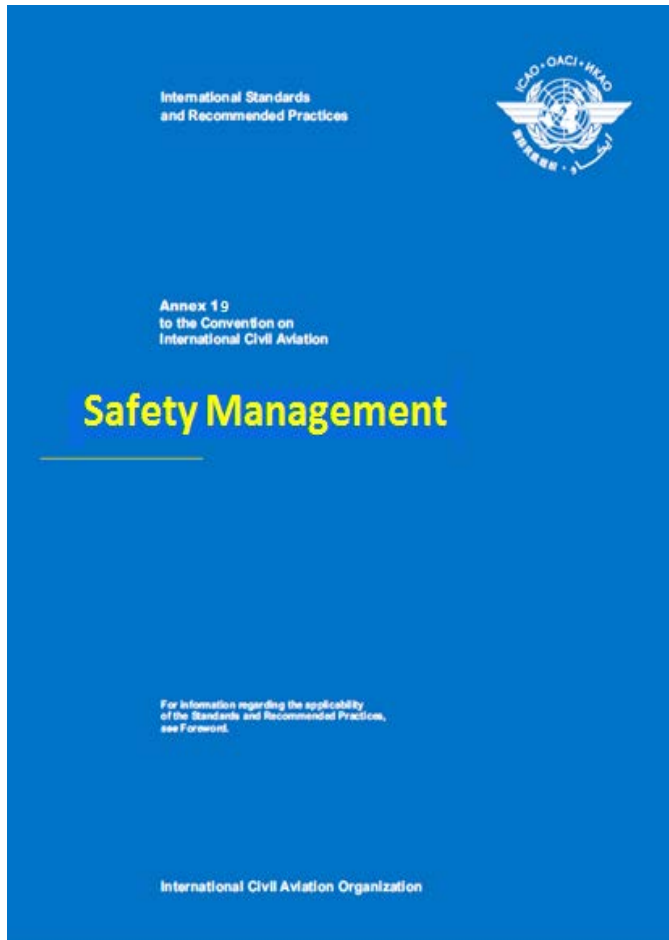
# Six criteria for a good CAP (“RCDSRC”)



- 1) **Relevant:** CAP addresses the *issues* and *requirements* related to the finding and corresponding PQ and CE.
- 2) **Comprehensive:** CAP is *complete* and includes *all elements or aspects* associated with the finding.
- 3) **Detailed:** CAP outlines implementation process using *step-by-step approach*.
- 4) **Specific:** CAP identifies *who will do what, when* and in coordination with other entities, if applicable.
- 5) **Realistic:** In terms of *contents* and *implementation timelines*.
- 6) **Consistent:** In relation to *other CAPs* and with the *State's self-assessment*.

# Audit of SSP implementation

# Annex 19



- Adopted by the Council on 25 February 2013;
- Became effective on 15 July 2013; and
- Became applicable on 14 November 2013.

# SSP Roll-Out under USOAP CMA: *Initial Timelines*



- An Electronic Bulletin (EB 2014/61) was published on 22 October 2014 to inform Member States of the USOAP audit of the implementation of the ICAO safety management (SM) provisions.
- The EB indicated that the audit of the new SM-related PQs would commence in States with an EI of over 60% in January 2016.
- States with an EI of over 60% would have one year, until the end of 2015, to complete their self-assessments of the new SM-related PQs.

# EB 2015/56:



- ICAO published EB 2015/56 to inform States of the following:
  - The launch of the USOAP CMA audits of the new SM-related PQs is postponed to **January 2018**.
  - States are required to continue to complete their self-assessment of the new SM-related PQs on the OLF.
  - ICAO will perform a few assessments of the implementation of the new SM-related PQs, in selected volunteer States, throughout 2016.

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THANK YOU