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# ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach

## USOAP-CMA

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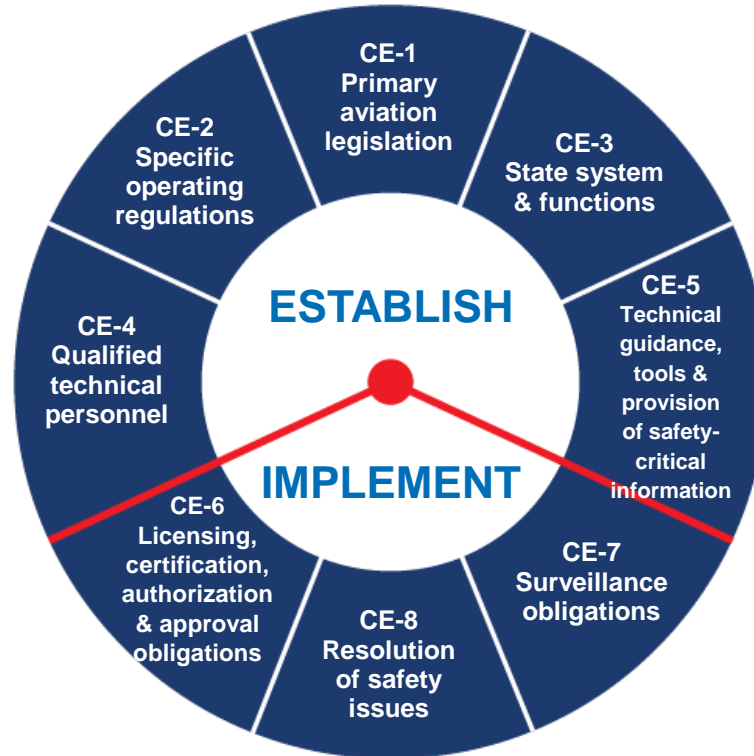
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ICAO carries out audits and other monitoring activities to determine the safety oversight and accident/incident investigation capabilities of its Member States by:

- 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.





## 2020 Edition of the PQs

- With the roll-out of Amendment 1 to Annex 19, a 2017 edition of the PQs was developed on the basis of the 2016 edition and excludes aspects related specifically to the State Safety Programme (SSP).
- Subsequently, following the GEUSR recommendations for a reduced PQ set, the 2020 PQ set has been reduced by 153 to 790 PQs.
- This 2020 edition of the PQs is posted in the “CMA Library” on the OLF.  
(See *EB 2021/3*, 15 January 2021.)
- The 2020 edition **became** applicable for all USOAP CMA activities **starting after 1 June 2021**.



## *Priority Protocol Question (PPQ)*

- Introduced with the 2020 PQ set.
- A subset of PQs (**212** total) that, 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.
- Findings related to **PPQs** can demonstrate a State's inability to conduct safety oversight, which can result in the elevated risk of significant safety concerns, or an inability to conduct a proper accident investigation.



## Priority Protocol Question (PPQ)

Audit Area	2017 PQs	2020 PQs			
	Total No.	Total No.	PPQ	Number of: 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	35	102	84
AIG	104	84	24	46	38
ANS	179	122	27	97	25
AGA	168	143	40	106	37
	<b>943</b>	<b>790</b>	<b>212</b>	<b>525</b>	<b>265</b>



# Priority Protocol Question (PPQ)

USOAP CMA 2020 Protocol Questions — LEG

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**PPQ**

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
1.009	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	<p>1) Review the established process for evaluating amendments to all Annexes and for determining the need to amend specific operating regulations or, if necessary, the primary aviation legislation.</p> <p>2) Verify that the process includes all applicable steps and timelines, including the necessary coordination between the relevant technical and legal experts when necessary.</p> <p>Note to the auditor: Implementation of this PQ will be verified in all audit areas.</p>	<p>CC Art. 37 STD A19 3.2.1.1 &amp; 3.2.2 GM Doc 9734 Part A, C3</p>	<input checked="" type="checkbox"/>	CE-2
1.011	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	<p>Review the means for making the following documents available to the public:</p> <p>a) primary aviation legislation; b) specific operating regulations; and c) directives, orders, circulars, publications, etc.</p> <p>Notes to the auditor: 1) Verify in all audit areas. 2) The State may make documents available through official gazette, web access, library, etc.</p>	<p>STD A19 3.2.1.1, 3.2.2 &amp; 3.2.5 GM Doc 9734 Part A, C3</p>	<input type="checkbox"/>	CE-5

**Not a PPQ**



As per the USOAP CMA MOU and by using the OLF, States shall, 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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## SSP Implementation Assessment (SSPIA)

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# Evolution of SSPIAs

2015	2016	2017	2018	2019	COVID 19	2022	2023	2024	2025+
Phase 0				Phase 1		Phase 2			Phase 3
Confidential and voluntary "a..."				Confidential and voluntary performance based assessment		Confidential nor on a voluntary			TBD
Report achieved (qualitative)				Report: State's achievements and opportunities for enhancements (qualitative)		... (quantitative)			
Five States were assessed				Three States were assessed					

Amended SSP PQs were introduced

Maturity level matrices were developed



- *Reflect* Annex 19 Amdt 1, SMM 4<sup>th</sup> edition and lessons learnt from the voluntary assessments conducted.
- *Form* a dedicated list of *PQs* and *associated maturity levels*.
- *Are not linked to Critical Elements (CEs)* but rather to the applicable SSP component (e.g. State Safety Risk Management and State Safety Assurance).
- *Are not assessed* as “satisfactory/non-satisfactory”, but in terms of *maturity levels*.
- *Are supported by references* from ICAO manuals.



## Broken down into 8 areas:

1. SSP general aspects (GEN);
2. safety data analysis general aspects (SDA);
3. personnel licensing and training (PEL);
4. aircraft operations (OPS);
5. airworthiness of aircraft (AIR), approved maintenance organization (AMO) aspects only;
6. air navigation services(ANS) (air traffic services) (ATS) aspects only;
7. Aerodromes and ground aids; and
8. aircraft accident and incident investigation (AIG).



- *Complement*, and *do not impact*, the State's Effective Implementation (*EI*) score.
- Do not generate findings, nor require the State to submit a “corrective action plan” (CAP).
- Are conducted by a *limited pool of assessors*, to ensure consistency.



- The amended SSP-related PQs have as a *'background'* the following key questions related to SSP implementation:
  - *What are the State's main/top safety risks?*
  - *How does the State know it?*
  - *What is the State doing about it?*
  - *Is it working?*



## 5 maturity levels have been determined:

- *0: not present and not planned;*
- *1: not present but being worked on;*
- *2: present;*
- *3: present and effective; and*
- *4: present and effective for years and in continuous improvement*

# Example

PQ No.	Protocol Question	References in ICAO Guidance Material	SSP Component	Maturity Levels			
				Not Present and Not Planned	Not Present but Being Worked On	Present	Present and Effective
SSP.SDA.01	What safety data collection and processing systems has the State established to support safety data analysis at the State level?	SMM Ch. 5	State Safety Risk Management	Based on current situation in State	Based on State's work in progress	<ol style="list-style-type: none"> <li>1. There is a mechanism in place to ensure the collection, processing and analysis of safety data at the State level.</li> <li>2. The sources for safety data and safety information include data and information derived from accident and incident investigations, mandatory occurrence reporting systems and other sources, including voluntary reporting.</li> <li>3. There is a mechanism in place at the State level to ensure the categorization of safety data and an agreed upon taxonomy at the State level, with supporting definitions.</li> </ol>	<ol style="list-style-type: none"> <li>1. The safety data that are collected, processed and analyzed contain all relevant data that might be collected.</li> <li>2. The safety data at the State level are categorized using an agreed upon taxonomy and supporting definitions, in a way that supports analysis of the safety data.</li> </ol>





# SSPIA vs. Audit

Characteristics	SSPIA	Audit
Methodology	Performance-based	Compliance-based (prescriptive)
Protocol questions	Open ended	Closed ended
Based on	Four SSP components	Eight Critical elements
PQ outcome	Maturity level	Sat / Not Sat
Period of interest	"The journey"	Current snapshot
Evidence based	✓	✓



Characteristics	SSPIA	Audit
Affects the EI	X	✓
State's self-assessment, including submitted evidence	✓	✓
CAP needed	X	✓
Industry visits	✓	✓
Driver for determining the industry visits	"SMS champion"	Risk of low EI



- SSPIA is conducted on a PQ by PQ basis.
- Each PQ and each maturity level criteria item have their own merit.
- In order to achieve a maturity level of 2 (“present”) or 3 (“present and effective”), the State has to meet all the criteria items detailed under the specific maturity level.
- There is **no overall SSPIA, nor technical area maturity level.**
- The **technical areas’ assessment focuses on SMS** aspects.



**THANK YOU!**