

## State's Obligations

According to the Memorandum of Understanding on the CMA agreed to with ICAO, States shall use the USOAP CMA online framework to continuously update:

- 1) the State Aviation Activity Questionnaire (SAAQ);
- 2) the Compliance Checklists (CCs)/Electronic Filing of Differences (EFOD);
- 3) the States' corrective action plans (CAPs) addressing the corresponding PQ findings; and
- 4) the self-assessment of the PQs, including the attachment of all related evidence.

In addition, States shall reply promptly to Mandatory Information Requests (MIRs) sent by ICAO.

## Cost-Recovery Workshops

### WORKSHOP OBJECTIVES

ICAO schedules USOAP CMA workshops periodically in its Regions.

The main objectives of these workshops are to provide:

- Explanations and latest updates on USOAP CMA; and
- Guidance on the use of the USOAP CMA online framework.

In addition, States may request these workshops on a cost-recovery basis.

### How can a State request a workshop?

- Formally contact the ICAO Regional Office to present its request; and
- Indicate specific training needs, if any, so that the scope of the workshop can be customized, as applicable.

### What is the cost of a three-day workshop?

- US\$ 5,000 for the conduct of the workshop + airfare + daily allowance for facilitators.



ICAO

SAFETY

## Universal Safety Oversight Audit Programme (USOAP)

Continuous Monitoring Approach  
(CMA)

### REFERENCES

- *Safety Oversight Manual, Part A — The Establishment and Management of a State's Safety Oversight System* (Doc 9734)
- *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735)

### WEBSITES

- USOAP CMA online framework:  
[www.icao.int/usoap/](http://www.icao.int/usoap/)
- ICAO public websites:  
[www.icao.int/safety/CMAForum/Pages/default.aspx](http://www.icao.int/safety/CMAForum/Pages/default.aspx)  
[www.icao.int/safety/Pages/USOAP-Results.aspx](http://www.icao.int/safety/Pages/USOAP-Results.aspx)
- iStars (SPACE):  
[www.icao.int/safety/istars/pages/intro.aspx](http://www.icao.int/safety/istars/pages/intro.aspx)

For queries, please contact:

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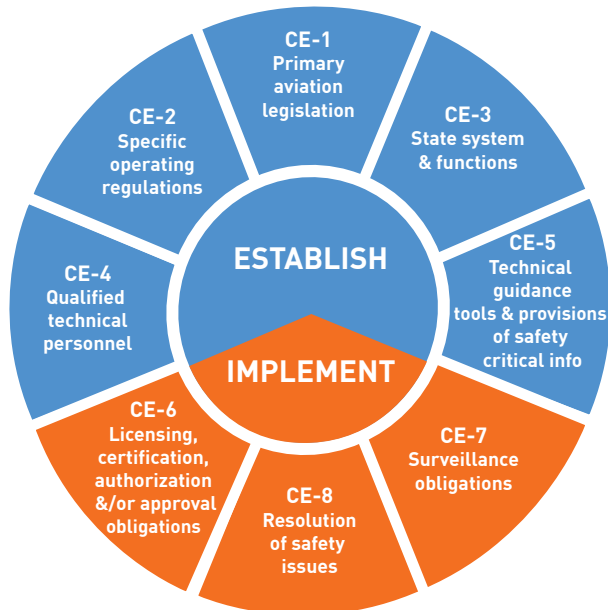
# UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)

## CRITICAL ELEMENTS OF A STATE'S SAFETY OVERSIGHT SYSTEM

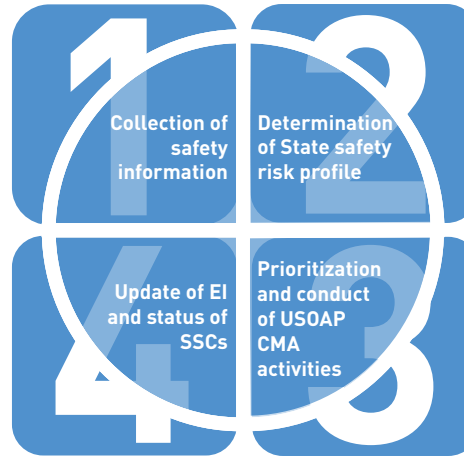
Critical elements (CEs) are the defence tools of a State's safety oversight system, required for the effective implementation of international and national safety-related standards, policies and associated procedures. The rate of Effective Implementation (EI) of the CEs is an indicator of a State's safety oversight capabilities.

To determine the safety oversight capabilities of its member States, ICAO carries out continuous monitoring activities to:

- 1) Assess the effective implementation by the States of the eight CEs in eight audit areas, namely LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA, using a set of Protocol Questions (PQs) for each audit area; and
- 2) Verify the status of the States' implementation of:
  - a) Safety-related ICAO Standards and Recommended Practices (SARPs);
  - b) Associated procedures;
  - c) Guidance material; and
  - d) Best safety practices.



## USOAP CONTINUOUS MONITORING APPROACH (CMA)



The USOAP CMA has four components integral to the continuous monitoring by ICAO of the safety oversight capabilities of its Member States.

To wit:

- 1 Safety information is collected through Member States and various internal and external stakeholders.
- 2 This information is analyzed to determine the safety risk profile of each State.
- 3 Based on the risk profile, ICAO selects and prioritizes the States which will receive corresponding USOAP CMA activities.
- 4 The results of the USOAP activities lead to updates of the Effective Implementation (EI) value of the States on the USOAP CMA online framework.

## USOAP CMA ONLINE FRAMEWORK

<http://www.icao.int/usoap/>

The USOAP CMA online framework provides ICAO, its Member States and other authorized users with a suite of web-integrated applications for the continuous monitoring and reporting of safety-related information and documentation received from different sources and also facilitates the administration and management of all relevant information.

## CONTINUOUS MONITORING ACTIVITIES

Under the USOAP CMA, ICAO conducts different types of continuous monitoring activities, including audits, ICAO Coordinated Validation Missions (ICVMs) and off-site validation activities:

- A *CMA audit* is an on-site activity in which an ICAO team visits a State to conduct a systematic and objective assessment of the State's safety oversight system, using a set of Protocol Questions for each selected audit area and recommends the issuance of any new findings to address identified deficiencies in the State's safety oversight system.
- An *ICVM* is an on-site activity in which an ICAO team of subject matter experts visits a State to collect and assess evidence provided by the State to demonstrate that it had implemented corrective actions to address previously identified findings and/or deficiencies. The evidence collected are reviewed and validated at ICAO Headquarters.
- During an *off-site validation* activity, an ICAO team of subject matter experts assesses corrective actions implemented by a State to address previously identified findings related to PQs and which do not require an on-site activity.

Starting from 2018, for States with the most mature safety oversight systems, some of the audit activities will focus on the implementation of the State Safety Programme (SSP).