

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

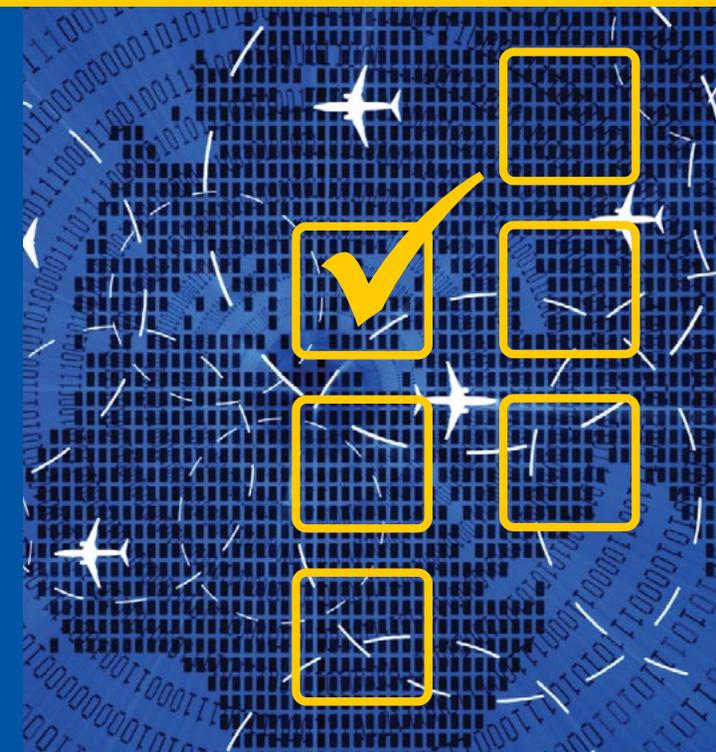
- USOAP CMA online framework: www.icao.int/usoap/
- ICAO public websites: www.icao.int/safety/CMAForum/Pages/default.aspx
www.icao.int/safety/Pages/USOAP-Results.aspx
- iStars (SPACE): www.icao.int/safety/istars/pages/intro.aspx

For queries, please contact:

Safety and Air Navigation Oversight Audit Section (OAS)
Monitoring and Oversight
Air Navigation Bureau

usoap@icao.int

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UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)

CRITICAL ELEMENTS OF A STATE'S SAFETY OVERSIGHT SYSTEM

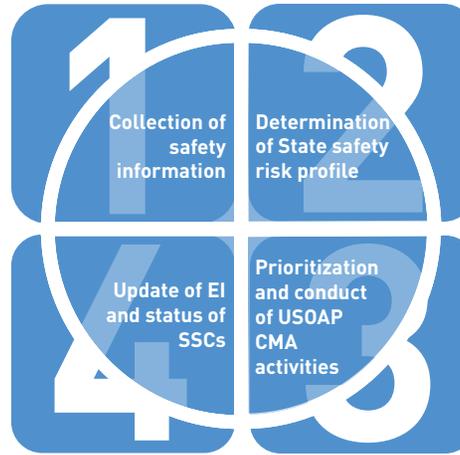
Critical elements (CEs) are the defence tools of a State's safety oversight system, required for the effective implementation of international and national safety-related standards, policies and associated procedures. The rate of Effective Implementation (EI) of the CEs is an indicator of a State's safety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