



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

COSCAP-SEA

AIRCRAFT ACCIDENT/INCIDENT INVESTIGATION AUTHORITY WORKSHOP

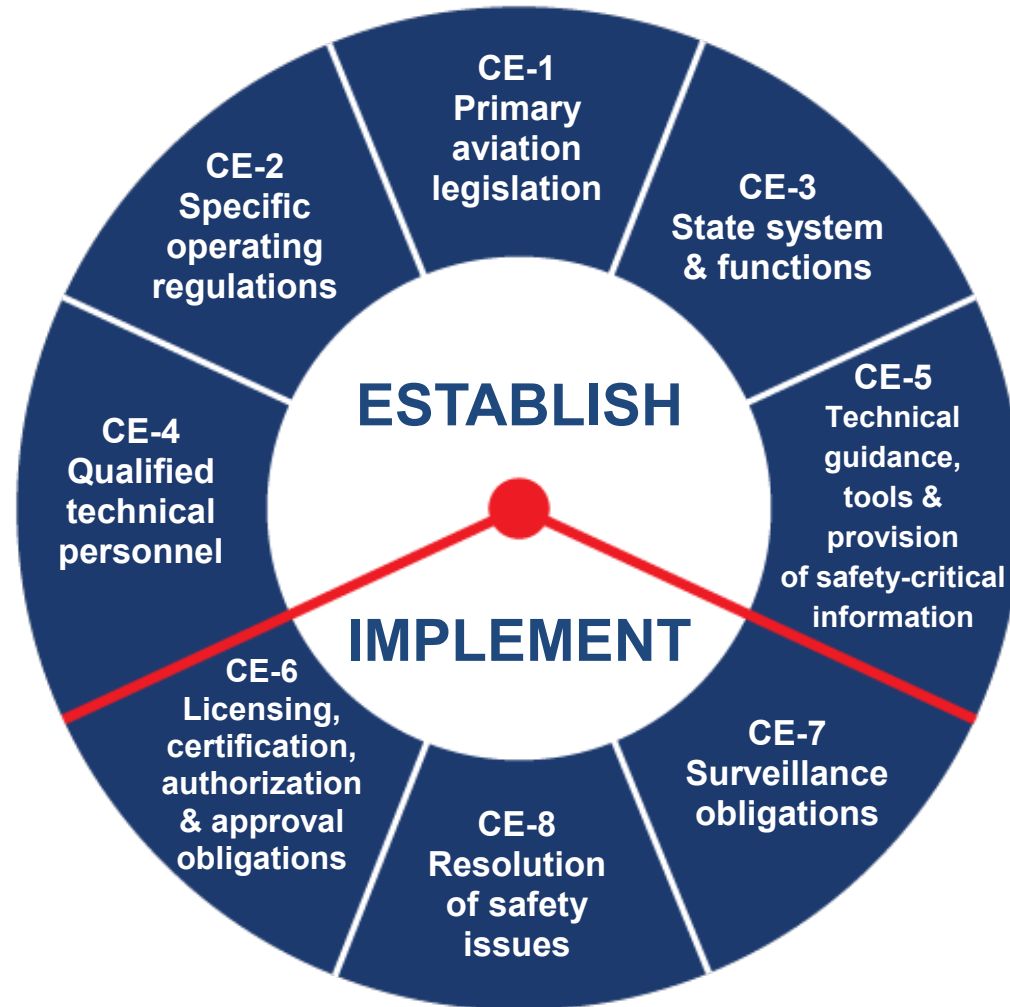
Module 3.1

USOAP CMA COMPONENTS AND ACTIVITIES

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.

Critical Elements (CEs)



2) USOAP AUDIT AREAS AND PROTOCOL QUESTIONS (PQs)

USOAP CMA Audit Areas



Primary aviation legislation
and specific operating
regulations (LEG)

Civil aviation organization
(ORG)

Personnel licensing and
training (PEL)
Annex 1

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

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

Aircraft accident and
incident investigation (AIG)
Annex 13

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

Aerodromes and
ground aids (AGA)
Annex 14 and PANS-AGA

Protocol Questions (PQs)

- Primary tool used to assess States' safety oversight capabilities, for each CE.
- Enable standardization in the conduct of USOAP CMA activities.
- Percentage of “Satisfactory” PQs is reflected in the EI.
- Evidence-based approach:
 - **Show me.**
 - **Lack of evidence or lack of sufficient evidence = PQ status becomes or remains N/S.**
- N/S PQ generates a finding and since 2014, each finding is PQ-specific.

PQs — Example



PQ No. □	Protocol Question □	Guidance for Review of Evidence □	ICAO References □	CE □
6.017 □	Has the State implemented a procedure for identifying and notifying differences, if any, to ICAO? □	1) Verify documented evidence of the procedure and effective implementation. ◊ 2) Verify the review made and action taken by the State after receipt of the last amendments to Annex 13. ◊ 3) The development of such procedure is addressed in LEG-PQ 1.025. ◊ □	CC ◊ Art. 37 & 38 ◊ GM ◊ Doc 9734 ◊ Part A, C3 ◊ □	CE-2 ¶ □
PQ No. □	Protocol Question □	Guidance for Review of Evidence □	ICAO References □	CE □
6.021 □	Does the primary legislation grant the accident investigation authority/investigator in charge (IIC) unhampered access to and control over the scene of the accident and the wreckage? ◊ □	1) Review applicable legislation. ◊ 2) Verify the particular situation in the State regarding judicial investigations, and the impact on the capacity of the State to comply with the Annex 13. ◊ ◊	STD ◊ A13 ◊ 5.4 & 5.6 ◊ GM ◊ Doc 9756 ◊ Part I, 2.2.1 ◊	CE-1 ¶ □

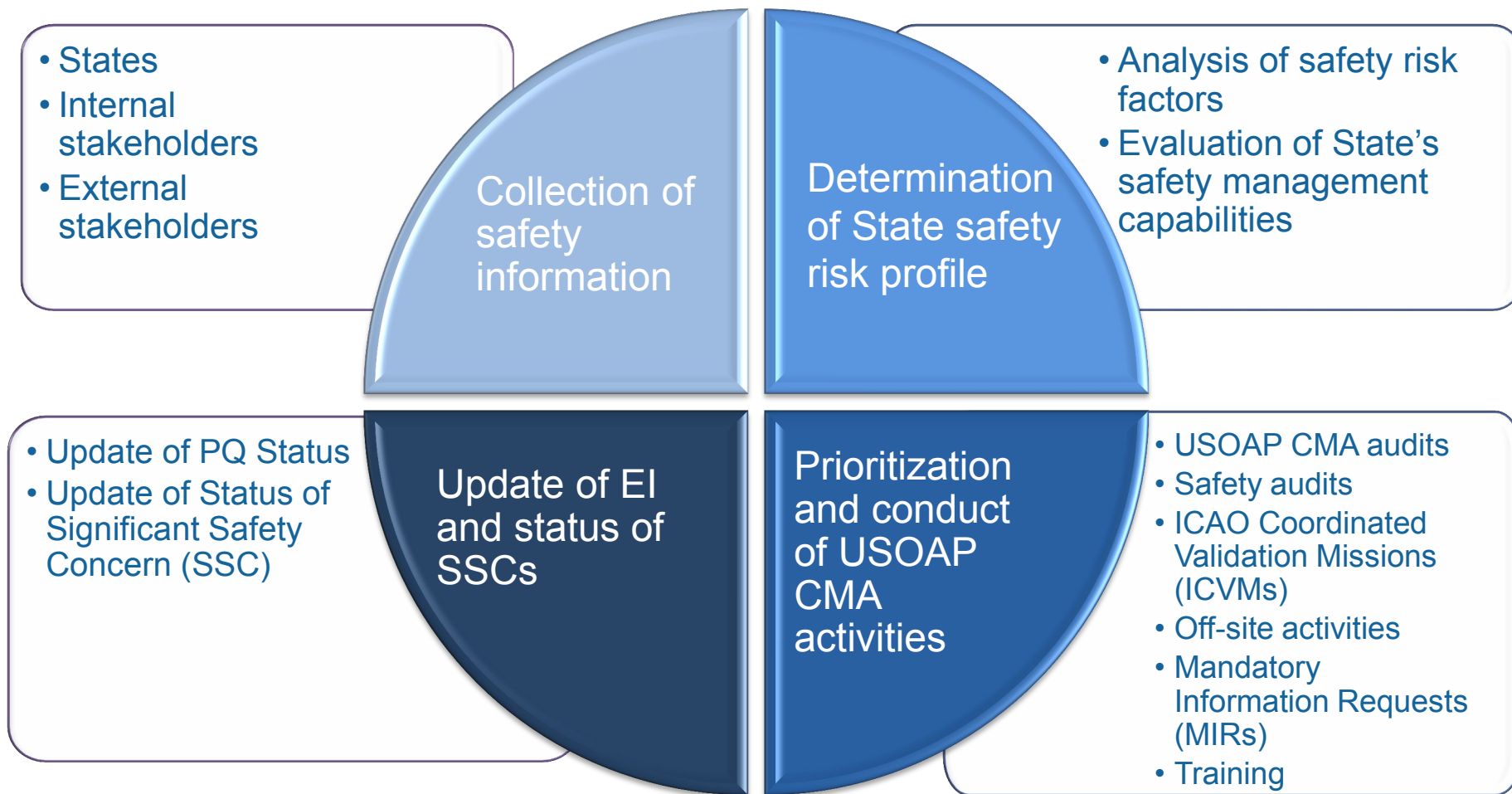
PQ Amendment



- MO revises and updates PQs on a periodic basis to:
 - a) reflect the latest changes in ICAO provisions; and
 - b) harmonize and improve PQ references and content.
- Revision of PQs incorporates inputs from:
 - a) States;
 - b) ICAO ANB;
 - c) ICAO ROs;
 - d) USOAP mission team members; and
 - e) external stakeholders.

3) USOAP CMA COMPONENTS AND PRIORITIZATION OF ACTIVITIES

USOAP CMA Components



Main Activities under USOAP CMA



Activity	On- or Off site	Description	Remarks
CMA audit	On-site	To conduct systematic and objective assessment of a State's safety oversight system	Can be full- or limited scope.
ICVM	On-site	To collect and assess evidence of a State's effective correction of previously identified findings (in one or more audit areas).	Collected evidence is reviewed and validated at ICAO HQ (OAS).

Main Activities under USOAP CMA (cont.)



Activity	On- or Off site	Description	Remarks
Off-site validation activity	Off-site	To assess a State's effective corrective actions addressing previously identified findings.	Addresses PQs not requiring on-site activity.
Integrated validation activity (IVA)	Hybrid	<ul style="list-style-type: none"> • Limited scope, integrated within scheduled mission in a State by ICAO or safety partners*. • On-site collection and review of evidence by SMEs. • All collected evidence reviewed by ICAO HQ (OAS) as part of an off-site validation activity. <p><i>* Organizations which provide technical support to USOAP CMA activities on basis of formal agreement with ICAO (e.g. EASA).</i></p>	Associated PQs are identified at ICAO HQ (OAS) based on State's CAP performance.

Prioritization and Conduct of USOAP CMA Activities



MO prioritizes CMA activities in States based on:

- a) State's safety risk profile;
- b) Approved MO budget; and
- c) Available MO resources.

Criteria Used to Select a State for:



CMA Audit	ICVM
State's safety risk profile	
Information submitted by State through PQ self-assessment	
Recommendations from RO or ANB sections	
Information shared by recognized international organizations	
Regional balance	
Date of last audit	State's readiness (via reported progress in CAP implementation)
Significant changes in any audit area within State's civil aviation system	State's progress in resolving identified SSCs

Criteria Used to Select a State for an *Off-Site Validation Activity*



- 1) State has PQ findings associated with eligible PQs (most of the PQs from CEs 1 to 5);
- 2) Most (about 75%) of the State's corresponding CAPs, for the audit area considered, meet the following three conditions:
 - a) CAPs fully address the corresponding PQ findings;
 - b) CAPs are reported by the State as fully implemented; and
 - c) The State has submitted all relevant evidence for the corresponding PQs through the OLF; and
- 3) Information submitted by State through PQ self-assessment.

Off-Site Validation Activity



- CAPs related to the majority of PQ findings associated with CEs 6, 7 and 8 (collectively known as the “Implementation” CEs) do not qualify for an off-site validation activity.
- Such CAPs must be assessed and validated through an on-site activity.

Update of EI



EI calculation:

$$\text{Overall EI (\%)} = \frac{\text{Number of Satisfactory PQs}}{\text{Total Number of Applicable PQs}} \times 100$$

Update of EI



- The validation of collected safety information enables ICAO to continuously update a State's EI.
- State's EI is reported on the OLF and on iSTARS 3.0.

Mandatory Information Request (MIR)



- A MIR is issued by MO under the USOAP CMA process when concerns are raised by internal and/or external stakeholders about aspects of a State's safety oversight system.

When can a MIR be issued?

Generally, MIRs have been issued for one or more of the following instances (**but also not limited to these instances**):

- a) Indication of concerns raised by internal and/or external stakeholders about a State's safety oversight capabilities;
- b) Major changes in a State's safety oversight system;
- c) Evidence indicating that potential deficiency or an SSC may exist and additional information is required; and
- d) Concerns raised about a State's lack of compliance in the conduct of its aviation activities; e.g. in the process of an aircraft accident or incident investigation.

State's Response to a MIR



- States are required to respond to a MIR.
- Failure by a State to respond to a MIR with:
 - a) complete, clear and relevant information addressing the associated PQs and/or*
 - b) within the specified timeframe*will result in a **PQ finding** and/or **SSC** for the State.
- In the absence of response by State, the status of all associated PQs becomes Not Satisfactory.

MIR Timelines

- State will have *one month* from MIR issue date to respond to the MIR.
- No deadline extension will be granted by OAS/MO in case of serious safety concerns.
- Once State submits MIR response that is acceptable to ICAO, ICAO starts review of MIR response.
- MIR is closed once ICAO completes review of MIR response.
- MIR report production process is then launched.

Upon Receipt of State's MIR Response...



- State's response to a MIR is reviewed and assessed by ICAO (i.e. relevant SPOs/TOs of OAS/MO).
- Assessment of information and other related evidences will lead to one or two of the following scenarios:
 - a) no change in status of associated PQs; and
 - b) change in status of associated PQ/s and a MIR Report is produced, and/or
 - c) in the most serious cases, an SSC is issued and the SSC process is launched.

PQ Status Change



Status of PQs can only be changed following completion of a USOAP CMA activity, namely:

- 1) CMA audit,
- 2) ICVM,
- 3) Off-site validation activity,
- 4) IVA, or
- 5) MIR.



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North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



THANK YOU