

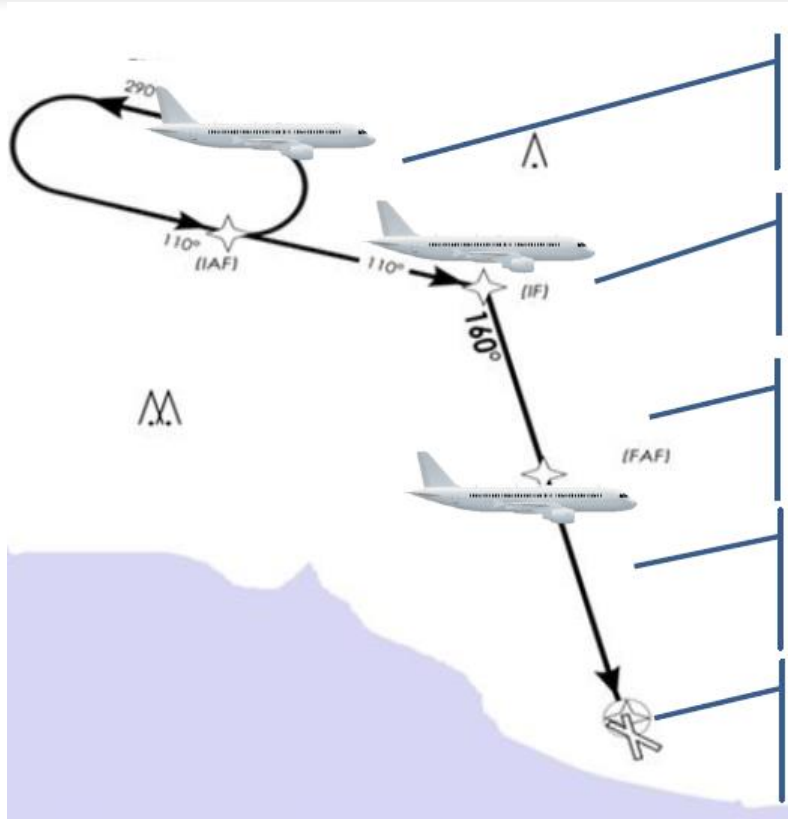


IFP PROVISION AND SAFETY OVERSIGHT WORKSHOP

(Amman, Jordan, 7–9 December 2025)



Overview of the USOAP CMA



Introduction to the USOAP CMA

CEs of a State Safety Oversight System

USOAP CMA Audit Areas and PQs

USOAP CMA Components and activities

States' main obligations under USOAP CMA

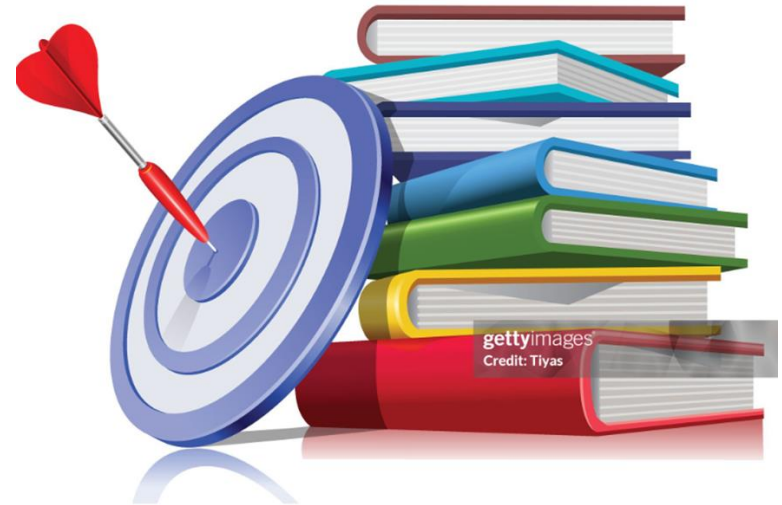


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Objective

To provide an up-to-date overview of the USOAP CMA methodology and activities.





What is the Universal Safety Oversight Audit Programme (USOAP)?

The Universal Safety Oversight Audit Programme (USOAP) is a programme through which ICAO monitors the fulfillment of the safety oversight obligations by its Member States.

ICAO carries out audits and other monitoring activities to determine the safety oversight capabilities of its Member States.



Universal Safety Oversight Audit Programme
Continuous Monitoring Approach
(USOAP CMA)





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USOAP Audits

The approach for USOAP audits is based on:

“...the implementation of a *structured process and methodology* for the planning, preparation, conduct, reporting, follow-up and evaluation of ICAO safety oversight audits, in order to determine States’ capability for safety oversight.”

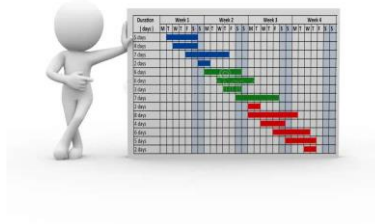
ICAO Doc 9735 and MOU signed between the State and ICAO.



Continuous Monitoring (Online Framework — OLF)



Planning and Scheduling



On-site Activities



Training and Workshops



Reports, Analyses and Working Papers



Off-site Activities Training





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Eight CEs of a State safety oversight system

ICAO carries out audits and other monitoring activities to determine the effectiveness of Member States to perform safety oversight of aviation activities 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 effectiveness of the Member States in managing the compliance with/implementation of:
 - Safety-related ICAO Standards and Recommended Practices (SARPs);
 - Associated procedures; and
 - Guidance material.



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Eight CEs of a State safety oversight system

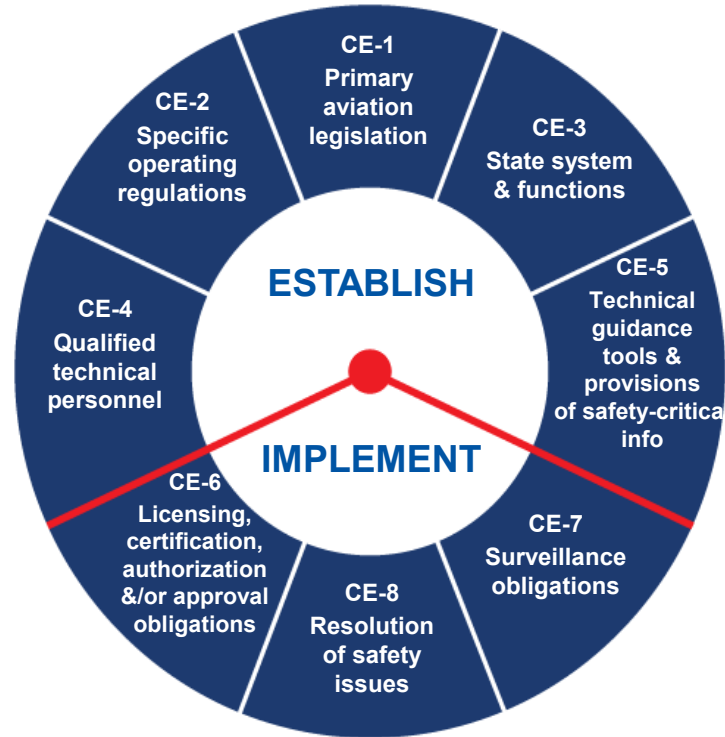
- ✈ ICAO's CEs of a safety oversight system encompass the whole spectrum of civil aviation activities.
- ✈ They are the building blocks upon which an effective safety oversight system is based
- ✈ The level of effective implementation of the CEs is an indication of a State's capability for safety oversight



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Eight CEs of a State safety oversight system



**CE-1**

Primary Aviation Legislation

- States shall promulgate a comprehensive and effective aviation law, commensurate with the size and complexity of their aviation activity and consistent with the requirements contained in the Convention on International Civil Aviation, to enable the oversight and management of civil aviation safety and the enforcement of regulations through the relevant authorities or agencies established for that purpose.

Note.— This includes ensuring that the aviation law remains relevant and appropriate to the State.

- The aviation law shall provide personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel and associated records, as applicable, of individuals and organizations performing an aviation activity.

**CE-2**

Specific Operating Regulations

- States shall promulgate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures in conformity with the Annexes to the Convention on International Civil Aviation.

Note. — The term “regulations” is used in a generic sense and includes but is not limited to instructions, rules, edicts, directives, sets of laws, requirements, policies and orders.



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CE-3

State Aviation System and Safety Oversight Functions

- States shall establish relevant authorities or agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources for the management of safety.
- States authorities or agencies shall have stated safety functions and objectives to fulfil their safety management responsibility.

Note.— This includes the participation of the State aviation organizations in specific activities related to the management of safety in the State, and the establishment of the roles, responsibilities and relationships of such organizations.

- States shall ensure that personnel performing safety oversight functions are provided with guidance that addresses ethics, personal conduct and the avoidance of actual or perceived conflicts of interest in the performance of official duties.



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CE-4

Qualified technical personnel

- States shall establish minimum qualification requirements for the technical personnel performing safety-related functions and provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level.
- States shall implement a system for the maintenance of training records for technical personnel.

**CE-5**

Technical Guidance, Tools and Provision of safety-critical information

- States shall provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner.
- States shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

**CE-6**

Licensing, Certification, Authorization And Approval Obligations

- States shall implement documented processes and procedures to ensure that individuals and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a license, certificate, authorization or approval to conduct the relevant aviation activity.

**CE-7**

Surveillance Obligations

- States shall implement documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively assure that aviation license, certificate, authorization and approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

**CE-8**

Resolution Of Safety Issues

- States shall use a documented process to take appropriate actions, up to and including enforcement measures, to resolve identified safety issues.
- States shall ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by individuals and organizations performing an aviation activity in resolving such issues.

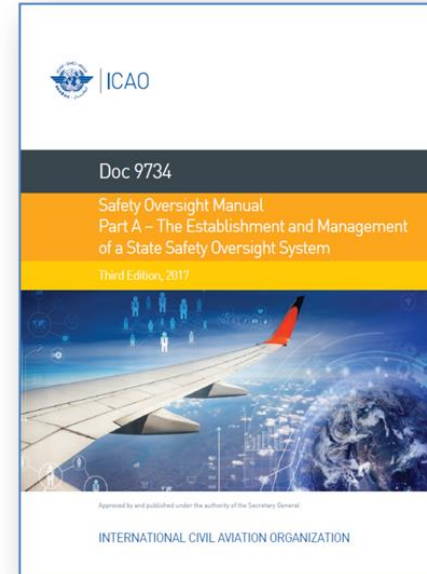


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Eight CEs of a State safety oversight system

- **Definitions of CEs:** in Annex 19 — *Safety Management*, Appendix 1 (2nd edition, July 2016)
- **Guidance for CEs:**
Doc 9734 — *Safety Oversight Manual*,
Part A — *The Establishment and Management of a State Safety Oversight System*
(3rd edition, 2017).





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USOAP CMA Audit Areas and Protocol Questions (PQs)



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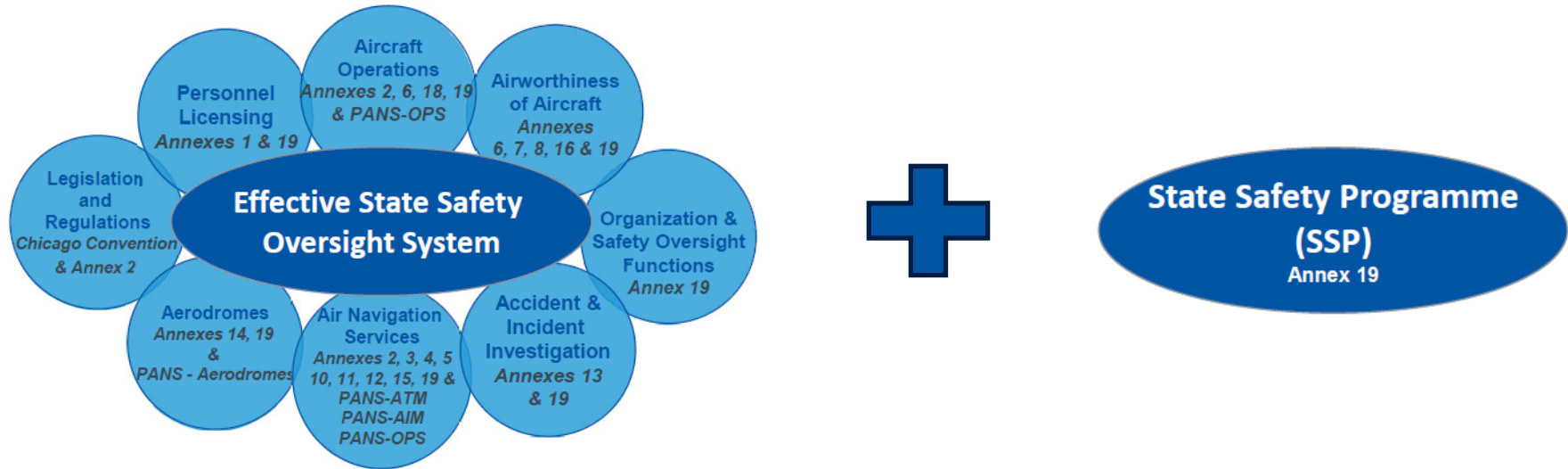
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Traditional Audit Areas





Audit Areas with SSP





Protocol Questions (PQs)

The primary tool used in USOAP for assessing the level of effective implementation of a State's safety oversight system based on the critical elements, the CC, ICAO SARPs, PANS and related guidance material.

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 each finding is PQ-specific.



CE-1	<ul style="list-style-type: none">• Laws, treaties• Bilateral agreements on Article 83 bis of the Chicago Convention
CE-2	<ul style="list-style-type: none">• Regulations, directives• Procedures for the amendment of regulations;• Procedures for identifying and notifying differences, if any, to ICAO
CE-3	<ul style="list-style-type: none">• Documents related to nomination, delegation, cooperation, etc. (MOU, letters, etc.);• Organizational charts;• Documents describing functions and responsibilities;• Sample of job descriptions; Sample of credentials;• Budget decisions• Documents on the process to determine staffing needs
CE-4	<ul style="list-style-type: none">• Document defining the minimum qualification and experience requirements• Training policy, programmes, training plans;• Completed OJT forms, Training records

CE-5	<ul style="list-style-type: none">• Manuals, Handbooks• Procedures• Checklists
CE-6	<ul style="list-style-type: none">• Completed check-lists used for licensing/ certification/ approval and/or authorization processes• Issued licences, certificates, approvals and/or authorizations;• Copies of exchange of letters with the industry
CE-7	<ul style="list-style-type: none">• Surveillance policy;• surveillance programme and plans• Copies of inspection or audit reports and/or monitoring activities;
CE-8	<ul style="list-style-type: none">• Exchange letters with the industry regarding deficiencies and corrective actions• Enforcement procedures• Evidence of actual enforcement actions (imposed fines or restriction/limitations, suspended or revoked licences/certificates/ approvals/authorizations);



- MAC revises and amends PQs on a periodic basis to:
 - a) reflect changes to the ICAO provisions; and
 - b) harmonize and improve PQ references and content.

- Amendment of PQs incorporates inputs from:
 - a) ICAO ANB;
 - b) ICAO ROs;
 - c) external stakeholders; and
 - d) lessons learned and experiences drawn.

- PQ amendments may have a positive or negative impact on the level of EI of all States, as PQs may be added, changed, merged, separated, and/or deleted.



Comparison between the 2020 and the 2024 editions of the PQs

	2020 PQs						2024 PQs		
	Total No. (2020)	Number of					Total No. (A+B+C+D)	Number of	
		Deleted	Revised (A)	Merged (B)	No Change (C)	New (D)		On-site required	Off-site eligible
LEG	23	0	3	0	20	0	23	3	20
ORG	13	0	0	0	13	0	13	9	4
PEL	93	4	35	2	52	11	100	79	21
OPS	126	1	96	0	29	11	136	100	36
AIR	186	10	82	3	91	22	198	114	84
AIG	84	0	30	0	54	0	84	46	38
ANS	122	5	108	0	9	11	128	102	26
AGA	143	1	14	0	128	11	153	116	37
SSP	0	0	0	0	0	0	16	16	0
	790	21	368	5	396	66	851	585	266



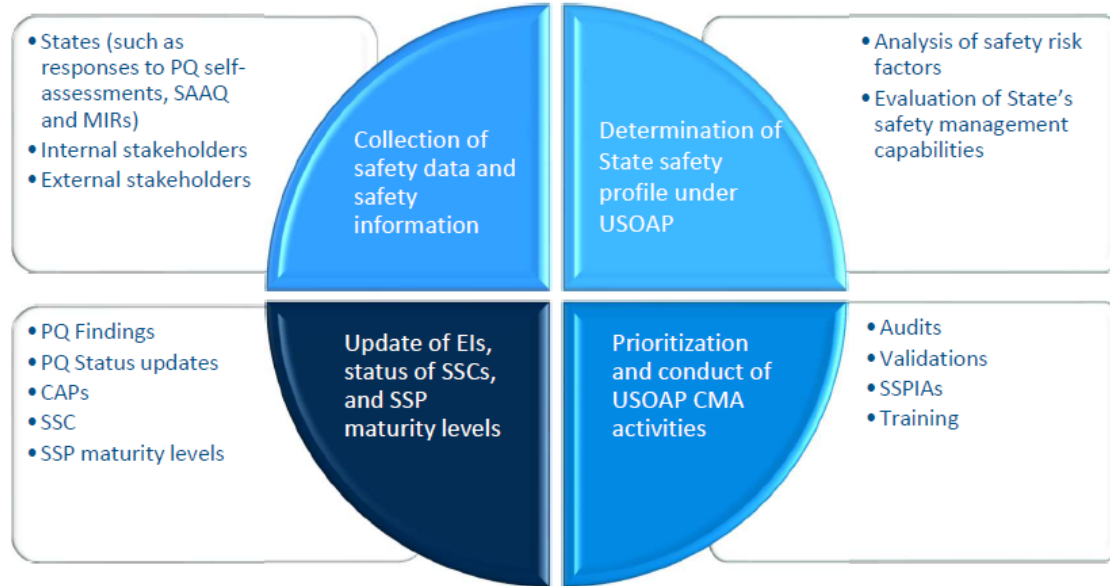
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USOAP CMA Components



USOAP CMA Components





Collection of Safety Data and Information

- Member States provide the primary source of safety information by completing, submitting and regularly updating the following:
 - 1) State Aviation Activity Questionnaire (SAAQ);
 - 2) PQ self-assessment;
 - 3) Compliance Checklists (CCs) on the Electronic Filing of Differences (EFOD) system; and
 - 4) State responses to MIRs.
- Internal stakeholders
- External stakeholders



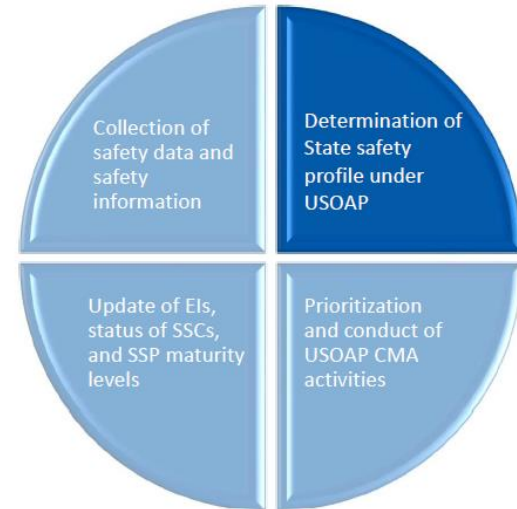


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State safety profile

- Main Indicators for Determining State Safety Profile under USOAP:
 - a) EI (determined through a previous USOAP CMA activity);
 - b) date and scope of the last USOAP CMA activity;
 - c) any postponement or cancellation by the State of USOAP CMA activity;
 - d) existence of SSC(s);
 - e) a State's progress in resolving an SSC
 - f) level of (international) aviation activity and its trend (traffic);
 - g) aviation accidents rate and its trend;
 - h) level of progress made by a State PQ self-assessment on OLF; SAAQ
 - j) level of progress made by a State in submitting and implementing CAPs; and
 - k) level of progress made by a State in completing and updating the CC/EFOD system on the OLF.





Prioritization and conduct of USOAP CMA activities

MAC prioritizes CMA activities based on:

- State safety profiles under USOAP; and
- Key influencing factors, including major regulatory or organizational changes, significant system changes, aviation activity levels, input from ROs and safety partners, air navigation deficiencies, progress toward GASP safety-management objectives, strength of safety oversight and investigation systems, effectiveness of safety reporting and data analysis, and regional representation.

USOAP CMA activities are conducted in the following modes:

- On-site: ICAO team reviews and validates evidence in person.
- Off-site: Evidence reviewed at ICAO HQ with limited interaction with the State.
- Virtual: Remote review using videoconferencing and electronic exchanges.





USOAP CMA activities

Types of USOAP Audits

- **Documentation-Based Audit (DBA):** Off-site review when on-site work isn't possible or activity levels are low.
- **Focused Audit:** Examines only selected PQs or a specific audit area.
- **Follow-up Audit:** Reviews PQs previously rated unsatisfactory, not applicable, or undetermined.
- **Full-Scope Audit:** Covers all PQs across the State's safety oversight and investigation system.
- **Integrated Audit Activity (IAA):** Small-scope audit integrated with a State visit when no recent audits occurred (past 5 years).

Types of USOAP Validations

- **ICAO Coordinated Validation Mission (ICVM).** ICAO collects and assesses evidence provided by the State demonstrating that the State has implemented CAPs (or mitigating measures for (SSCs) to address previously identified findings.
- **Integrated validation activity (IVA).** A validation, integrated with a scheduled visit to a State by ICAO or its stakeholders, where ICAO samples and collects evidence provided by the State for identified PQs, demonstrating effective implementation.
- **Off-site validation activity.** ICAO assesses and validates documented progress indicated by the State on the OLF as implementing its CAP, including the assessment of relevant evidences uploaded to the OLF, without an on-site visit to the State.



Criteria for Selecting a State for Validation Activities

- Off-site validation: Based on PQ findings linked to eligible PQs (mainly CEs 1–5).
- ICVM: When ~75% of CAPs in the audited area:
 - fully address findings,
 - are reported as fully implemented, and
 - include all required evidence uploaded in the OLF.

CAPs for CEs 6–8 (“Implementation” CEs) cannot be validated off-site and require on-site or virtual validation



Update of EI

- The conduct of USOAP CMA audits or validations enable ICAO to continuously update (i.e. increase or decrease) a State's EI.
- State's EI is reported on the OLF.

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





As per the USOAP CMA MOU and by using the OLF, States shall:

- participate fully in the USOAP CMA by taking part in all USOAP CMA activities and by committing to provide information related to the establishment and implementation of its safety oversight system on an ongoing basis, 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.

**MEMORANDUM OF UNDERSTANDING (MOU)
BETWEEN STATE [LONG NAME] AND THE INTERNATIONAL
CIVIL AVIATION ORGANIZATION (ICAO) REGARDING
THE UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME
CONTINUOUS MONITORING APPROACH
(Generic Version)**

Whereas the primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas the 32nd Session of the Assembly of ICAO in Resolution A32-11 directed the Council to establish the ICAO Universal Safety Oversight Audit Programme (USOAP), providing for regular, mandatory, systematic and harmonized safety audits to be carried out by ICAO, that such universal safety oversight programme shall apply to all Contracting States, and that greater transparency and increased disclosure be implemented in the release of audit results;

Whereas the 32nd Session of the Assembly urged all Contracting States to sign a bilateral Memorandum of Understanding (MOU) with the Organization, agreeing to audits to be carried out upon ICAO's initiative, but always with the consent of the State to be audited, and outlining the rules of conduct for such audits;

Whereas the DGCA/06 Conference made recommendations to allow public access to appropriate information on safety oversight audits and to develop an additional mechanism to rapidly resolve Significant Safety Concerns (SSCs) identified under USOAP;

Whereas the 36th Session of the Assembly directed the Secretary General to examine options for the continuation of the USOAP beyond 2010, including the possibility of adopting a Continuous Monitoring Approach (CMA);

Whereas the 37th Session of the Assembly directed the Secretary General to evolve the USOAP to a CMA, which will incorporate the analysis of safety risk factors and be applied on a universal basis in order to assess States' oversight capabilities;

Whereas the 37th Session of the Assembly directed the Secretary General to ensure that the CMA continues to maintain as core elements the key safety provisions contained in Annex 1 – *Personnel Licensing*, Annex 6 – *Operation of Aircraft*, Annex 8 – *Airworthiness of Aircraft*, Annex 11 – *Air Traffic Services*, Annex 13 – *Aircraft Accident and Incident Investigation*, and Annex 14 – *Aerodromes*;

Whereas the 37th Session of the Assembly urged all Contracting States to submit to ICAO, in a timely manner, and keep up to date all the information and documentation requested by ICAO for the purpose of ensuring the effective implementation of the USOAP CMA;



Definitions and terminology

Acronyms and abbreviations

Chapter 1. Introduction

Chapter 2. General information

Chapter 3. Continuous monitoring approach

Chapter 4. Audits and validations

Chapter 5. State Safety Programme implementation assessment

Chapter 6. Online framework

Chapter 7. Programme management

Chapter 8. USOAP CMA activity teams

Chapter 9. USOAP CMA activity phases and procedures

Appendix A. USOAP CMA activity timelines

Appendix B. MOU between State and ICAO regarding USOAP CMA (generic version)

Appendix C. Significant Safety Concern: Procedure and Process Flowchart

Appendix D. Guidance for States on developing corrective action plans

Appendix E. Corrective action plan: assessment and monitoring workflow

Appendix F. Guidelines for National Continuous Monitoring Coordinators







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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