Regional Seminar/Workshop on USOAP Continuous Monitoring Approach (CMA) and State Aviation Safety Tools (SAST)

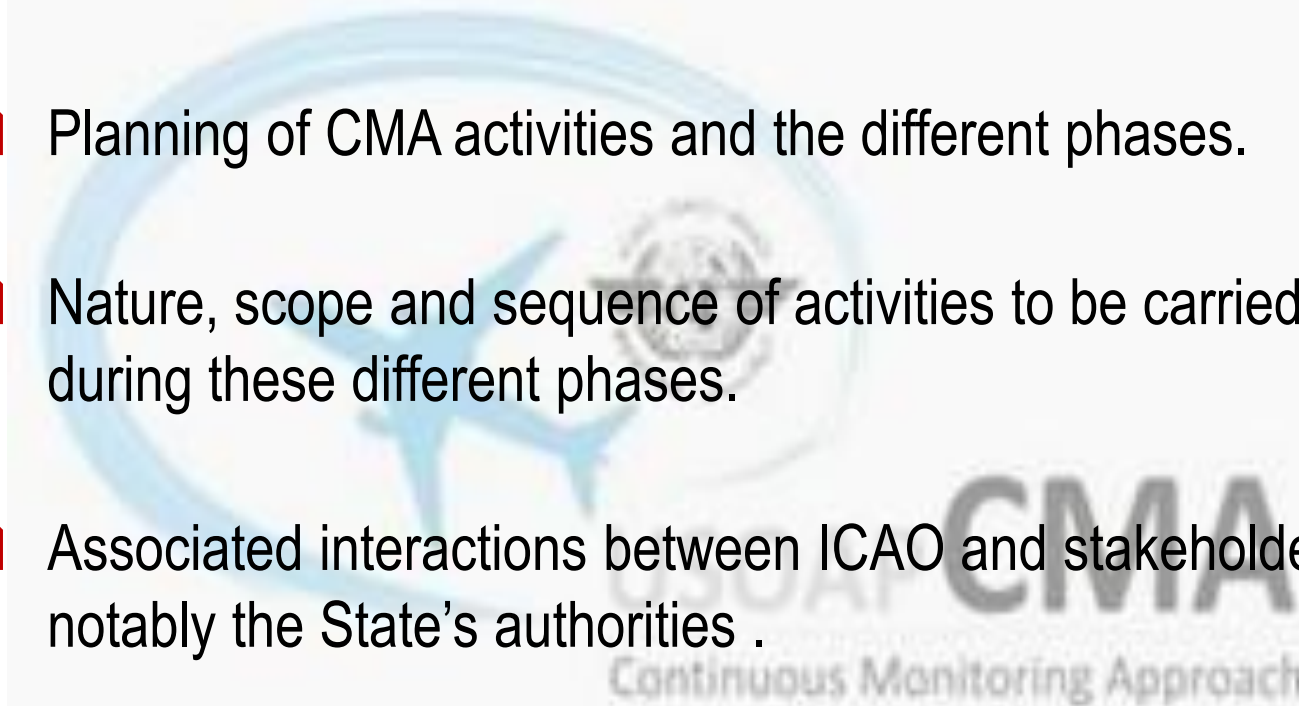## USOAP CMA Activities
## Planning and Phases

Module 5

Module Objective

At the end of this module, the participants will be able to explain the:

❑ Planning of CMA activities and the different phases.

❑ Nature, scope and sequence of activities to be carried out during these different phases.

❑ Associated interactions between ICAO and stakeholders, notably the State's authorities .

Outline

❑ **Planning and Scheduling**

❑ **Phases of the Activities**

  ▪ Preparation Phase

  ▪ On-site Mission Phase

  ▪ Validation and Reporting Phase
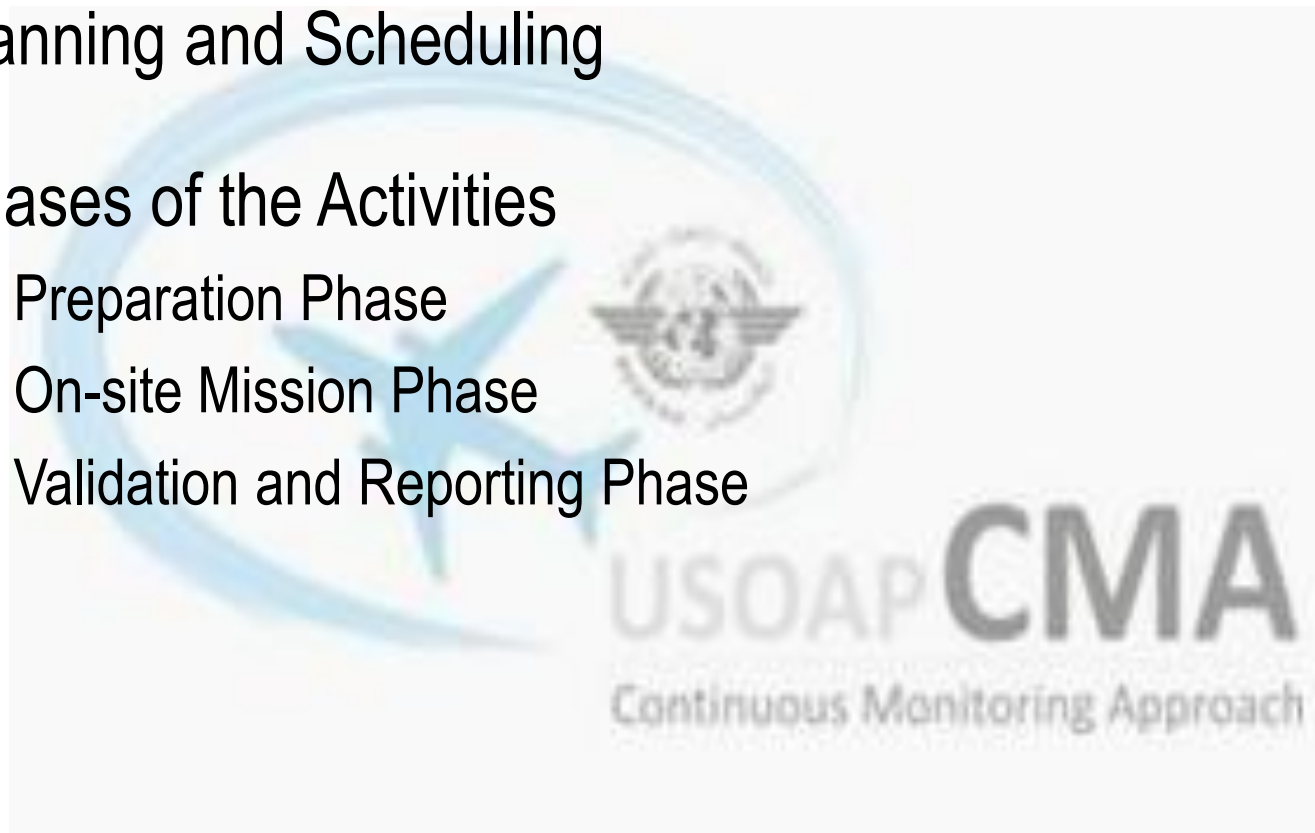
Planning and Scheduling

The USOAP CMA requires planning and scheduling of key activities.

Prioritization of activities is based on State's Safety Risk Profile, which is:

- Determined/monitored by ICAO on an ongoing basis, and
- Based on safety risk factors.

For cost–recovery activities, ICAO and the Member State mutually agree on the dates and timelines on a case-by-case basis.

Planning and Scheduling (cont'd)

A programme schedule is published up to 12 months in advance, identifying Member States that will receive on-site USOAP CMA activities.

Programme schedule and related amendments are published via ICAO Electronic Bulletins and ICAONET.

Selected States are notified 120 days prior to the start of on-site activity.

Concerned States have to confirm acceptance of CMA activity within 30 days after receipt of the notification letters.

Planning and Scheduling (cont'd)

As per the MOU, States are urged to accept the scheduled CMA activity.

States seeking a deferral of the CMA activity are required to:

- advise ICAO of their inability to accept a scheduled activity within 60 days (for ICVMs) or 90 days (for CSA audit) before the start of on-site activity.
- clearly state the compelling reason(s) for not accepting or postponing the USOAP CMA activity.

Refusal to accept a scheduled CMA activity is reported to the ICAO Council.

Phases and Procedures

- A three-phase process for USOAP CMA activities, including:

  Preparation Phase

  On-site Mission Phase

  Validation and Reporting Phase

- Process and procedures are highly transparent and available to all Member States.

USOAP CMA PREPARATION PHASE

Preparation Phase

Before the start of the activity —

Several tasks during the USOAP CMA process are time-related and should be initiated and completed within the established timelines, as defined in the following table:

Preparation Phase (cont'd)

Responsibilities/Tasks		Timelines by Activity (Days noted below are calendar days)			
ICAO	**State**	**ICVMs**	**CSA Audits**	**Cost-recovery ICVMs**	**Safety Audits**
Before the start of the activity					
Publication/posting of programme schedule		Periodic	12 months	ICAO and the Member State shall mutually agree on the dates and timelines for cost-recovery ICVMs on a case-by-case basis.	ICAO and the Member State shall mutually agree on the dates and timelines for Safety Audits on a case-by-case basis. [*Note – Safety Audits are cost-recovery CSA Audits.*]
Notification letter to States about CMA activity		120 days **before start of on-site activity**			
	Acknowledgement of receipt of notification letter and confirmation of CMA activity	30 days **after receipt of notification letter**			
Confirmation of the scope of the activity		90 days **before start of on-site activity**	120 days **before start of on-site activity**		

Preparation Phase (cont'd)

Responsibilities/Tasks		Timelines by Activity (Days noted below are calendar days)			
ICAO	**State**	**ICVMs**	**CSA Audits**	**Cost-recovery ICVMs**	**Safety Audits**
Before the start of activity (cont'd)					
	Submission of CAP implementation progress	90 days **before start of on-site activity**	N/A	ICAO and the Member State shall mutually agree on the dates and timelines for cost-recovery ICVMs on a case-by-case basis.	ICAO and the Member State shall mutually agree on the dates and timelines for Safety Audits on a case-by-case basis. [*Note – Safety Audits are cost-recovery CSA Audits.*]
Latest date for changing scheduled activity		60 days **before start of on-site activity**	90 days **before start of on-site activity**		
Submission of release requests for short-term seconded auditors and subject matter experts (SMEs) to their sponsoring organizations		60 days **before the start of on-site activity**	90 days **before the start of on-site activity**		
Preparation of mission plan (includes notifying States of mission team composition)		45 days before the start of t on-site activity			

Preparation Phase (cont'd)

Starts when notification letter of CMA activity is forwarded to the State…

and ends with on-site audit team briefing prior to the opening meeting with the State.

During this phase, ICAO prepares for the mission by:

- confirming the scope and the duration of the CMA activity;
- confirming the assignments of all team members (TMs);
- requesting the release of all TMs, including short-term seconded auditors and SMEs;

Preparation Phase (cont'd)

- reviewing safety information and documents submitted by the State;

- preparing the State-specific mission plan and coordinating it with TMs, the State and the accredited Regional Office (RO);

- making travel arrangements;

- managing various administrative issues; and

- conducting mission team briefing.

Preparation Phase (cont'd)

Assignment of Team Leader (TL)

C/CMO appoints a team leader (TL) for each CMA activity mission before the start of CMA activity.

- TL for CSA and Safety Audits: CMO Section staff
- TL for ICVMs: CMO Section or RO staff

Preparation Phase (cont'd)

Assignment of Team Members (TMs)

❑ C/CMO selects and assigns audit TMs soon after appointment of the TL.

❑ Audit TMs are selected:

- From among certified ICAO safety oversight auditors for CSA and Safety Audits and/or SMEs for ICVMs.

- Taking into consideration the geographical region, area of expertise and language of the audit.

- At least one TM must have command of the ICAO official language used by the Member State.

Preparation Phase (cont'd)

Confirmation of Activity Team and Mission Duration

- ❑ CMO Section confirms the number of days for the mission.
- ❑ Concerned State receives the mission plan, including the team composition:
  - 45 days prior to the start of on-site activity (CSA/ICVM).
  - As agreed for cost-recovery activities.
- ❑ Interpreters and observers are not considered as TMs.

Preparation Phase (cont'd)

Document Review

The TL, with support from CMO Section's technical staff, reviews documentation and information associated with the planned USOAP CMA activity, including:

- ❑ Completed and updated SAAQ,
- ❑ Updated CAP(s),
- ❑ Online PQs completed by the State,
- ❑ CCs completed by the State, either in paper format or through the EFOD system, and
- ❑ Latest information regarding the SSP, if applicable.

Preparation Phase (cont'd)

Document Review

- Results of previous USOAP activities
- Other relevant documents, including information obtained from
  - ICAO Regional Offices (ROs)
  - ICAO's Technical Co-operation Bureau (TCB)
  - Recognized organizations

Document Review

❑ The TL may request, through the NCMC, other documentation such as:

- Applicable legislation/regulations,
- Organizational charts, and
- Procedures related to the scope of the activity.

❑ The TL forwards all available and relevant documents to the TMs prior to the USOAP CMA on-site activity.

Preparation Phase (cont'd)

State-specific Mission Plan

❑ The TL:

- Develops a State-specific mission plan.
- Forwards it to the NCMC for coordination with State authorities and to all assigned TMs.

Preparation Phase (cont'd)

State-specific Mission Plan

- ❑ The mission plan includes:
  - ▪ a daily work schedule, and
  - ▪ information about:
    - ✓ the conduct of the mission, and
    - ✓ visits to facilities and entities other than the CAA.
- ❑ The TL coordinates visits to industry or service providers with the NCMC.
- ❑ The State arranges and coordinates domestic travel arrangements, and also covers related transportation costs.

Preparation Phase (cont'd)

State-specific Mission Plan

- ❑ The TL, in coordination with the NCMC, shall determine the requirements for language interpretation services.

- ❑ The State is responsible for the provision of interpretation services.

Table of Contents

State	(Name of the State)					
1.1 Audit Period						
1.2 Opening Meeting venue, date and time						
1.3 Closing Meeting venue, date and time						
1.4 National Safety Oversight Coordinator	Name					
	Position					
	Address					
	Telephone + Cell.					
	Fax					
	E-mail:					
	URL:					
1.5 Scope of the audit	Example: The audit will be a Comprehensive Systems Approach Audit to include a review of the civil aviation legislation, the organization of the CAA and relevant aviation bodies in the State and will encompass the following technical areas: Personnel Licensing (PEL), Aircraft Operations (OPS), Airworthiness of Aircraft (AIR), Accident Investigation (AIG), Aerodromes and Ground Aids (AGA) and Air Navigation Services (ANS). The audit will visit the regional office of ABC located three hours drive from Headquarters. The industry visits will all take place at ……					
1.6 Language to be used for audit conduct	English					
1.7 Language to be used for audit report	English					
1.8 Summary of document provided by the State *Note: Indicate, after the nature of the document submitted, W, if in electronic format Word or P if document submitted in PDF.*	☐ SAAQ	☐ CCs				☐ Aviation law
	☐ Regulations					
	☐ Procedure manuals	☐ PEL	☐ OPS	☐ AIR	☐ ANS	☐ AGA	☐ AIG
	☐ Other					

Preparation Phase (cont'd)

Mission Team Briefing

❑ Conducted by the TL with the entire team prior to the official opening of the on-site activity.

❑ Aimed at building team synergy and ensuring that all TMs are aware of pertinent information.

❑ Depending on the type of activity, the TL reviews with the team:

▪ The State-specific mission plan and scheduled on-site tasks.

▪ Details relevant to the on-site activity.

Role of the NCMC During Preparation Phase

❑ Coordinate with various national entities responsible for safety oversight activities.

❑ Ensure the proper completion and online submission of:

- SAAQ,
- State responses to PQs,
- CCs or EFOD, and/or
- CAP implementation progress for ICVMs.

Role of the NCMC

❑ Coordinate with the relevant CMO/PH to:
- ▪ Ensure the proper completion of the documentation, and
- ▪ Request or provide clarification and assistance.

❑ Coordinate with the TL the preparation of the State-specific mission plan.

❑ Coordinate the submission of all supporting documentation.

Preparation Phase (cont'd)

Role of the NCMC

❑ Prepare for the on-site activity.

❑ Assist the TL with all administrative and logistical arrangements:

- Coordinate the schedule of visits to CAA regional offices, industry/service providers,

- Arrange for local and off-site transportation,

- Arrange for meeting facilities,

- Arrange for work area and equipment for the audit team,

- Assist with hotel reservations,

Role of the NCMC

- Identify focal persons (counterparts) for all specific areas,
- Coordinate with focal persons the preparation of evidence to be presented to the activity team,
- Brief all key management personnel of the State's aviation system on the scope, objective and State-specific mission plan, and
- Ensure that questions or queries from the TL related to the preparation of the audit are answered in a timely manner.

Back to CMA phases

USOAP CMA ON-SITE MISSION PHASE

On-site Mission Phase

Starts with opening meeting…

…and ends with closing meeting.

During this phase, an ICAO team:

- ❑ Visits the State to conduct the specified USOAP CMA activity.
- ❑ Collects and documents evidence provided by the State.
- ❑ Conducts an on-site assessment depending on the type and scope of the planned activity.

On-site Mission Phase (cont'd)

Opening Meeting

❑ Jointly chaired with the State's senior executive, the TL convenes an opening meeting with the State CAA officials and all TMs on the first day of the on-site activity to:

  ▪ Review and explain the process and scope of the on-site activity, and

  ▪ Confirm the work schedule in the State-specific mission plan.

❑ Date and time are scheduled in advance and included in the mission plan.

On-site Mission Phase (cont'd)

Opening Meeting

❑ The opening meeting covers:

- Introduction of TMs, State officials and CAA representatives,
- A summary of the scope and objectives of the CMA activity,
- A summary of the methods and procedures to be used,
- Official communication procedures between the mission team and the State officials, and
- The schedule of the closing meeting.

Conduct of On-site Activity — General

❑ For CSA and Safety Audits:
  ▪ Assessment of the State's safety oversight capability
  .

❑ For ICVMs:
  ▪ Collection of objective evidence on the progress made by the State in:
    ✓ Implementing CAPs, and/or
    ✓ Mitigating measures to address F&Rs and SSCs.

On-site Mission Phase (cont'd)

Conduct of On-site Activity — General

❑ TL and NCMC coordinate any changes to the mission plan/on-site tasks.

❑ CMA activity team reviews the PQ status with the State.

❑ CMA activity team may also, depending on the scope of the activity, review the:

- State's legislative and regulatory provisions ,
- Iimplementation of ICAO SARPs and PANS, and/or
- Application of guidance material and relevant safety-related practices in use in the aviation industry.

On-site Mission Phase (cont'd)

Conduct of On-site Activity — General

- ❑ The State provides appropriate evidence to fulfill the requirements of the CMA activity.
- ❑ The CMA activity team collects evidence and information by: examining records, reviewing documents, observing activities, visiting facilities, examining equipment and tools, and conducting interviews.
- ❑ Gathering of evidence is systematic and objective, using the State-specific PQs.
- ❑ The TL provides the State with a deadline for presenting evidence.

Conduct of On-site Activity — Industry Visits

❑ The team visits industry and service providers.

❑ CAA representatives accompany the CMA activity team.

❑ These visits help determine the State's safety oversight capability or its implementation of CAPs/mitigating measures.

❑ F&Rs identified during the visit can only be identified as an F&R on the State civil aviation system.

Conduct of On-site Activity — SSCs

A *Significant Safety Concern* occurs when the audited State allows the holder of an authorization or approval to exercise the privileges attached to it, although the minimum requirements established by the State and by the Standards set forth in the Annexes are not met, resulting in an immediate safety risk to international civil aviation.

Conduct of On-site Activity — SSCs

❑ CMA activity teams may uncover SSC(s) during their on-site activities.

❑ A mechanism is in place to address such SSCs as a priority.

❑ When a potential SSC is identified:

- TL brings it to the attention of the State as soon as it is discovered.

- State may initiate corrective actions immediately.

- TL provides all relevant information on the potential SSC to C/CMO.

On-site Mission Phase (cont'd)

Potential SSCs are described to the State during the audit closing meeting/briefing.

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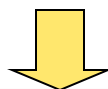
SSCs are confirmed and validated by CMO Section (48 to 72 hours).
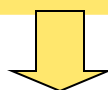
⬇ 15 days

Official notification of SSCs to the State, including time frame for corrective action.

⬇

If State fails to respond, the SSCs will be posted on the secure website and Council will be advised.

On-site Mission Phase (cont'd)

Conduct of On-site Activity — CSA and Safety Audits

- ❑ Each F&R is associated with one or more not satisfactory PQs, which in turn are associated with the relevant CE(s).
- ❑ How and why F&Rs are generated shall be explained by the CMA mission team.
- ❑ Absence of evidence will normally be reflected as a Finding.
- ❑ For every Finding, ICAO recommends measures to be taken by the State for its resolution.
- ❑ The State is required to propose a CAP to address each F&R.

Conduct of On-site Activity — CSA and Safety Audits

- ❏ TMs submit their draft F&Rs to the TL, supported by objective evidence and relevant documentation.
- ❏ The CMA mission team reviews all F&Rs to ensure that they:
    - ▪ Are objective,
    - ▪ Are clear and concise, and
    - ▪ Address at least one of the eight CEs.

Conduct of On-site Activity — ICVMs

The CMA team:

- Collects evidence related to the State's progress in implementing its corrective action/mitigating measures to address identified F&Rs/SSCs.

- Documents and evaluates the level of progress made by the State in implementing its CAPs.

- Reports its results and recommendations to the CMO Section through the ICAO RO.

Closing Meeting — CSA and Safety Audits

Convened by TL at the end of the on-site phase with the State's representatives to provide the State with:

- ☐ A brief review of the objective and scope of the audit,
- ☐ Presentation of draft F&Rs (and potential SSCs, if any), and
- ☐ Information on post-audit actions to be performed by ICAO and the State.

Closing Meeting — CSA and Safety Audits

- ❑ The TL provides a draft copy of F&Rs/potential SSCs to the State authorities.

- ❑ Draft copies of F&Rs are provided to allow the State to start working on their corrective actions/mitigating measures.

- ❑ Draft F&Rs are put through technical and editorial review by the CMO Section before they are finalized and posted on the CMA online framework.

Closing Meeting — CSA and Safety Audits

❑ For potential SSCs:

- ▪ A committee at ICAO HQ confirms their validity.
- ▪ CMO Section then conducts a technical and editorial review before finalizing and communicating them to the State.

On-site Mission Phase (cont'd)

Closing Meeting — CSA and Safety Audits

- ❑ Places due emphasis on the most significant safety deficiencies.

- ❑ Includes a review of the effectiveness of the State's safety oversight system and capabilities.

- ❑ The TL explains post-audit actions, including:
  - ▪ Overview of report production process/timelines, and
  - ▪ Actions to be taken by the State:
    - ✓ Preparation and submission of the CAPs, and
    - ✓ Comments on the draft mission report.

On-site Mission Phase (cont'd)

Closing Briefing — ICVMs

Convened by TL at the end of the on-site phase with the State's representatives to provide the State with:

- ❑ A brief review of the objective and scope of the ICVM,
- ❑ Verbal presentation of the preliminary evaluation of State's progress in implementing its corrective actions/mitigating measures,
- ❑ Presentation of potential SSCs, if any, and
- ❑ Information on post-ICVM actions to be performed by ICAO and the States.

Role of NCMC During the On-site Mission Phase

❑ Ensures that all State representatives attend opening and closing meetings.

❑ Works closely with TL for a smooth conduct of on-site activity.

❑ Coordinates CMA activity team's visits to the industry and service providers.

❑ Keeps the State's key management personnel informed on the progress and preliminary results of the CMA activity.

Back to CMA phases

USOAP CMA VALIDATION AND REPORTING PHASE

Validation and Reporting Phase

Starts once the closing meeting/briefing is concluded,

...and ends with the publication of the final report.

During this phase:

The TL

- Submits the draft activity report compiled from contributions by each TM.

The CMO Section

- Performs technical and editorial review to validate activity results.
- Produces draft report which is sent to the State for comments.

The State

- Is requested to provide comments to the draft report within the timeline defined in Doc 9735.
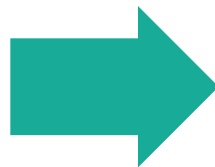
Validation and Reporting Phase (cont'd)

During this phase:

CMO Section

- Reviews the State's comments for incorporation into the final report.

ICAO

- Sends the final report to the State.
- Publishes final report through the CMA online framework.

Validation and Reporting Phase (cont'd)

Preparation of Mission Reports — General

❑ A draft and a final report are generated for each USOAP CMA activity.

❑ CSA and Safety Audit reports:

▪ Are based on the draft F&Rs and SSCs.

▪ Include an executive summary and detailed activity results, with analyses by CE and technical area.

Preparation of Mission Reports — General

❑ ICVM reports:

  ▪ Are based on validated corrective actions and mitigating measures taken by the State in response to identified F&Rs and SSCs.

  ▪ Include a summary of each audit area and details on the progress achieved by the State in implementing its CAPs.

Preparation of Mission Report — General

❑ The TL:

- Verifies the technical content and overall accuracy of the report in coordination with CMO Section.
- Is consulted for questions/clarification during report production process.

Preparation of Draft Report

❑ The TL:

- Reviews submissions of TMs.

- Discusses with TMs prior to their return to duty stations to ensure the overall quality and consistency.

- Compiles the draft report based on submissions from TMs.

- Submits the draft report to CMO Section for technical and editorial review.

Validation and reporting phase

Preparation of Draft Report

❑ For **ICVMs,** the CMO Section validates the information outlined in the draft report, including:

- Review of the evidence collected during the mission by the ICVM team, and
- Validation of the progress made by the State in implementing its corrective actions and/or mitigating measures.

❑ The results of the validation are incorporated into the draft report.

Draft Report

- ❑ Made available only to the visited State.
- ❑ May be shared with others at the State's discretion.
- ❑ If the State does not provide any comments within the specified time frame, the CMO Section will automatically begin the process of producing the final report.

Preparation of Final Report

❑ Once the CMO Section receives the State's comments, the final report is:

- Produced by incorporating comments into the report and submitted to DD/SMM for approval.

- Sent to the State according to the timeline defined in Doc 9735.

- Published through the USOAP CMA online framework.

❑ The F&Rs are also posted on the CMA online framework.

Validation and Reporting Phase (cont'd)

Preparation of Final report

❑ If translation of the final report into an ICAO working language other than the language of the activity is required, additional time will be allocated, according to the timeline defined in Doc 9735.

❑ If the final report is published in a language other than English, the report will be sent for translation into English and made available through the CMA online framework.

Role of NCMC

- ❑ Ensures that SSCs are handled expeditiously.
- ❑ Ensures that the State starts working on its CAP promptly.
- ❑ Coordinates the preparation and submission of the State's CAP, including comments on the draft report.

Validation and Reporting Phase (cont'd)

Role of NCMC

- ❑ Coordinates the entry of changes or adjustments to the State's CAP and its re-submission to ICAO.

- ❑ Coordinates, upon receipt of the draft report, the State comments on the report and submits them to ICAO within 30 calendar days.

- ❑ Ensures that the State activity feedback form is duly completed and submitted to ICAO shortly after the receipt of the final report.

- ❑ Keeps the CMO Section abreast of the State's progress in the implementation of its CAPs.

Validation and Reporting Phase (cont'd)

Responsibilities/Tasks		Timelines by Activity (Days noted below are calendar days)			
ICAO	State	ICVMs	CSA Audits	Cost-recovery ICVMs	Safety Audits
After completion of the activity					
Written notification of SSC to State		15 days after last day of on-site activity			
Providing draft report to State		90 days after last day of on-site activity			
	Providing comments to draft report	45 days from receipt of draft report			
Publication of final report		30 days from receipt of State comments			
Translation of report		Additional days as required			
	Submission of CAP	45 days from posting of F&Rs online or notification through the draft report			

Review

❑ Planning and Scheduling

❑ Phases of the Activities

  ▪ Preparation Phase

  ▪ On-site Mission Phase

  ▪ Validation and Reporting Phase