



# Updated information on USOAP CMA

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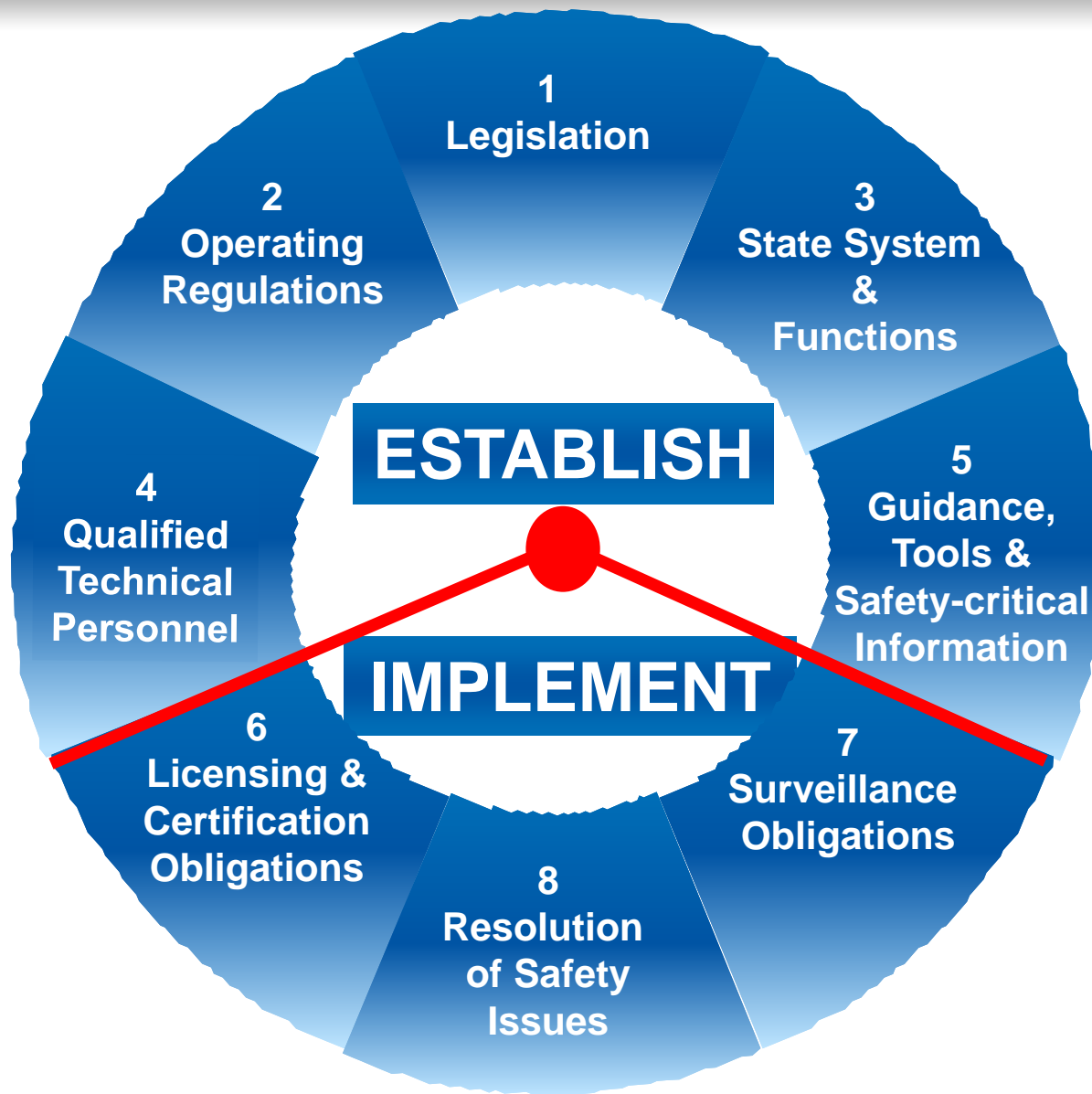


## Outline

- 1) Critical Elements (CEs)**
- 2) USOAP CMA**
- 3) USOAP CMA Online Framework (OLF)**
- 4) States' Obligations**
- 5) Roll-Out of Annex 19 provisions in the USOAP CMA**
- 6) Cost-Recovery Workshops**
- 7) Reference Documents and Websites**
- 8) Regional update**



# Critical Elements (CE) of the Safety Oversight System



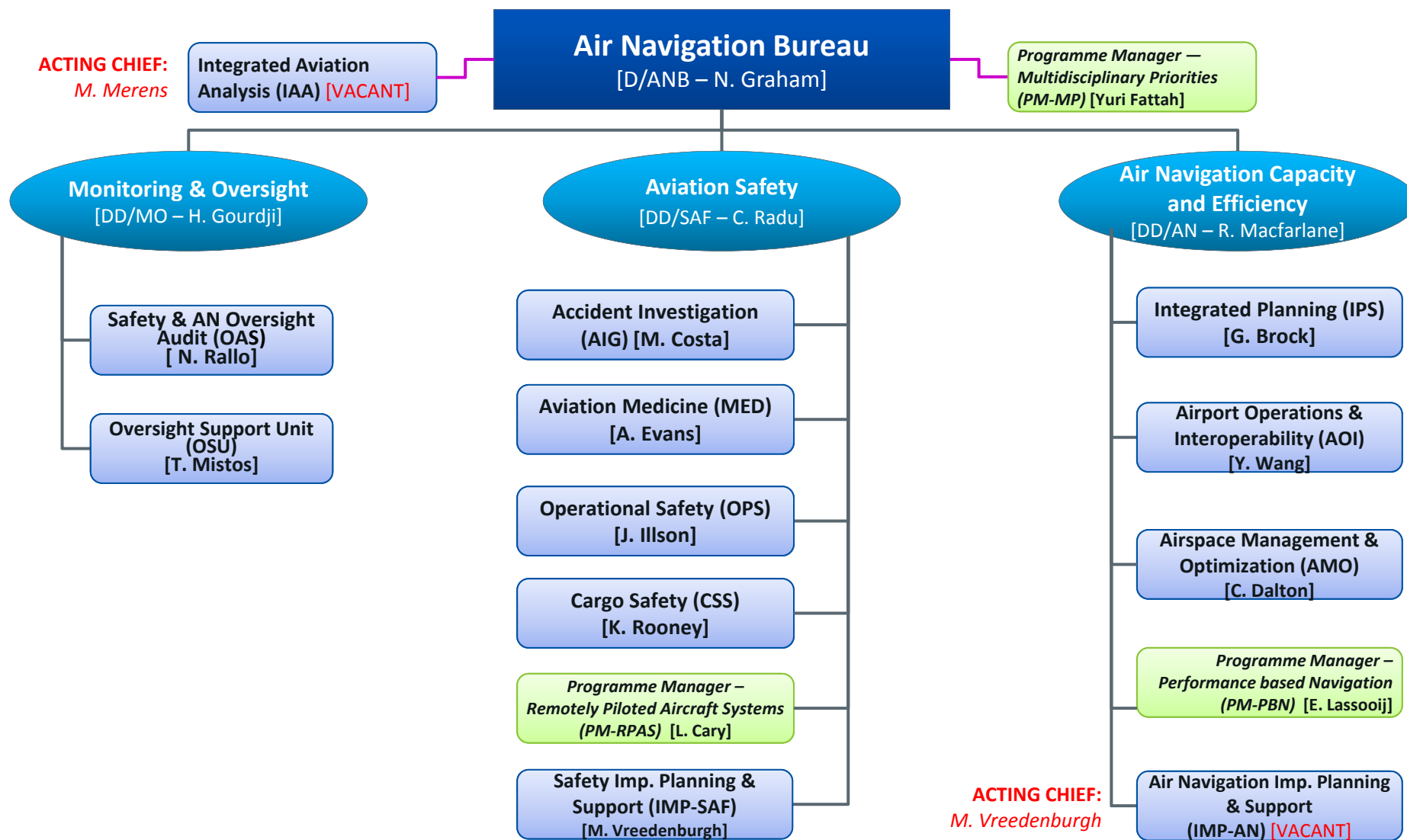


## **ICAO carries out audits and other monitoring activities to determine its Member States' safety oversight capabilities by:**

- Assessing the effective implementation of the 8 CEs in 8 audit areas (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.

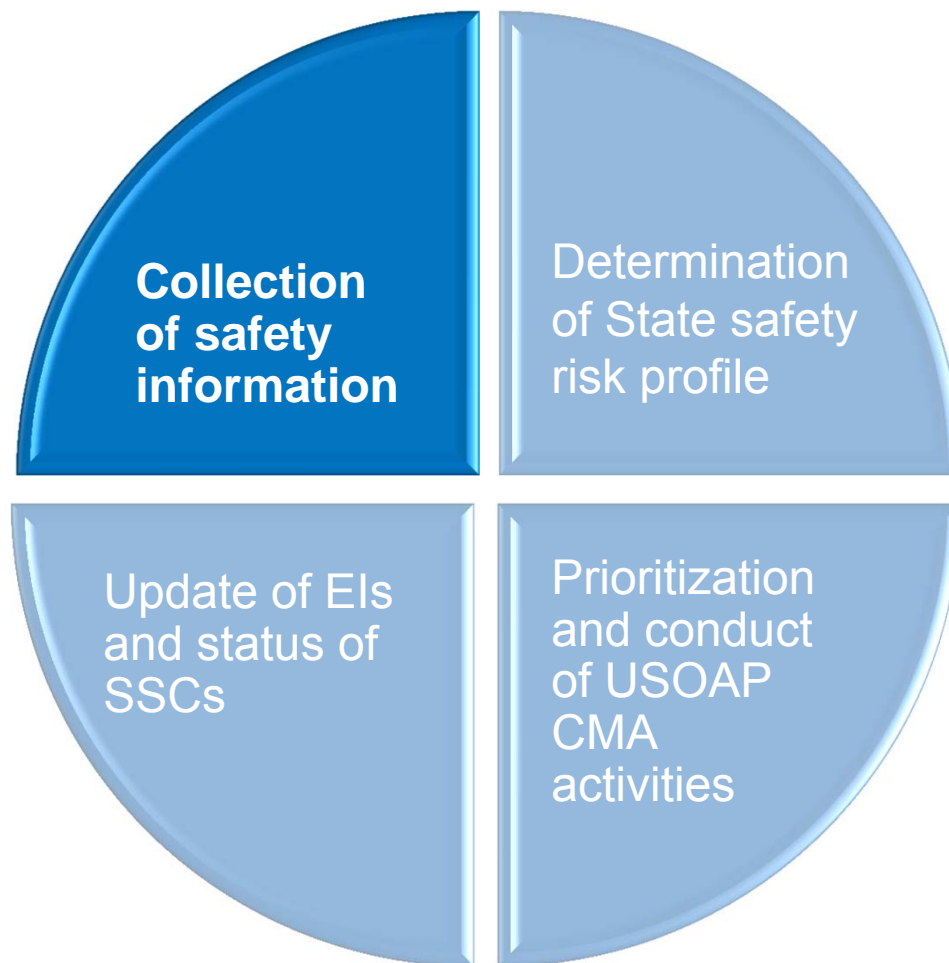


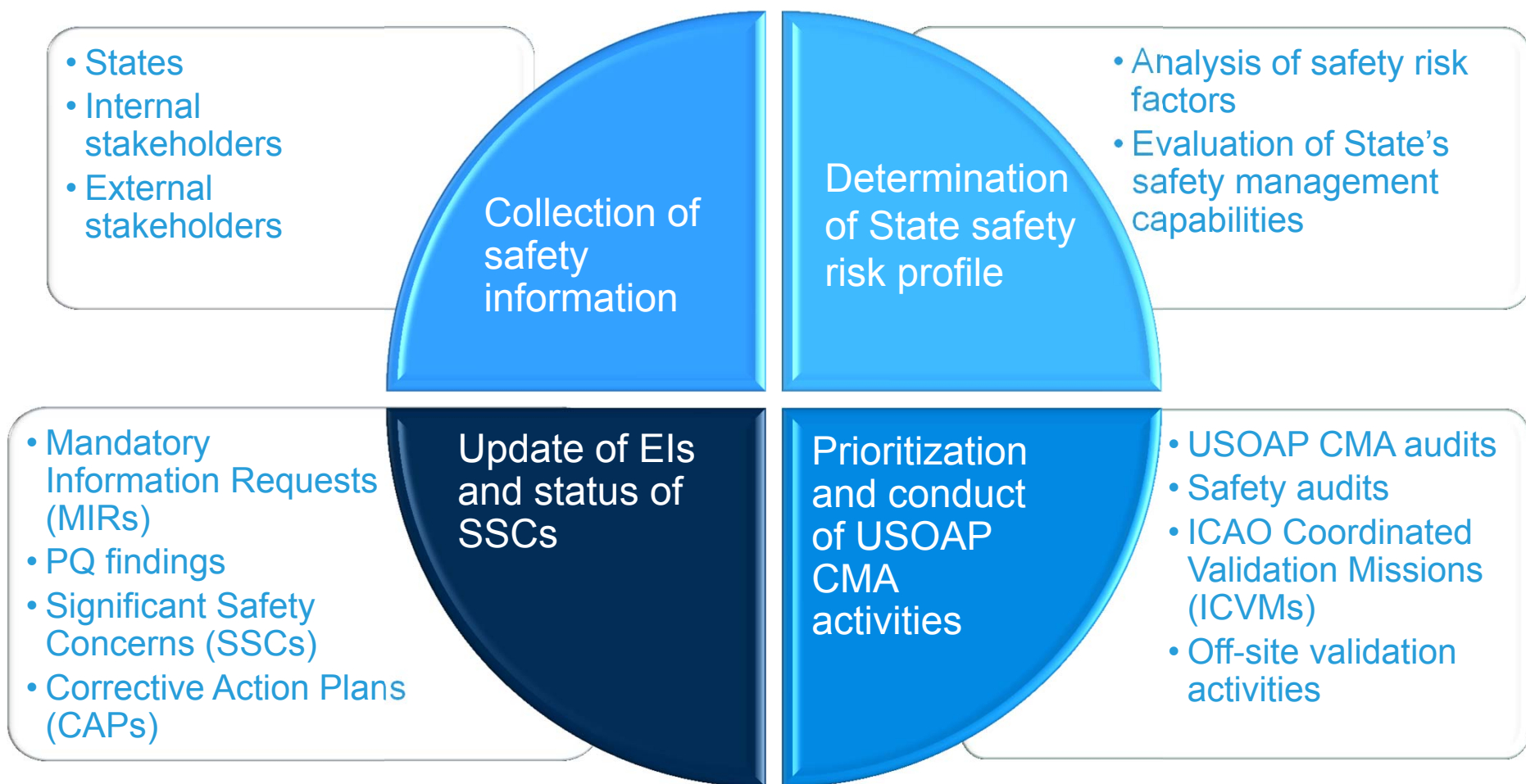
# USOAP CMA





## USOAP CMA COMPONENTS







CMA activities in States are prioritized by MO, based on State safety risk profiles and taking into consideration the approved budget and resources available.



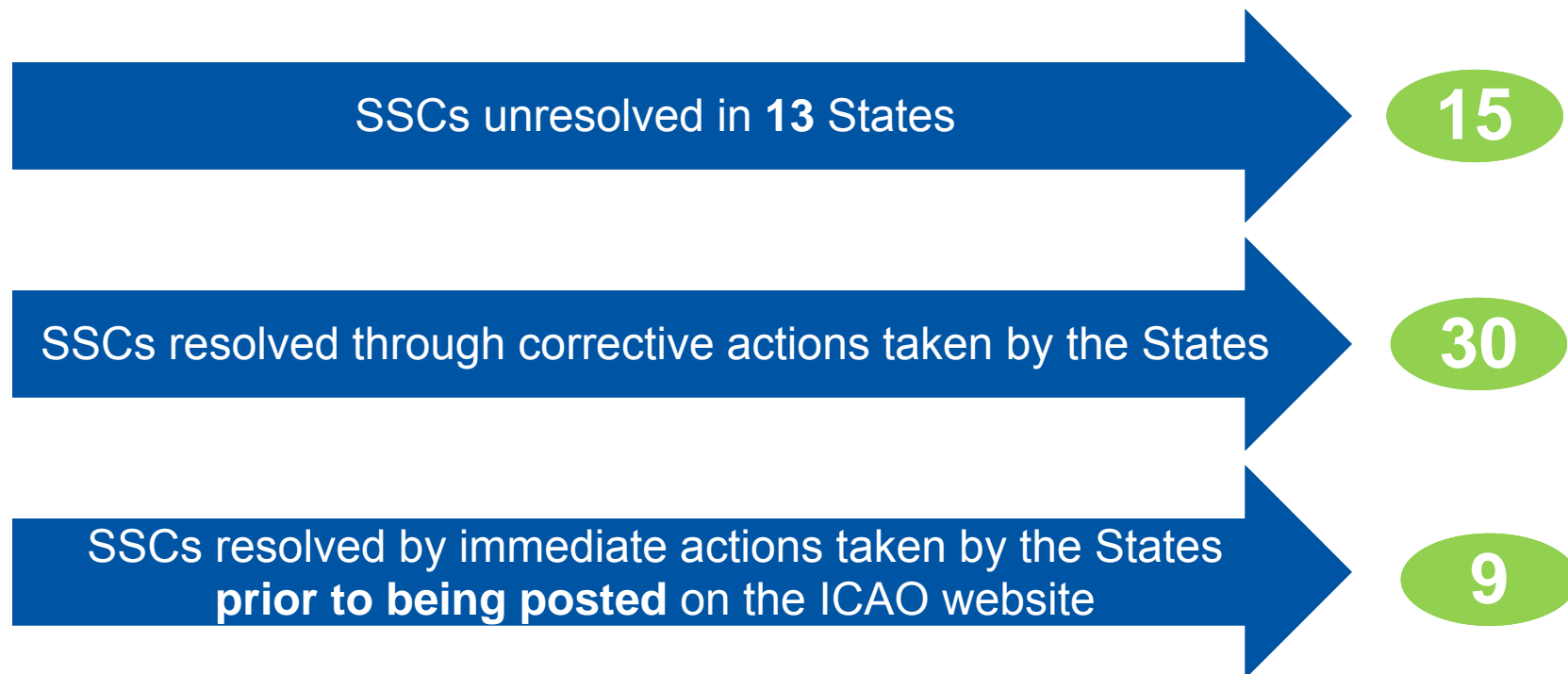
- **A Mandatory Information Request (MIR) can be issued by MO when:**
  - SAAQ, CCs and/or PQs are not submitted, are outdated or are contradictory to other available information;
  - CAPs are not submitted or kept up-to-date by State;
  - Available information is insufficient; and/or
  - Concerns are raised by internal/external stakeholders.
- **A MIR can lead to a finding or even an SSC.**



## Significant Safety Concerns (SSCs)

“An SSC 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 to the Chicago Convention are not met, resulting in an immediate safety risk to international civil aviation.”

Reference: EB 2010/7 dated 19 February 2010





As of January 2013, safety oversight information is available on the ICAO public website.

URL: <http://www.icao.int/safety/Pages/USOAP-Results.aspx>

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ICAO has identified a significant safety concern with respect to the ability of [State] to properly oversee the [insert airlines (air operators); airports; aircraft; or air navigation services, as applicable] under its jurisdiction. This does not necessarily indicate a particular safety deficiency in the [insert airlines (air operators); airports; aircraft; or air navigation services, as applicable] but, rather, indicates that the State is not providing sufficient safety oversight to ensure the effective implementation of applicable ICAO Standards. Full technical details of the ICAO findings have been made available to [State] to guide rectification, as well as to all ICAO Member States to facilitate any actions that they may consider necessary to ensure safety. [State] has undertaken to regularly report progress on this matter to ICAO.

SSCs published on the CMA on line framework

2014

Unresolved SSCs made available to the public in the format and conditions approved by Council



# USOAP CMA Online Framework (OLF)



**The USOAP CMA online framework (<http://www.icao.int/usoap/>) provides ICAO, Member States and other authorized users with web-integrated applications that:**

- **allow continuous monitoring and reporting of safety-related information and documentation received from different sources; and**
- **facilitate the administration and management of all relevant information.**



# States' Obligations



**As per the USOAP CMA MOU and using the online framework, States shall, in particular:**

- **continuously update the SAAQ and the CCs/EFOD;**
- **continuously update their CAPs and PQ status (self–assessment), providing all related evidence; and**
- **reply promptly to MIRs sent by ICAO.**



# Roll-Out of Annex 19 Provisions in the USOAP CMA



- **Objective: To determine to what degree States ensure effective implementation of the safety management provisions contained in Annex 19.**
- **The PQs have been amended to reflect the latest changes in ICAO provisions and to improve PQ contents and references. The 2014 amendments include new PQs related to Annex 19 provisions.**
- **The amended set of PQs is published on the OLF and is applicable as of 1 January 2015.**
- **States with EI above 60 per cent are required to conduct self-assessment on new or amended PQs on the Annex 19 provisions.**
- **New PQs on Annex 19 will become applicable for audits as of 1 January 2016.**
- **The SAAQ has also been amended to address safety management provisions.**



# Cost-Recovery Workshops



- **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 OLF.
- **States may also request these workshops on a cost-recovery basis.**
- **To request a workshop, State should:**
  - formally contact the ICAO Regional Office to express their request; and
  - indicate specific training needs, if any, in order to customize the workshop scope, as applicable.
- **Cost of the workshop: US \$ 5,000 for the conduct of the workshop + airfare + daily allowance for facilitators.**
- **To reduce the cost of airfare, a workshop can be planned at the same time as another activity in the Region.**



# Reference Documents and Websites



- ***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)***
- **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)



# Regional Update



## 2014 activities in the SAM Region

State	Type of activity	Dates	Status
Peru	Audit	13-22 October	Completed
Panama	Audit	17-26 November	Postponed by State
Uruguay	ICVM	2-8 April	Completed

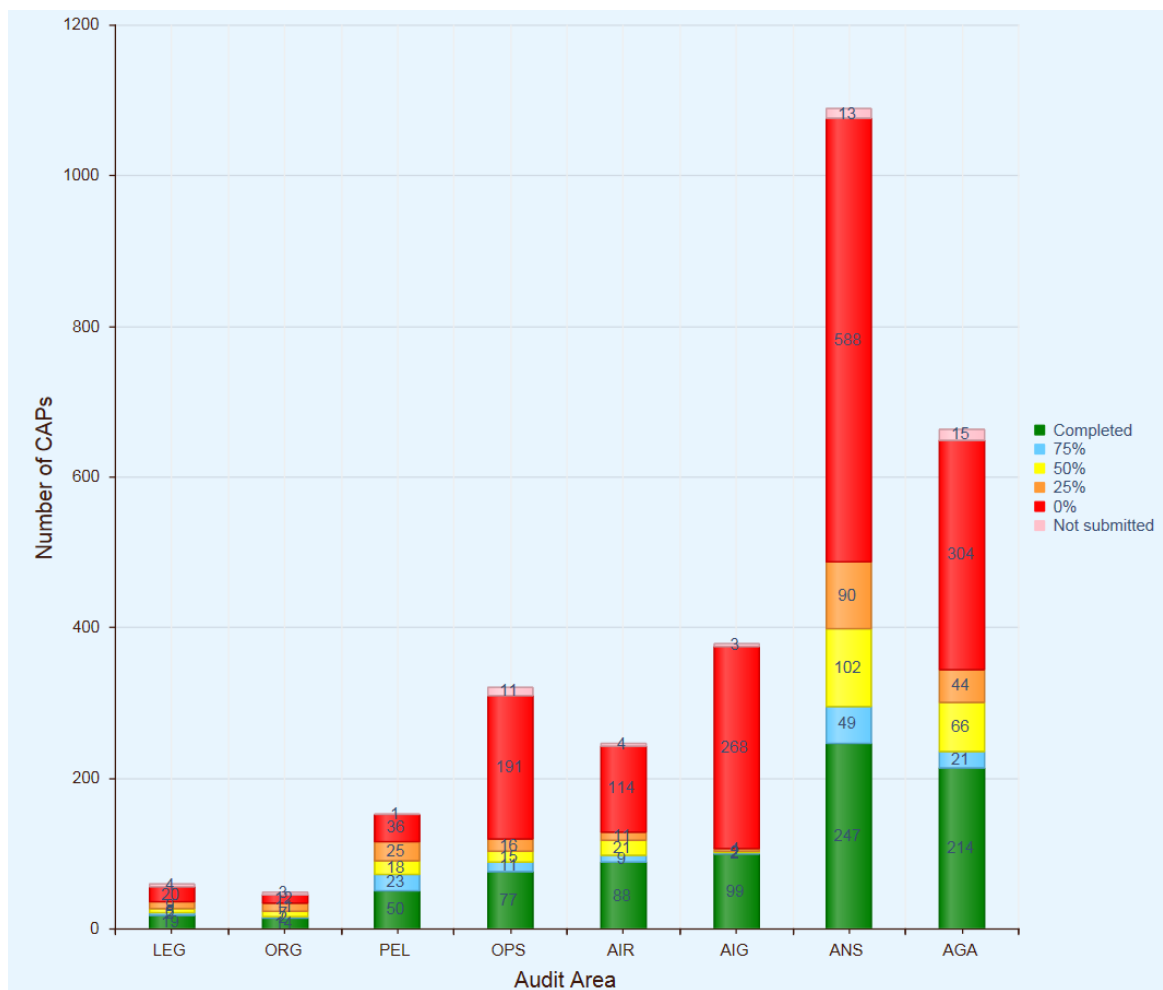


## 2015 scheduled on-site activities

State	Type of activity	Dates	Status
Brazil	ICVM	11-17 November	
Ecuador	ICVM	23-29 September	
Panama	Audit	24 Aug-2 Sept	



# CAP updates progress in SAM





# Self-assessment progress in SAM

State Name	0%: ■ 25%: ■ 50%: ■ 75%: ■ 100%: ■						
	Total	S	NS	NA	UDT	SA LEI %	Completion %
Argentina	1016	2	0	0	1014	0.00	0.00
Bolivia (Plurinational State of)	1016	718	54	141	103	6.99	89.00
Brazil	1016	114	8	0	894	6.56	12.00
Chile	1016	250	7	10	749	2.72	26.00
Colombia	1016	1	0	0	1015	0.00	0.00
Ecuador	1016	41	8	1	966	16.33	4.00
Guyana	1016	0	0	0	1016	0.00	0.00
Panama	1016	1	0	0	1015	0.00	0.00
Paraguay	1016	135	3	7	871	2.17	14.00
Peru	1016	744	49	136	87	6.18	91.00
Suriname	1016	0	0	0	1016	0.00	0.00
Uruguay	1016	332	108	4	572	24.55	43.00
Venezuela (Bolivarian Republic of)	1016	104	11	0	901	9.57	11.00

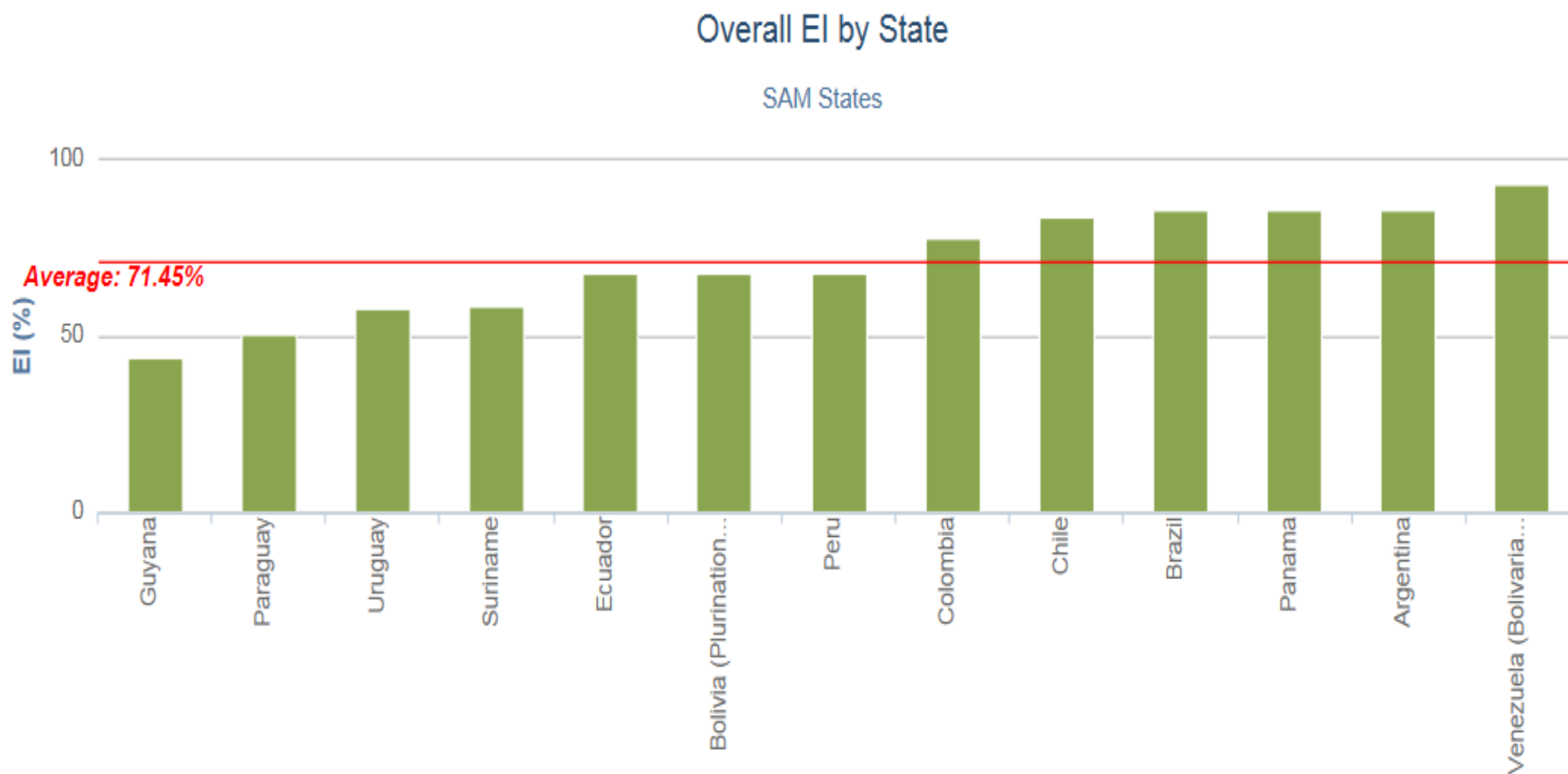


## Issues regarding postponements

- Postponement is highly undesirable:
  - **States are urged to avoid requesting postponements of duly planned and coordinated USOAP activities.**
- Lack of progress in completing CAPs, SAAQs and CCs/EFOD:
  - **States are urged to take appropriate actions to upload and maintain up-to-date all required information on the Online Framework (SAAQ, CCs/EFOD, CAPs and Self-assessments).**



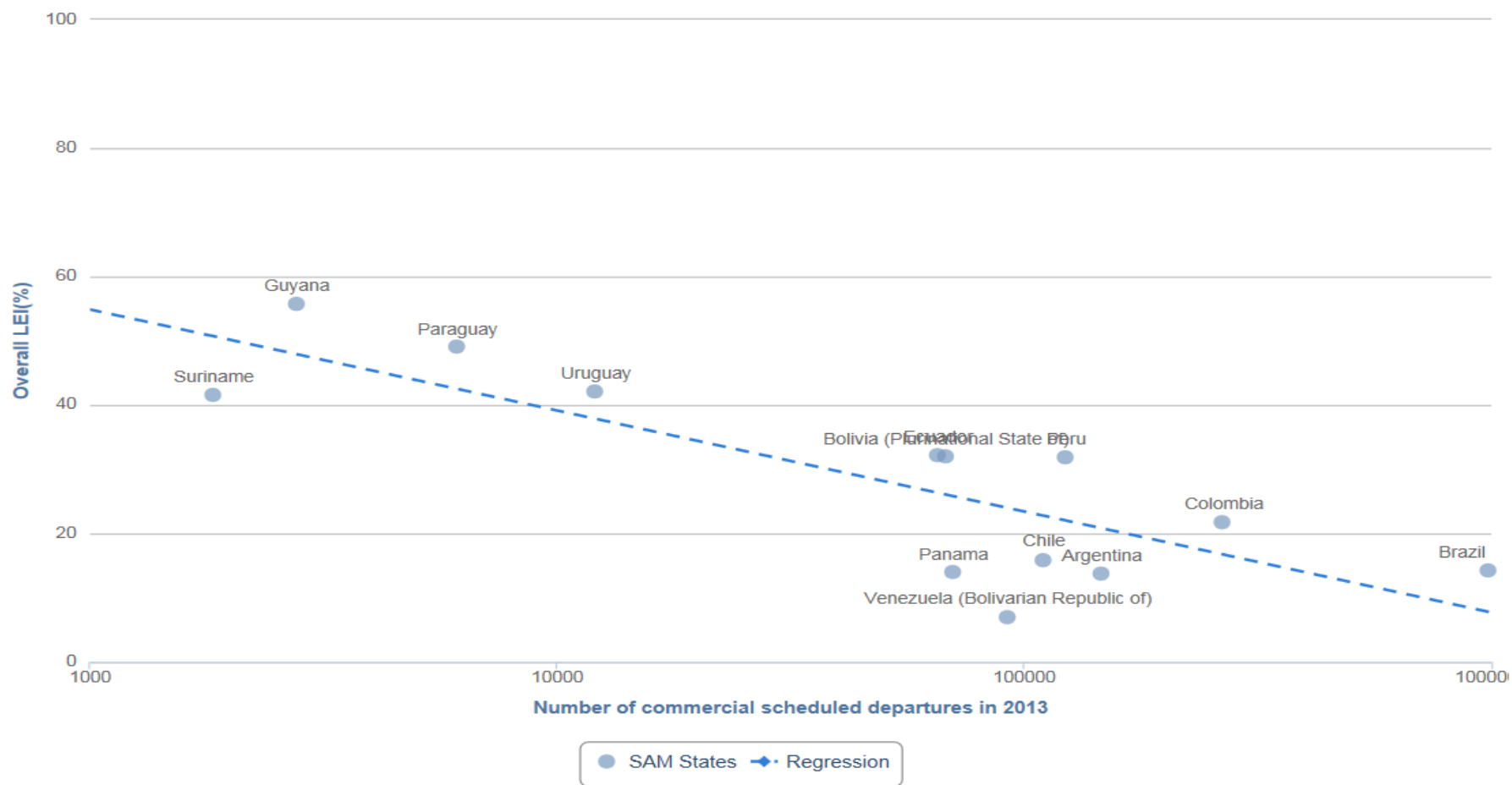
# Effective Implementation (EI) by State in the SAM Region





# Lac of Effective Implementation (LEI) versus traffic by State in SAM

Overall LEI versus Traffic by State

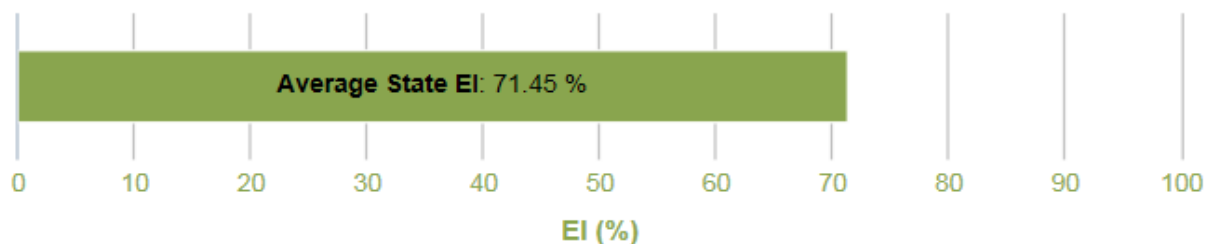




# Regional EI by area and by CE

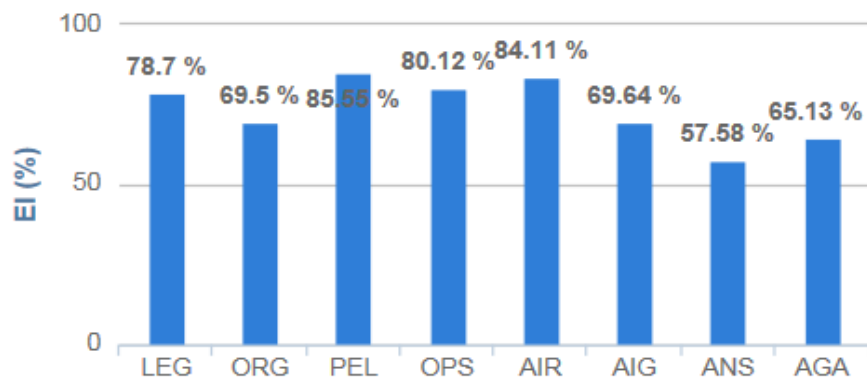
Overall EI

SAM States



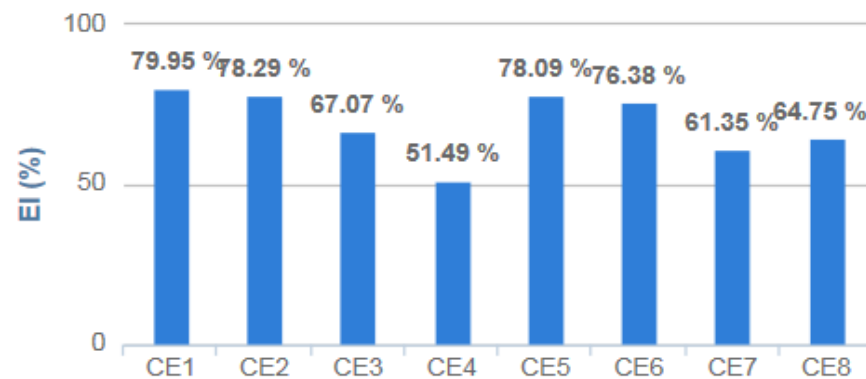
EI by Area

SAM States



EI by CE

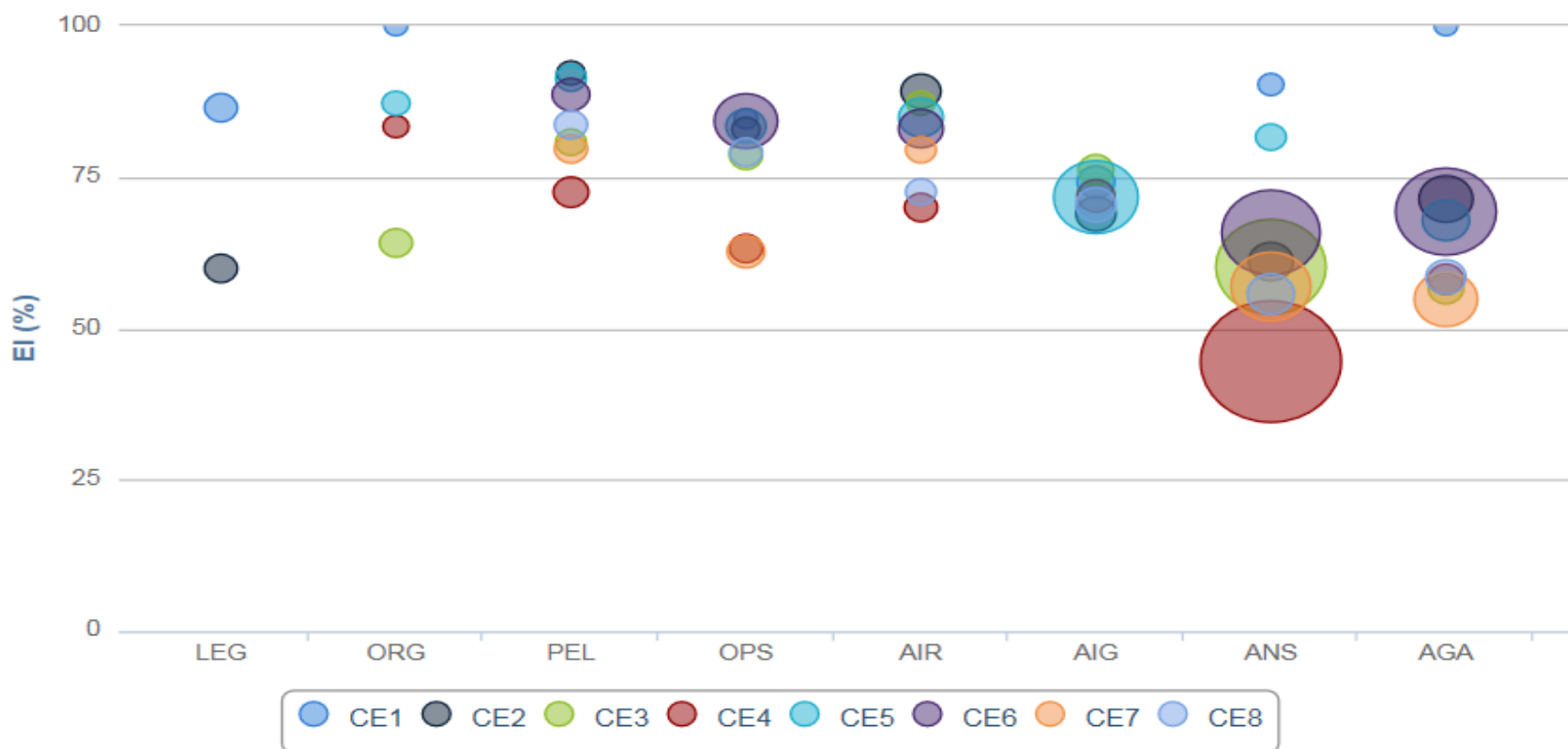
SAM States



# Regional average PQs by CE/area combination

Average Unsatisfactory PQs by CE/Area Combination

SAM States





## CMA Priorities for the SAM Region

- Focus on:
  - a) States (1) with SSCs; and
  - b) States below 60% EI.
- Support activities related to MIRs.
- Continuous monitoring, especially if potential for deterioration in some States.



**For any question, please contact:**

**[usoap@icao.int](mailto:usoap@icao.int)**



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