Overview of
ICAO Universal Safety Audit Programme (USOAP)

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USOAP-CMA

1-Safety oversight
– Definitions
– Critical elements of a State oversight system

2-USOAP-CMA
– USOAP-CMA activities: audits and ICVMs
– Evolution of USOAP
– Objectives of USOAP
– USOAP-CMA components

3-Some key elements
– Mandatory Information Request (MIR)
– Significant Safety Concern (SSC)
– Online Framework (OLF)

4-Programme management
– CMA Roles and Responsibilities

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What is safety oversight ?

A function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.

Annex 19-*Safety Management* (Second Edition, July 2016)

Doc 9735- *Universal Safety Audit Programme Continuous Monitoring Manual*
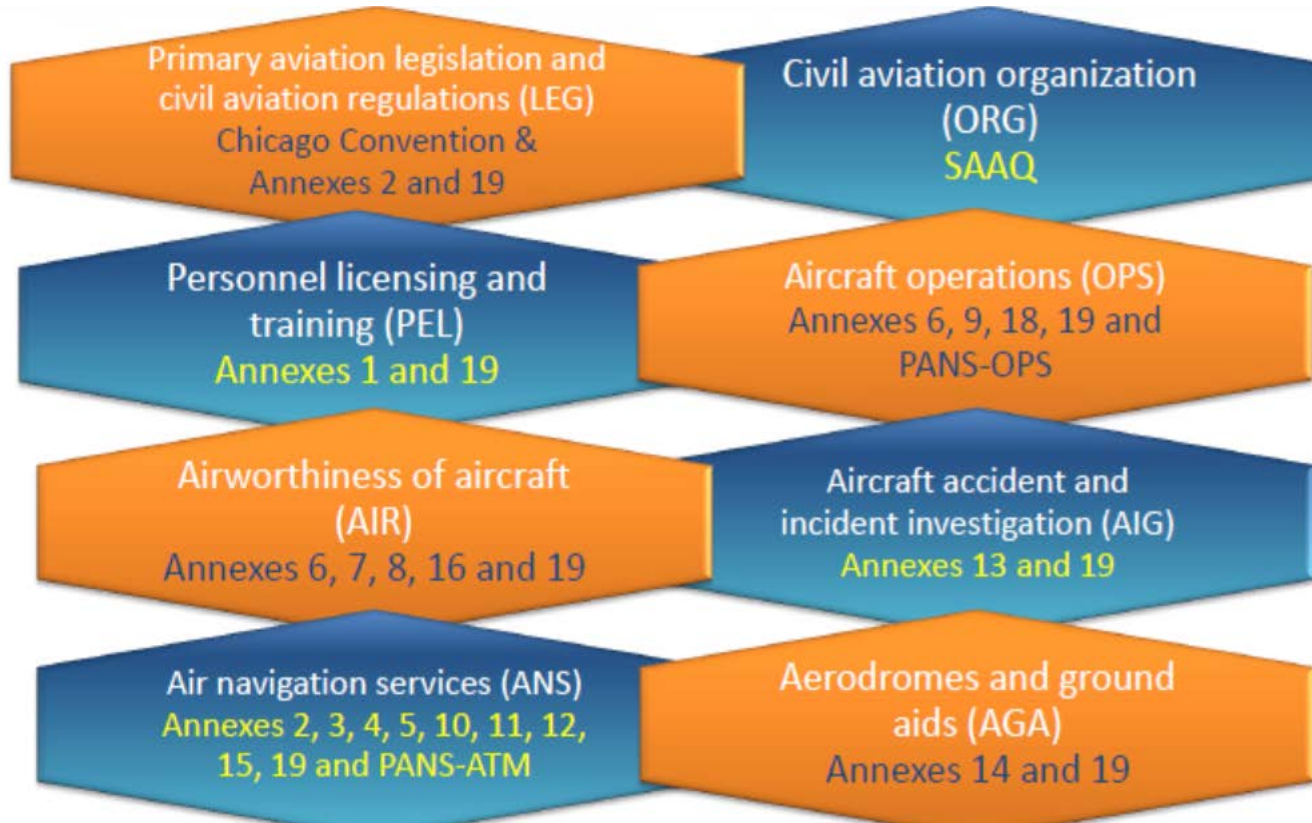
CRITICAL ELEMENTS (CEs)
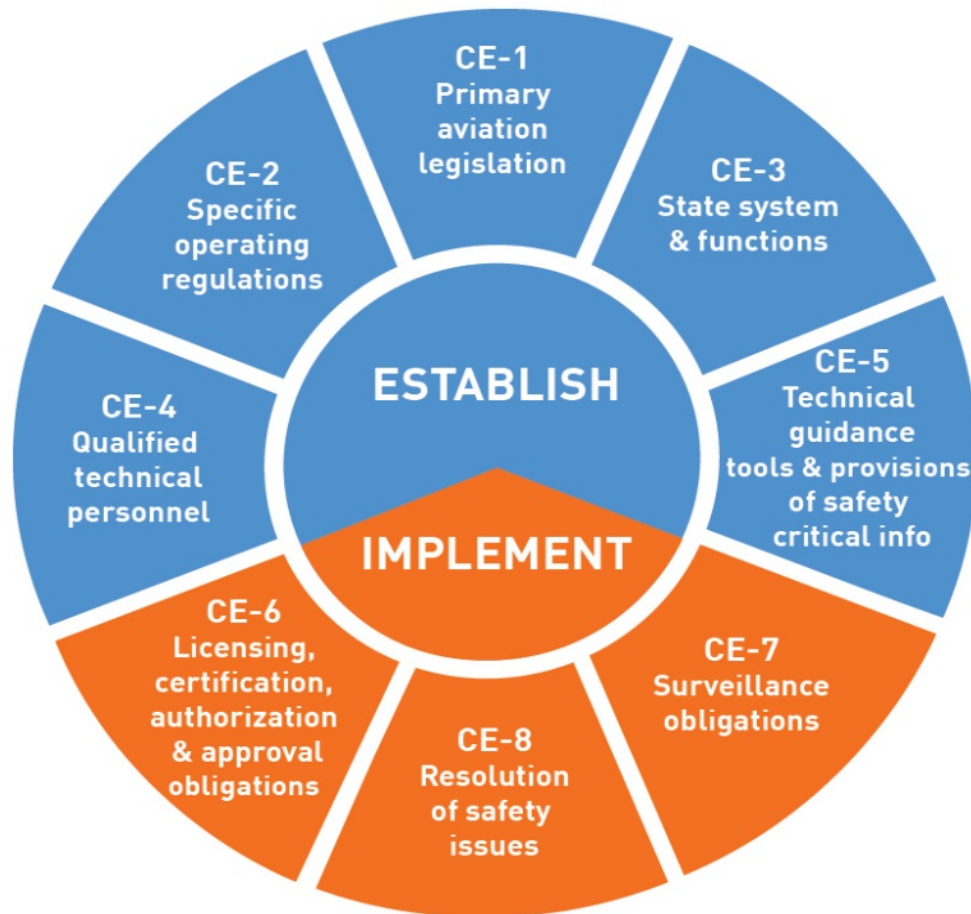
CEs of the safety oversight system

ICAO carries out **audits, ICVMs and Off-site validation** activities to determine Member States' safety oversight capabilities. These include:

- Assessing the effective implementation of the eight CEs of a safety oversight system; and
- Verifying the status of the Member States' implementation of:
    - all safety-related ICAO SARPs;
    - associated procedures;
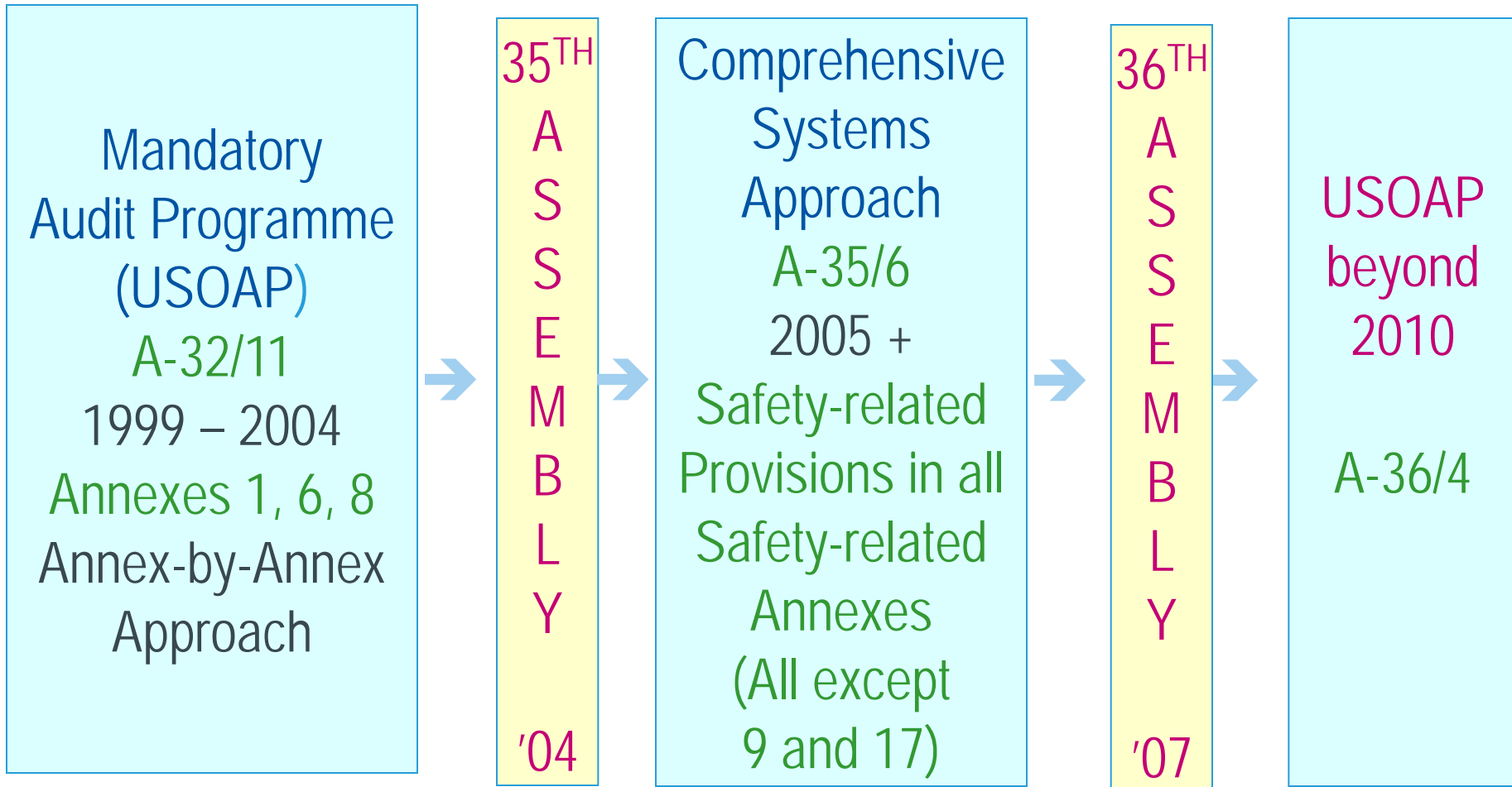   - guidance materials; and
    - best practices.

AUDIT AREAS

Primary aviation legislation and civil aviation regulations (LEG)
Chicago Convention &
Annexes 2 and 19

Civil aviation organization (ORG)
SAAQ

Personnel licensing and training (PEL)
Annexes 1 and 19

Aircraft operations (OPS)
Annexes 6, 9, 18, 19 and PANS-OPS

Airworthiness of aircraft (AIR)
Annexes 6, 7, 8, 16 and 19

Aircraft accident and incident investigation (AIG)
Annexes 13 and 19

Air navigation services (ANS)
Annexes 2, 3, 4, 5, 10, 11, 12, 15, 19 and PANS-ATM

Aerodromes and ground aids (AGA)
Annexes 14 and 19

Evolution of USOAP

Mandatory Audit Programme (USOAP) A-32/11 1999 – 2004 Annexes 1, 6, 8 Annex-by-Annex Approach

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35TH A S S E M B L Y '04

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Comprehensive Systems Approach A-35/6 2005 + Safety-related Provisions in all Safety-related Annexes (All except 9 and 17)

→

36TH A S S E M B L Y '07

→

USOAP beyond 2010 A-36/4

Assembly Resolution A36-4

- New approach based on the concept of **continuous monitoring**, to be implemented at the end of audit cycle in 2010 while continuing to maintain as core elements the key safety provisions contained in Annexes 1, 6, 8, 11, 13 and 14.

- To make appropriate changes to USOAP to incorporate the **analysis of safety risk factors**.

- To assess, on an ongoing basis, States' compliance with their oversight obligations and adapt the audit planning and scope accordingly.

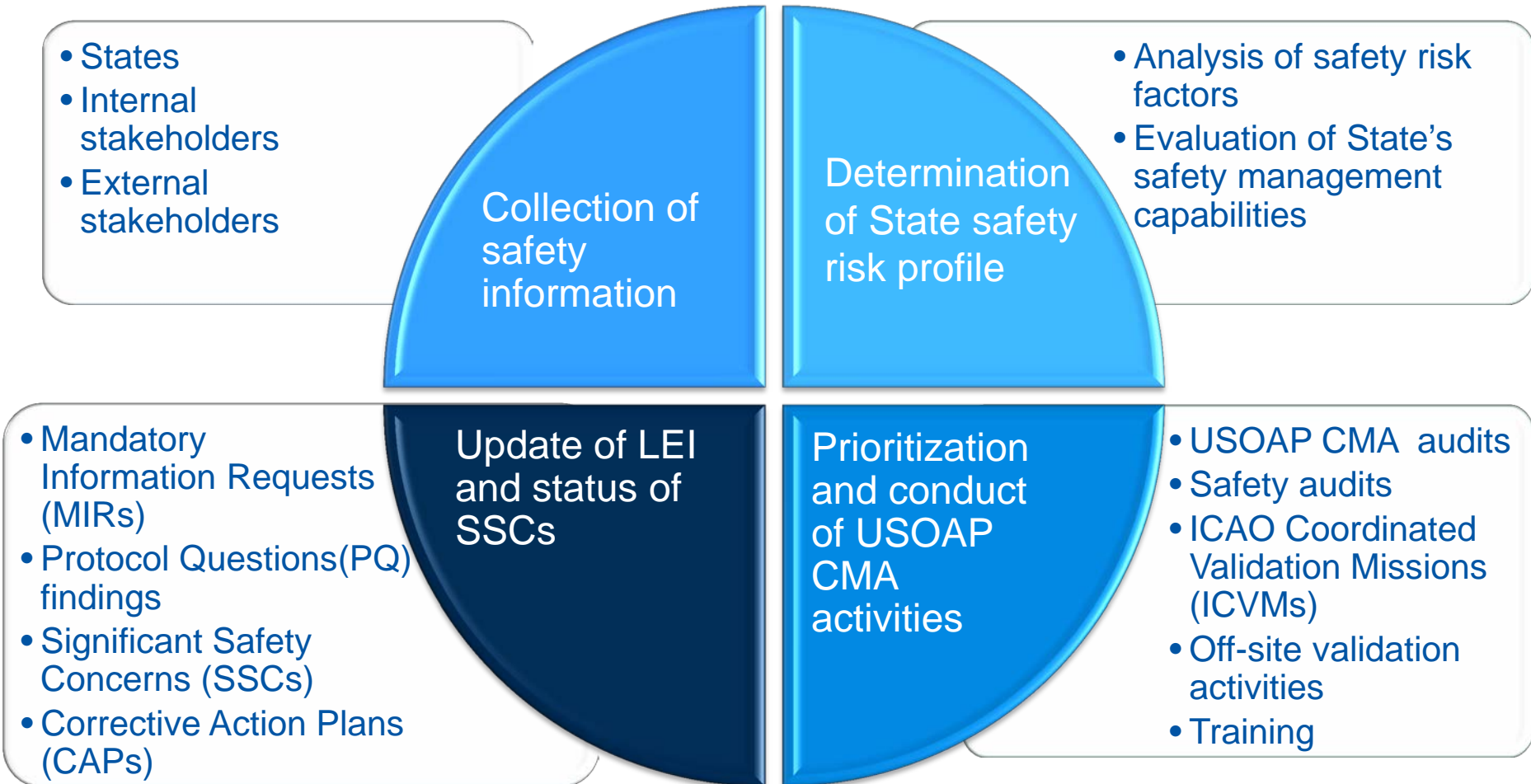# TRANSITION FROM USOAP TO USOAP-CMA

- Transition to the Continuous Monitoring Approach-CMA (2011-2012)
- CMA implementation January 2013

Objective of USOAP-CMA

• Monitor the safety oversight capabilities and safety performance of **States** on a continuous basis;

• Enhance **States**' safety oversight and safety management capabilities by:

- ✓ Identifying safety deficiencies;
- ✓ Assessing associated safety risks;
- ✓ Developing strategies for intervention and assistance; and
- ✓ Prioritize assistance.

USOAP CMA components

- States
- Internal stakeholders
- External stakeholders

- Analysis of safety risk factors
- Evaluation of State's safety management capabilities

Collection of safety information

Determination of State safety risk profile

Update of LEI and status of SSCs

Prioritization and conduct of USOAP CMA activities

- Mandatory Information Requests (MIRs)
- Protocol Questions(PQ) findings
- Significant Safety Concerns (SSCs)
- Corrective Action Plans (CAPs)

- USOAP CMA audits
- Safety audits
- ICAO Coordinated Validation Missions (ICVMs)
- Off-site validation activities
- Training

Collection of safety information

Determination of State safety risk profile

Update of LEI and status of SSCs

Prioritization and conduct of USOAP CMA activities

Collection of safety information

States provide:

- The State Aviation Activity Questionnaire (SAAQ);
- Compliance Checklists (CCs) or Electronic Filing of Differences (EFOD);
- The self-assessment;
- Updated CAPs; and
- Safety data derived from State Safety Programmes(SSPs).

Collection of safety information

Internal stakeholders include:

- ICAO Secretariat Bureaus/Sections; and
- Regional Offices (ROs).

External stakeholders include:

- Airports Council International (ACI);
- Civil Air Navigation Services Organization (CANSO);
- European Aviation Safety Agency (EASA);
- European Commission (EC);
- EUROCONTROL;
- Interstate Aviation Committee (IAC);
- International Air Transport Association (IATA); and
- other national, regional, supranational and international organizations recognized by ICAO.

Note: These organizations conduct activities that generate safety information.

Collection of safety information

Determination of State safety risk profile

Update of LEI and status of SSCs

Prioritization and conduct of USOAP CMA activities

Determination of State safety risk profile

Safety risk factors

Safety risk indicators

Safety risk profile

Determination of State safety risk profile

Safety risk factors

- Previous USOAP activity results
- Level of traffic in the State
- Progress made by the State in resolving USOAP deficiencies

Safety risk indicators

- EI or LEI vs. traffic (exposure)
- Existence of SSC(s)
- Level of aviation activities for each audit area
- Projected growth of aviation activities
- Level of acceptability of State's CAPs
- Progress in implementation of State's CAPs
- Ongoing or planned assistance projects
- Major changes in the organizational structure
- Regional Office mission reports

Safety risk profile

- ICAO(MO) determines the safety risk profile which is generated by determining safety risk factors and indicators.

Prioritization and conduct of USOAP CMA activities

States are prioritized by MO, based on their safety risk profile taking into consideration the approved budget and resources available.

VALIDATION

- Status of PQs may be changed through the validation process conducted by ICAO(MO) based on:

  - ➤ Results from CMA activities
  - ➤ CAPs or other information received from States, supported by appropriate evidence; and
  - ➤ Information received from ICAO ROs, recognized organizations and other stakeholders.

- Status of PQs may also change based on information received from States in response to MIRs.

Collection of safety information

Determination of State safety risk profile

Update of LEI and status of SSCs

Prioritization and conduct of USOAP CMA activities

Mandatory Information Request (MIR)

A Mandatory Information Request (MIR) can be issues by MO when:

- SAAQ, CCs and/or PQs are not submitted, are out-dated or are contradictory to other available information;
- CAPs are not submitted or are not kept up-to-date by State;
- Available information is insufficient;
- Information with respect to compliance with requirements is insufficient and/or
- Concerns are raised by internal/external stakeholders

A MIR Can lead to a finding or even an SSC

Significant Safety Concern (SSC)

"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

Online Framework (OLF)

Online Framework

The online framework provides ICAO, its Member States and other authorized users with a set of web-integrated applications for continuous monitoring and reporting of safety-related information and documentation received from different sources

https://soa.icao.int./usoap/

Online Framework

ICAO

- Allows ICAO to monitor States' progress in implementing CAPs and performing their self-assessment

- Enable ICAO to oversee their States' performance and assist them by analysing areas that require improvements.

- Regional offices can prioritize States and plan missions based on information on the OLF.

CMA Roles and Responsibilities

ICAO Headquarters

The MO Section is responsible for managing the overall development, implementation and quality of the USOAP CMA

CMA Roles and Responsibilities

ICAO Regional Offices

- Actively involved in the continuous monitoring process.
- Facilitate effective communication between ICAO HQ and States.
- Monitor the implementation and status of CAPs and/or mitigating measures with respect to generated findings and recommendations(F&Rs) and SSC
- Participate in USOAP CMA ICVMs.

Key responsibilities:
  - Monitor States' progress in submitting and updating required information.
  - Provide assistance to States to develop and implement their acceptable CAPs

CMA Roles and Responsibilities

ICAO Member States

- Sign an MOU with ICAO to confirm their full support of the USOAP CMA process and to commit to actively participating in all USOAP CMA activities.
- Facilitate USOAP CMA onsite activities by making appropriate staff from its Civil Aviation Authority (CAA), or other relevant entities, available for interview by the USOAP CMA mission team, as required.
- Facilitate the work of the USOAP CMA mission team by providing all necessary resources, documents, information, administrative and support functions.
- Secure adequate resources to fulfill all the conditions of the MOU.

National Continuous Monitoring Coordinator (NCMC)

THANK YOU