

# USOAP Newsletter

*Produced by Monitoring and Oversight, Air Navigation Bureau, ICAO*

## The Year in Review: USOAP CMA's Progress in 2021

When the COVID-19 pandemic was declared in 2020 and ICAO suspended its USOAP on-site missions in March, no one could have imagined spending nearly two years of this unprecedented disruption to the global civil aviation industry.

We at Monitoring and Oversight (MO) continued to meet the mandate of USOAP to assess ICAO Member States' capability to provide safety oversight and consistently implement the critical elements (CEs) of a State's safety oversight system. We maintained the momentum of the programme from 2020 by furthering transformational efforts, carrying out off-site and virtual activities, and returning slowly to on-site activities. More information on USOAP CMA activities conducted in 2021 are listed on page 2.

We completed implementation of the majority of the recommendations from the Group of Experts for USOAP CMA Structured Review (GEUSR). More information on the status of this transformational activity can be found on pages 3 and 4.

In addition, we supported the advancement of the 43 recommendations, categorized into six groups, of the ad hoc USOAP Advisory Group (AG), which were presented to the ICAO Council at its 221st Session in November 2020. In 2021, MO conducted seven workshops for 238 participants in all ICAO regions to provide a high-level overview of USOAP, familiarize States with the USOAP AG recommendations, and facilitate the consultation process that was requested by the Council. MO also received 67 responses from 66 States and 1 international organization (i.e. the European Union Aviation Safety Agency) as part of the consultation solicited in State Letter 2021/24. In 2022, MO will find out the next steps for the USOAP AG recommendations as directed by the Council.

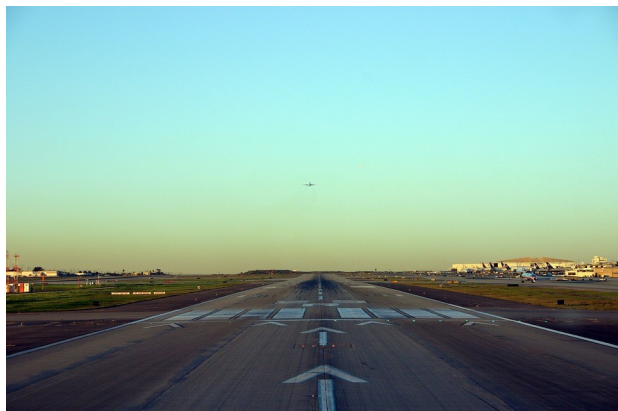
A concerted effort was made to increase MO's outreach and communication regarding USOAP and its activities. MO published eight Electronic Bulletins, two USOAP newsletters, a USOAP CMA Evolution Update document, a State Safety Programme Implementation Assessment (SSPIA) Phase 2 Rollout document, an SSPIA Q&A sheet, a Frequently Asked Questions (FAQs) on the 2020 Protocol Questions (PQs), an update to the "Guidance for States Developing Corrective Action Plans", and the "Guidelines for USOAP National Continuous Monitoring Coordinators (NCMCs)". Outreach sessions were held on various USOAP CMA topics with NCMCs in the EURNAT region as well as State representatives, Regional Office staff, NCMCs and SSP Points of Contacts in the NACC region.

In 2021, faced with the continuing challenges of the COVID-19 pandemic and the associated remote work arrangements affecting our daily operations, MO adapted and innovated its USOAP activities to continue the assessment of States' capabilities in providing oversight of their aviation safety systems.

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# Taking Off Again: MO Restarts USOAP On-Site Activities



In November 2021, Monitoring and Oversight (MO) restarted its USOAP CMA on-site activities for the first time in 19 months.

It started with an ICAO Integrated Validation Mission (ICVM) in the Bahamas from 2 to 10 November 2021, followed by an audit mission to Pakistan from 25 November to 11 December 2021 and an SSPIA of Canada from 9 to 17 December 2021.

MO had restricted its activities to off-site and virtual audits, validations, and workshops due

to worldwide travel restrictions related to the COVID-19 pandemic.

With added clarity on COVID-19 requirements and the increased relaxation of travel restrictions, MO was able to proceed with these three activities before the end of the 2021 calendar year.

In light of the continued emergence of COVID-19 variants, MO will adjust its activity plan accordingly in coordination with States to ensure the ongoing safety of its teams and their State counterparts.

## By the Numbers: USOAP CMA Activities in 2021

- ◇ **Audits** : 3 conducted  
(1 virtual audit, 1 documentation-based audit, & 1 on-site audit)
- ◇ **ICVMs**: 8 conducted  
(6 virtual ICVMs)
- ◇ **Off-Site Validations**: 9 conducted
- ◇ **MIRs**: 1 issued
- ◇ **USOAP CMA Workshops**: 0 conducted
- ◇ **SSPIAs**: 1 conducted
- ◇ **SSPIA Workshops**: 1 conducted

## USOAP CMA HLCC 2021 SkyTalks

ICAO's High-level Conference on COVID-19 (HLCC 2021) was held from 12 to 22 October 2021, during which Ministers of Transport and Health from 193 Member States discussed ways to enable the safe and efficient recovery of aviation from the COVID-19 crisis and build a foundation to strengthen resilience in aviation and make it more sustainable in the future. A [Ministerial Declaration](#) was adopted at the Ministerial Plenary (Closing) Session on 22 October 2021, which welcomed "ICAO's global leadership to facilitate aviation's recovery" and reaffirmed, among others, the commitment to ensure "a safe, secure, and orderly flow of traffic with operational readiness of aviation personnel, in particular aircrew and air traffic controllers, as well as the airworthiness of aircraft".

As part of HLCC 2021, Monitoring and Oversight (MO) conducted three Skytalks focusing on the evolution of the USOAP CMA. The first session, opened by Mr. Juan Carlos Salazar, ICAO Secretary General, and Mr. Stephen Creamer, Director of the Air Navigation Bureau, was presented by Capt. Denis Guindon, Deputy Director, MO, who briefed Ministers and Directors General of Civil Aviation on this evolution and the associated streams of work. The second session gave an update on the Group of Experts for USOAP CMA Structured Review (GEUSR) and USOAP Advisory Group streams, while the third session introduced the COVID-19 contingency measures taken by MO to fulfil its USOAP mandate as well as the latest developments about the State Safety Programme Implementation Assessment (SSPIA).

If you missed these SkyTalks, you can access them at <https://www.icao.tv/icao-high-level-conference-on-covid-19-hlcc-2021/season:3>.



*"Begin with the end in mind." Dr. Stephen Covey*

## Are We There Yet? Status of the GEUSR Recommendations

Monitoring and Oversight (MO) spent 2021 completing implementation of the recommendations and observations from the Group of Experts for USOAP CMA Structured Review (GEUSR).

At the end of 2020, MO published the English version of the 2020 edition of the USOAP Protocol Questions (PQs), which featured the identification of priority PQs. The French, Spanish, and Russian translations were published this year. In addition, MO's hardworking staff planned to complete the transfer of the States to the new edition of the PQs on the Online Framework (OLF) by the end of 2021. A Frequently Asked Questions (FAQs) document on the 2020 PQs is now available on the OLF to provide States with more information on the PQs.

MO also completed the drafting of new and expanded methodologies and processes for USOAP CMA activities. These include focused audits, follow-up audits, and integrated audit activities as well as activities that were devised to continue monitoring States during COVID-19 (i.e. virtual ICVMs). MO is working to incorporate these new oversight options into USOAP next year; however, their use may be affected by continued COVID-19-related restrictions.

The State Aviation Activity Questionnaire (SAAQ) was revised for the first time since 2011, with the number of questions reduced from 244 to 203 and a State Safety Programme (SSP) module added. The updated SAAQ module and the Word versions of the document will be published in the OLF in English, French, Spanish and Russian by the first quarter of 2022.

In June 2021, MO published the first-ever "Guidelines for National Continuous Monitoring Coordinators (NCCMs)", with the information necessary to support State participation in USOAP. In addition, the USOAP CMA workshop materials were updated to reflect information related to the role of the NCCM.

### Coming Soon: 2019-2021 USOAP CMA Triennium Report

In 2022, Monitoring and Oversight will issue its USOAP CMA Triennium Report. This report will present information on USOAP CMA activities and results from January 2019 through December 2021. It provides readers with statistical data on the overall programme, highlights issues that States face in specific audit areas and States' engagement with the USOAP Online Framework and notes information related to the evolution of USOAP CMA. ICAO, Member States, and stakeholders are encouraged to review the upcoming 2019-2021 USOAP CMA Triennium Report and find out more about the past three years of this ICAO flagship programme focused on monitoring States' capabilities for safety oversight, aircraft accident and incident investigation, and their maturity level in implementing State Safety Programmes (SSPs).

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## DD/MO Heads USOAP Team to Pakistan (for First USOAP On-Site Audit in Nearly 18 Months!)



At 24°53'40''N 067°09'19''E - I had the great pleasure to join a team of our ICAO USOAP auditors carrying a full scope traditional audit on Pakistan CAA and AAIB for a few days.

All carefully selected, well seasoned and so professional - beside me obviously! (L to R); Louis Opoku HQ (PEL) Ghana, Adel Ramlawi HQ (AGA) Egypt, ICAO EURNAT Arnaud Desjardin (AIG) France, ICAO MID Radhouan Aissoui (ANS OJT) Tunisia, Frédéric Prillieux HQ (TL OJT and OPS) Canada, Self (Observer), Chief OAS and Team Lead Junjian Nie HQ (AIR Design and Production) China, Mauricio Espinoza HQ (ANS) Costa Rica, and ICAO WACAF René Tavarez (AIR OPS) Sénégal.

A fruitful mission where we spent time in Karachi with members of the Islamabad government as well service providers in Islamabad (PIA), Kamra (Aircraft Manufacturing Factory) and Karachi (Jinnah Airport, JIAP ATC TNG and Records, Aeroclub, ACC, Met Watch Office, RCC, CNS Directorate, Serene Engineering Services, Flight Procedures Design Directorate).

Our thanks to the Government of Pakistan, especially Mr. Khaqan Murtaza, DGCA, Mr. Shafi Dar, Deputy DGCA, and AAIB President Air Cdre Aamir Walayat and all of those that supported this important USOAP Mission. We can only be thankful for the professionalism, attentive support and openness from Pakistan.

By Captain Denis Guindon  
Deputy Director  
Monitoring and Oversight

## USOAP CMA Electronic Bulletins from 2021

In case you missed it, feel free to go to the CMA Library on the OLF and review the Electronic Bulletins (EBs) issued in 2021. They are the following:

- 1) EB 2021/3: 2020 Edition of USOAP CMA Protocol Questions (PQs)
- 2) EB 2021/5: ICAO USOAP Activity Plan (January 2021)
- 3) EB 2021/7: Publication of State Safety Programme-Related PQ Maturity Level Matrices
- 4) EB 2021/16: Publication of Guidelines for NCMCs
- 5) EB 2021/21: ICAO USOAP Activity Plan (June 2021)
- 6) EB 2021/34: Latest Developments with SSPIAs
- 7) EB 2021/36: 2020 Edition of the PQs and States' Effective Implementation (EI) Scores
- 8) EB 2021/40: Translation and Applicability Date of the 2020 Edition PQs

## Are We There Yet? Status of the GEUSR Recommendations

*(continued from page 3)*

Updated versions of Phases I and II of the USOAP CMA Computer-Based Training (CBT) are now available and the Auditor Preparation Course, which will now precede the OJT audit course for all auditor candidates, will be launched in early 2022. In addition, the OLF tutorial training material was updated, after nearly a decade, to better reflect the OLF and current USOAP CMA practices.

The OLF has undergone numerous improvements and enhancements to its functionality, which will make it easier for States to use the platform. It now allows States to complete the PQ Self-Assessment and Corrective Action Plan (CAP) modules off-line. Additional updates include the availability of a data exchange feature between States and the OLF, a function for States to provide feedback regarding the USOAP CMA, and other general continuous enhancements to all OLF modules, such as the improved user interface and smoother operation of the Electronic Filing of Differences (EFOD) module.

At this point, MO has implemented 36 of the 37 GEUSR recommendations, with only one item outstanding as we complete several IT updates. Although most of the work is done, the journey continues. The USOAP CMA will continue to evolve and improve based on lessons learned and best practice from our on- and off-site activities as well as regular feedback from ICAO, the Regional Offices, the States, and other pertinent stakeholders. The GEUSR finish line is only the beginning!

### Monitoring and Oversight websites:

USOAP CMA Online Framework:  
[www.icao.int/usoap](http://www.icao.int/usoap)

ICAO public websites:  
[www.icao.int/safety/CMAForum](http://www.icao.int/safety/CMAForum)  
[www.icao.int/safety/pages/usoap-results.aspx](http://www.icao.int/safety/pages/usoap-results.aspx)

### USOAP Continuous Monitoring Approach



**Promoting global aviation safety**

by continuously monitoring and updating  
the safety oversight capabilities of all ICAO Member States.

