



UPDATE ON ICAO USOAP/CMA PROGRAMME DP7

**14th Meeting of the Steering
Committee**

Ulaanbaatar, Mongolia

18 – 20 June 2014





CMA

- USOAP CMA provides a mechanism for ICAO to collect and analyze safety information from Member States and other stakeholders to identify and prioritize appropriate oversight and monitoring activities to be carried out by ICAO.
- It is a strategy that uses a risk-based approach for measuring and monitoring the safety oversight capabilities and improving safety performance of States and global aviation on a continuous basis.
- The CMA also ensures more effective utilization of the combined resources of ICAO headquarters, regional offices, ICAO Member States and recognized safety organizations.





CMA

- During the 38th Assembly, the Assembly supported the continued activities of the USOAP CMA and urged the continuing cooperation of States in the implementation of USOAP CMA.
- The Assembly unanimously endorsed the decision of the ICAO Council on the sharing of unresolved significant safety concerns (SSCs) with the public commencing in January 2014.





State's Responsibilities

- Continuous input from the States is required under the CMA in order to determine what ICAO monitoring activities are required. Such activities will include both ICVMs and audits of a State's aviation safety oversight capability.
- The main inputs from States to support USOAP CMA are:
 - self-assessment to identify the status of protocol questions (PQs);
 - up-to-date State Aviation Activity Questionnaire (SAAQ);
 - up-to-date Compliance Checklists (CCs) through EFOD (Electronic Filing of Differences);
 - submission of corrective action plans (CAPs) and subsequent updates to address findings issued in USOAP activities; and
 - response to Mandatory Information Requests (MIRs) issued by ICAO.





CMA

- A significant change introduced under the USOAP CMA is that each finding is based on one PQ and States must prepare CAPs for individual PQs (rather than a single CAP for a finding with multiple PQs).
- This will benefit States, because once ICAO validates the implementation of an individual CAP and closes the associated PQ (i.e. changes its status from “non satisfactory” to “satisfactory”), the State receives immediate credit through the improvement of its (LEI).





CMA

- After a State has provided an updated status report on the implementation of its CAPs, ICAO will validate the implementation through an ICVM or off-site validation activity to determine whether or not a PQ finding could be closed.
- An ICVM is conducted when ICAO needs to collect evidence on the implementation of CAPs on site.
- An off-site validation activity is conducted to assess and validate State's CAPs typically addressing PQ findings associated with critical elements (CEs) 1 to 5 (collectively known as “establishment” CEs), if the State submits evidence of their full implementation.





CMA

- For States which belong to a regional safety oversight organization (RSOO), **or COSCAP**, ICAO encourages such organizations to be involved in assisting States in developing its corrective action plans (CAPs) and assessing the level of acceptability of CAPs.
- Such an arrangement, if acceptable to the State and within the capability of the RSOO or COSCAP, could permit a State to receive timely formal recognition for implementation.





CMA and GASP

- The GASP calls for those States with mature safety oversight systems to progress toward full implementation of SSP.
- States that have achieved effective implementation (EI) levels of over 60 % are to fully implement SSP by 2017, with SSP fully implemented in all Member States by 2022.





CMA and SSP

- Under the USOAP CMA, ICAO will monitor State implementation progress. SSP will be included into the USOAP audit for a State once it has achieved an overall EI of over 60 %.
- The new safety management-oriented SAAQ and PQs should be available in **August 2014** and applicable in **November 2014** for all States, with an initial emphasis on States with an EI of over 60 %.
- The availability and applicability of the revised SAAQ and PQs related to safety management will be published on the ICAO Safety Management website (<http://www.icao.int/safety/SafetyManagement/>).
- The revised SAAQ and PQs will be posted on the USOAP CMA online framework (<https://soa.icao.int/usoap/>). Information to States will also be provided through an Electronic Bulletin.





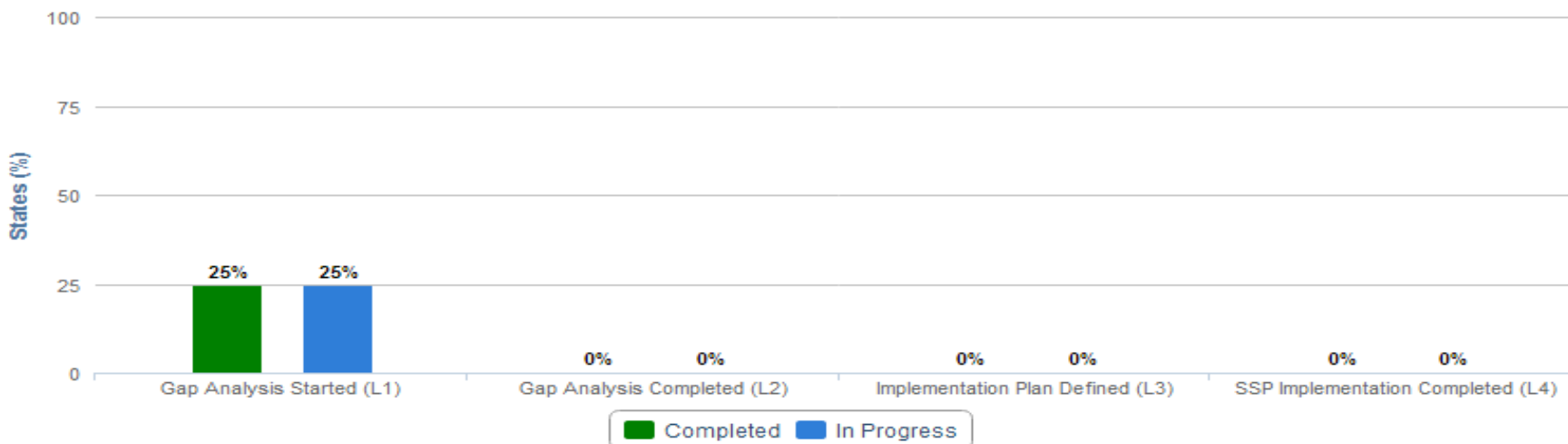
OTHER/NONE - TEST 1 (by Chapin Wayne)

Questionnaire Result **SSP Statistics**

Select Group **COSCAP-NA** Consider only State's with USOAP EI above: **60%**

View group composition

SSP Implementation Progress COSCAP-NA, limited to States with EI >= 60%



Code	State Name	Progress	Level (Up %)	Search:
CHN	China	-		<input type="text"/>
PRK	Democratic People's Republic of Korea	-		
MNG	Mongolia	Gap Analysis Started	L1 / 38.2% L2	
KOR	Republic of Korea	-		

Showing 1 to 4 of 4 entries



CMA and EFoD

- The development of the initial phase of the Electronic Filing of Differences (EFoD) system was completed in November 2010.
- The EFoD is available under the CMA online framework as a tool for States to manage and report the ICAO Compliance Checklist.
- In addition to providing States with a tool that simplifies identification and notification of differences, it will allow ICAO to notify all other States of differences to SARPs via the eSupplements module of the CMA, which replaces the printed Supplements to Annexes.





Recommendations

- 6.1 COSCAP-NA should continue to provide regular updates to Member States on developments concerning the ICAO USOAP CMA programme.
- 6.2 Ongoing efforts to fully implement the CAPs from the ICAO USOAP audits should be sustained as this will be utilized as one of the indicators under the CMA.
- 6.3 Member States are encouraged to utilize COSCAP-NA to provide support for follow up on USOAP audit results where required. If required and subject to availability of resources, COSCAP-NA will engage short-term experts in the areas of USOAP CMA implementation.
- 6.4 Member States should ensure that they complete/update their State Aviation Activity Questionnaire (SAAQ) and use the EFoD system for the filing of differences.
- 6.5 The COSCAP NA CTA continue to assist Member States to fully implement the ICAO approved CAP and to use the CMA OLF on regular missions.

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