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Universal Safety Oversight Audit Program Continuous Monitoring Approach(CMA) Overview (12 June 2019)

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Objective

The objective of this presentation is to provide an overview of the Universal Safety Oversight Audit Program Continuous Monitoring Approach(CMA).

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Outline

- Introduction to ICAO
- USOAP CMA
- Why an ICAO USOAP Programme
- Evolution of USOAP
- USOAP CMA Principles
- Critical Elements (CEs)
- USOAP CMA Concept
- Determination of State safety risk profile
- Audit Area
- Significant Safety Concern



Introduction to ICAO

- ICAO:
- specialized agency of the UN, established by States in 1944 under the Chicago Convention.
- Global forum of 193 Member States for international civil aviation
- ICAO develops policies and Standards, undertakes compliance audits, performs studies and analyses,
- Provides assistance and builds aviation capacity through cooperation of Member States and ICAO stakeholders.



USOAP CMA

- The Objective of USOAP under CMA is to promote global aviation safety through continuous monitoring of member States safety oversight capability.
- The CMA enables ICAO to collect vast amount of safety information which is provided primarily by the States, external and internal stake holders.
- Using CMA ICAO will be able to enhance State safety oversight and safety management capability by:
 1. Identifying Safety Deficiency
 2. Assessing associated safety risk
 3. Developing strategies for CMA activities and assistance
 4. Prioritizing and conducting assistance programme



Why an ICAO USOAP Programme

Primarily Reasons includes

1. Various reports received by ICAO in the early 1990's revealed a lack of implementation of ICAO SARP's by States.
2. Reports of several accidents reviewed in early 1990's indicated Insufficient safety oversight by States.
3. An increase concern over the level of Aviation safety world wide
4. The necessity to constantly reduce accident rate to offset the rapid Increase in traffic ensuring that the fatality rates remains as low as possible.



Evolution of USOAP

The Evolution of USOAP involves several key steps

- Voluntarily Assessment programme from 1995-1998 focused only on Annex 1,6, and 8,Annex by Annex Approach.88 requests and 68 assessment performed.
- Mandatory Audit Programme from 1994-2004 focused only on Annex 1,6, and 8,Annex by Annex Approach.181 audits and 162 follow-ups.
- Comprehensive System approach from 2005 -2010 includes safety related provisions in all safety related Annexes except Annex 9 and 17.
- Continuous Mentoring approach beyond 2010



USOAP CMA Principles

1. **Sovereignty** - Every Member State has complete and exclusive sovereignty over the airspace of its territory.
2. **Universality** - All Member States shall be subject to continuous monitoring activities by ICAO.
3. **Transparency and disclosure** - USOAP CMA activities shall be conducted under a process that is fully transparent and open for examination by all parties concerned.
4. **Timeliness** - Results of USOAP CMA activities shall be produced and posted by ICAO in a timely manner.
5. **All-inclusiveness** - The scope of USOAP CMA includes the ICAO SARPs contained in all safety-related Annexes to the Convention, Procedures for Air Navigation Services (PANS), guidance material and related procedures and practices.



USOAP CMA Principles

6. **Systematic, consistent and objective**- USOAP CMA shall be conducted in a systematic, consistent and objective manner.
7. **Fairness** - USOAP CMA activities shall be conducted in a manner such that Member States have every opportunity to monitor, comment on, and respond to the CMA processes.
8. **Quality** - The quality of USOAP CMA activities shall be ensured by assigning trained and qualified auditors and implementing and maintaining a documented QMS.



Critical Elements (CEs)

- The critical elements of a State safety oversight system encompass the whole spectrum of civil aviation activities.
- They are the building blocks upon which an effective safety oversight system is based.
- The level of effective implementation of the CEs is an indication of a State's capability for safety oversight.



Critical Elements (CEs)



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USOAP CMA Concept



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Determination of State safety risk profile

- The EI (determined through a previous USOP CMA activity);
- The existence of SSCs;
- The level of aviation activities in the State related to each audited area, e.g. number of: aircraft movements (i.e. arrivals and departures), personnel licences issued/validated, air operator certificates(AOCs) issued, aircraft registered and aviation serious incidents and accidents;
- The projected growth of air traffic and aviation activities in the State;
- The State's capability in submitting CAPs that are acceptable by ICAO;

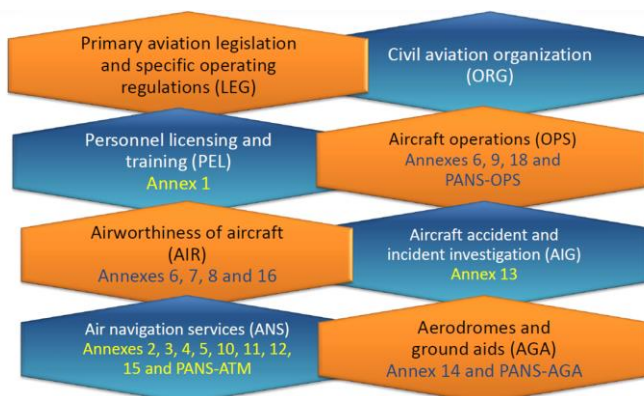


Determination of State safety risk profile

- The level of progress made by the State in implementing its CAP to resolve identified deficiencies in each audit areas;
- Significant changes in the organizational structure of the State's civil aviation authority;
- Regional office (RO) mission reports



Audit Area



Significant Safety Concern

- Significant safety concern (SSC). Occurs when the 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 Convention are not met, resulting in an immediate safety risk to international civil aviation.



Review

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