

ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)
Continuous Monitoring Approach (CMA)

**REPORT ON
USOAP CMA OFF-SITE
VALIDATION ACTIVITY**

THE SWISS CONFEDERATION

(August 2021)



International Civil Aviation Organization

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Report on USOAP CMA Off-Site Validation Activity The Swiss Confederation

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1. INTRODUCTION

1.1 According to Assembly Resolution A40-13, which superseded Assembly Resolution A37-5, and following the successful transition of the ICAO Universal Safety Oversight Audit Programme (USOAP) to the Continuous Monitoring Approach (CMA), the activities under the USOAP CMA framework now include, among others, off-site validation of the corrective actions taken by a State to address USOAP audit findings.

1.2 The activity was conducted in accordance with the guidelines and principles set forth in the ICAO *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) as well as in conformity with the USOAP CMA quality management system.

2. OBJECTIVE, SCOPE AND CONDUCT OF OFF-SITE VALIDATION ACTIVITY

2.1 Based on the progress indicated by the Swiss Confederation, hereafter known as «State», ICAO completed an Off-site Validation Activity for the State in June 2021. The objective of this activity is to assess and validate the corrective actions taken by the State to address eligible not-satisfactory Protocol Questions (PQs).

2.2 The scope of an Off-site Validation Activity covers PQs which meet the following conditions:

- a) the status is “not satisfactory”;
- b) they do not require an on-site activity; and
- c) the corresponding corrective action plans (CAPs) submitted by the State meet the following three criteria:
 - 1) the CAPs fully address the findings;
 - 2) the CAPs are fully implemented; and
 - 3) the State has submitted all evidence of implementation on the USOAP CMA online framework.

Note.— The PQs requiring an on-site activity are indicated as such in the questionnaires published in the CMA Library of the USOAP CMA online framework at <https://www.icao.int/usoap>.

2.3 This activity covered the areas of:

- a) primary aviation legislation and specific operating regulations (LEG);
- b) aircraft operations (OPS);
- c) airworthiness of aircraft (AIR);
- d) air navigation services (ANS); and
- e) aerodromes and ground aids (AGA).

2.4 Not covered were the areas of:

- a) civil aviation organization (ORG);
- b) personnel licensing and training (PEL); and
- c) aircraft accident and incident investigation (AIG).

2.5 Conduct of the Off-site Validation Activity may lead to a change in the overall Effective Implementation (EI) of the safety oversight system of the State.

3. OFF-SITE VALIDATION ACTIVITY RESULTS

3.1 The overall EI of the safety oversight system of Switzerland based on the last USOAP activity conducted before this Off-site Validation Activity was 90.97 per cent.

3.2 In the conduct of this Off-site Validation Activity, ICAO reviewed the progress made by the State in addressing 36 eligible not-satisfactory PQs in the areas of primary aviation legislation and specific operating regulations (LEG), aircraft operations (OPS), airworthiness of aircraft (AIR), air navigation services (ANS), and aerodromes and ground aids (AGA). Following the review, the status of 23 PQs was changed to satisfactory, while that of 13 PQs remained not satisfactory.

3.3 The critical elements (CEs) with the lowest EIs after the Off-site Validation Activity are:

- a) CE-4, *Qualified technical personnel*, at 85.14 per cent;
- b) CE-1, *Primary aviation legislation*, at 87.10 per cent; and
- c) CE-2, *Specific operating regulations*, at 92.98 per cent.

3.4 The validation resulted in an updated overall EI of 93.81 per cent. Analyses of the updated EI by the eight CEs (Figure 1) and by audit areas (Figure 2) in Switzerland are found in Appendix 1 of this report.

3.5 Details of changes in the status of PQs are shown in Appendix 2, Summary of PQ Status After Off-Site Validation Activity.

3.6 The State is encouraged to update its CAPs addressing all not-satisfactory PQs. The CAPs should provide specific actions and estimated implementation dates, as well as a responsible office for taking action to correct the deficiencies identified in the findings. Further guidance on how to develop effective CAPs is outlined in the “[Guidance for States on Developing Corrective Action Plans \(CAPs\)](#)”, which can be found in the “CMA Library” of the USOAP CMA online framework at <https://www.icao.int/usoap>.

3.7 The Off-site Validation Activity results are also available on the online framework.

APPENDIX 1

ANALYSIS OF RESULTS

Overall EI before activity: 90.97 per cent

Overall EI after activity: 93.81 per cent

Figure 1. EI by Critical Elements

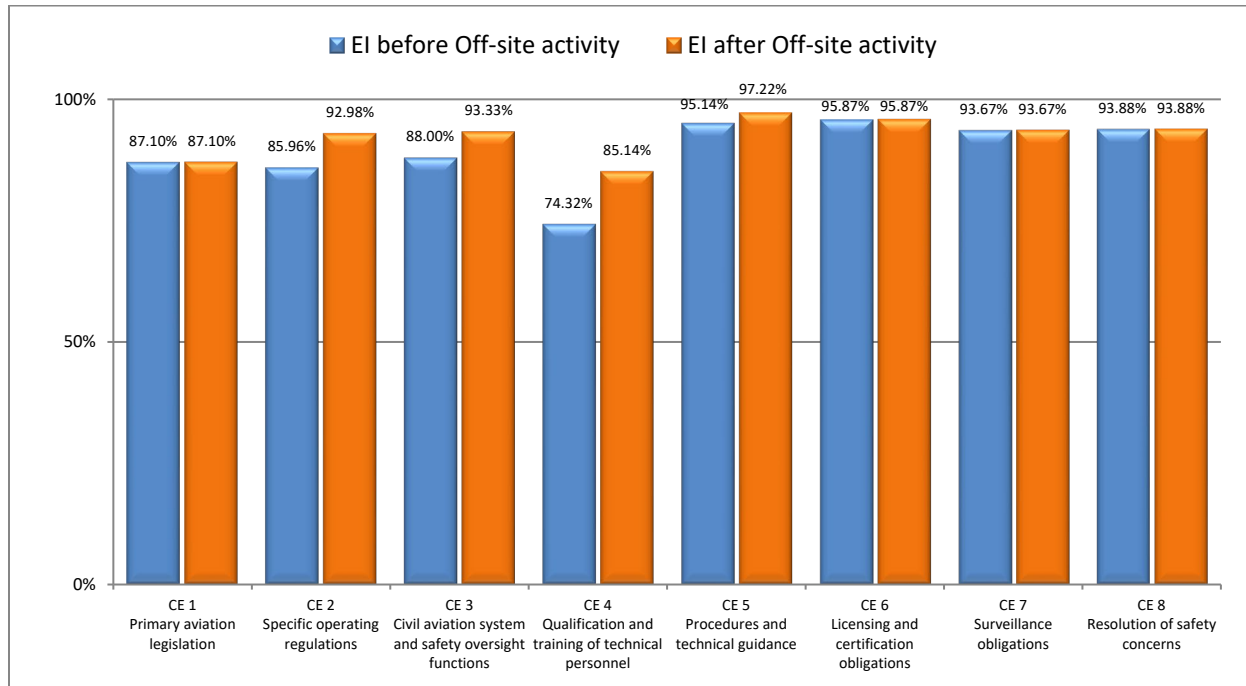
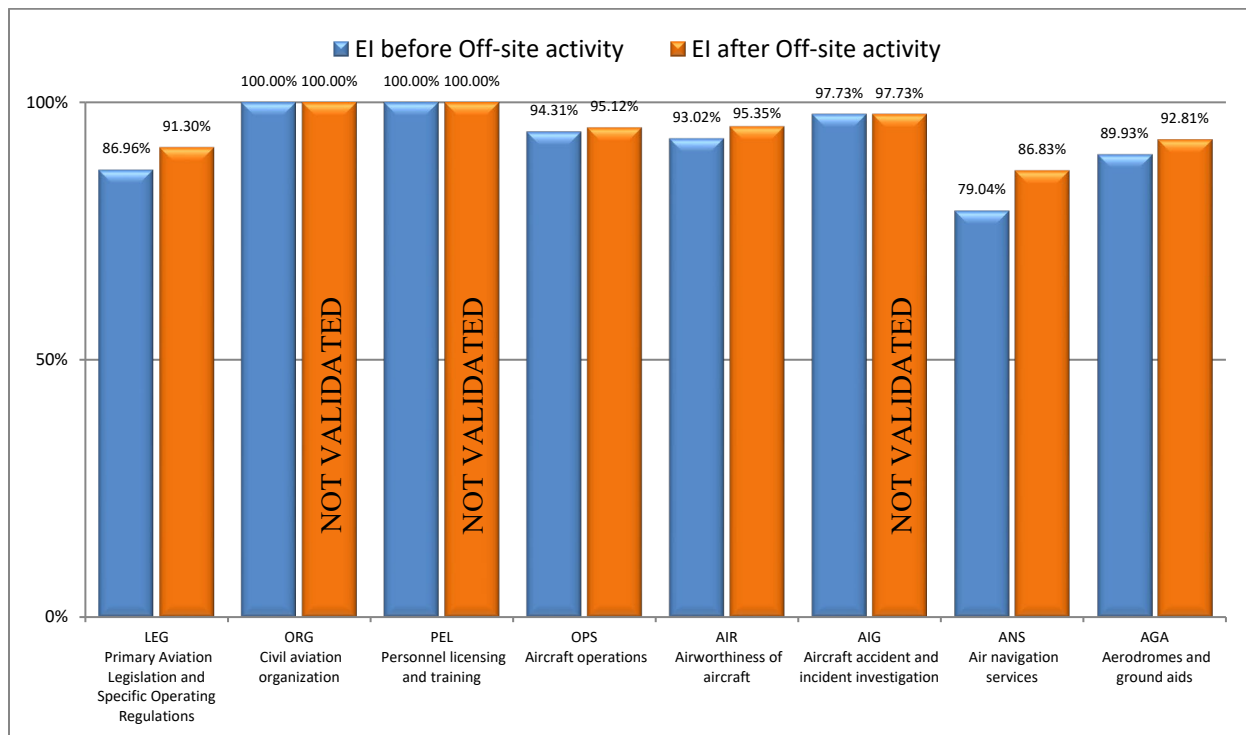


Figure 2. EI by Audit Areas



APPENDIX 2
SUMMARY OF PQ STATUS AFTER OFF-SITE VALIDATION ACTIVITY

1. The PQ status is now changed to **satisfactory**. (Total = 23)

LEG: 1.009; OPS: 4.129; AIR: 5.049; 5.204; 5.283; 5.371; ANS: 7.015; 7.107; 7.211; 7.273; 7.275; 7.277; 7.329; 7.331; 7.333; 7.363; 7.421; 7.423; 7.425; AGA: 8.069; 8.081; 8.083; 8.333.

2. The PQ status remains **not satisfactory** based on the evidence submitted being insufficient to fully address the initial finding. (Total = 13)

LEG: 1.005; 1.151; AIR: 5.003; ANS: 7.009; 7.213; 7.279; 7.335; 7.383; 7.427; AGA: 8.001; 8.139; 8.327; 8.373.

Total number of PQs within the scope of the activity = 36

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