Canada's 2023 ICAO USOAP CMA Audit
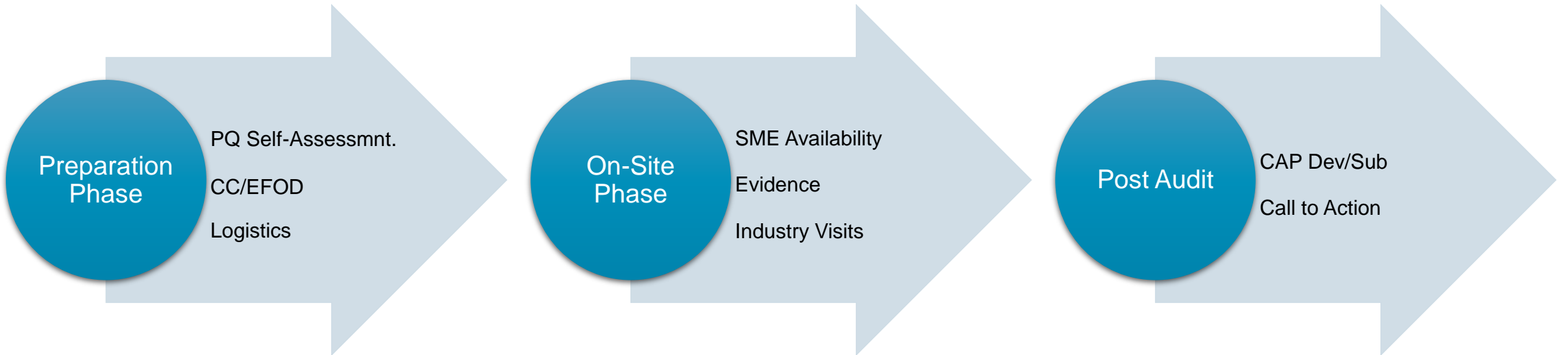## Key Insights and Lessons Learned

Presented to

Seventh NAM/CAR Regional Meeting for
National Continuous Monitoring Coordinators (NCMC/7)

ICAO NACC Regional Office
Mexico City, Mexico, October 22 to 24, 2024

Transport Canada / Transports Canada

Canada

Purpose

To share key insights and lessons learned from Canada's experiences with the 2023 ICAO USOAP CMA.

Preparation Phase

PQ Self-Assessmnt.

CC/EFOD

Logistics

On-Site Phase

SME Availability

Evidence

Industry Visits

Post Audit

CAP Dev/Sub

Call to Action

Highlights

In this presentation, we will explore key areas that have been crucial in our audit process and compliance efforts. We will touch on the following important subjects:

- Preparation and Planning

- Evidence Management and Presentation

- Training and Competency Development

- Coordination and Communication

Preparation Phase

- Preparation Phase
  - **PQ Self-Assessmnt.**
  - CC/EFOD
  - Logistics

PQs Self Assessment

Lessons Learned:

- **Guidance for review of evidence & ICAO references:** Helps focus the assessment

- **PPQs:** Recognizing their importance

- **Databases/software solutions:** Simplifies management of Self- Assessment & State Safety Data

- **Training:** Develop personnel through ICAO training courses, including the ICAO auditor training program

- **Technical Competencies:** Ensure staff involved in the self-assessment are up to date with USOAP CMA concepts and have access to ICAO documentation

Challenges:

- **Familiarity with OLF functions:** Some challenges with uploading evidence

- Coordination of multiple government agencies and groups

PQ Self-Assessmnt.

CC/EFOD

Logistics

Preparation
Phase

Preparation Phase

CC/EFOD

Lessons learned:

- **Frequent CC/EFOD updates**: Ensure that regulatory amendments and filing of differences procedures are accurately documented and properly implemented

- **Enhanced self-assessment**: Regular updates help streamline the self-assessment process, particularly for CE-2 PQs

- **Improved compliance**: Prioritizing these updates supports alignment with ICAO standards and enhances overall compliance

Challenges:

- Can be resource intensive considering over 12000 SARPs require CC/EFOD entries

Preparation Phase

PQ Self-Assessmnt.

CC/EFOD update

Logistics

Preparation Phase

Logistics

Lessons learned:

- **Early logistical planning is essential**: Ensure all logistics, including transportation, accommodations, and legal formalities, are arranged well in advance

- **Boardroom and IT setup**: Ensure boardrooms are equipped with proper Wi-Fi and video conferencing capabilities to support seamless communication and collaboration

- **Security access**: Pre-arrange building access for all participants to avoid delays or disruptions during the audit process

On-Site Phase

Subject Matter Experts
Sharing Evidence
Industry Visits

On-Site Phase

Subject Matter Experts

Lessons learned:

- **Mock Interviews**: Mock interviews prepare staff for real ICAO auditor interactions
- **Clear Assignments:** Assigning presenters of evidences with field experience and good communication skills
- **Scheduling:** Creation of a participant schedule for staff participating in-person and virtually avoids confusion and delays
- **Coordinate with External Stakeholders**: Establish communication channels with external partners, like air navigation service providers or accident investigation bodies

Challenges:

- Logistics of coordinating subject matter experts across multiple time zones
- Ensure availability of subject matter experts during extended hours
- Preparation of facilities and boardrooms with video conference capabilities
- Time management – 790 PQs must be addressed. Time is of the essence

On-Site Phase

TC Staff Availability
Sharing Evidence
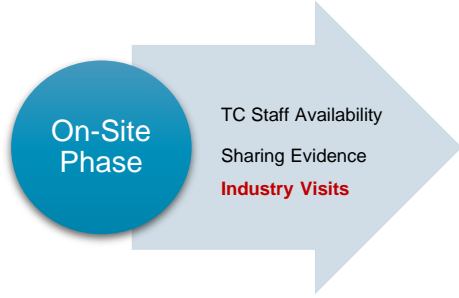Industry Visits

On-Site Phase

Evidence Management & Presentation

Lessons learned:

- **Organized presentation of evidence**: Presenting evidence in a structured, sequential manner facilitates a smoother Protocol Questions (PQ) review process

- **Electronic access to evidence**: Implementing a solution that provides electronic copies of evidence for both presenters and auditors proved highly beneficial

- **Highlighting relevant evidence**: Clearly marking portions of evidence files that are directly relevant to the PQs improves clarity and efficiency during the audit

Challenges:

- **Managing large volumes of evidence**: Handling a substantial amount of evidence files was resource-intensive and required careful organization

- **Supplementary evidence requests**: Auditors requested additional evidence during the audit, which created significant pressure on resources and personnel within tight timelines, often outside normal working hours

- **Privacy concerns**: Ensuring privacy and confidentiality of sensitive information within the evidence files, while maintaining accessibility for the audit, posed a challenge

On-Site Phase

TC Staff Availability

Sharing Evidence

Industry Visits

On-Site Phase

Industry On-site Visits

Lessons learned:

- Ensure clear communications to enterprises specifying the purpose of the on-site ICAO audit

Challenges:

- Coordination with chosen enterprises often last minute
- Travel logistics for TCCA personnel and ICAO auditors

Post Audit — CAP Dev/Sub — Call to Action

Post Audit

CAP Development & Submission

Lessons Learned:

- **CAP development training:** Ensuring SMEs are familiar with ICAO acceptance criteria

- **ICAO references and guidance for review of evidence:** Helps ensure CAPs are comprehensive and avoids focusing on just the auditor comments for the finding

Challenges:

- CAP submission timelines do not account for # of findings/CAPs

- Determination of acceptable Effective Implementation Dates for CAP steps

- Extensive coordination for CAP development and implementation involving more than 100 subject matter experts

Post Audit — CAP Dev/Sub — **Call to Action**

Post Audit

Call to Action

The following outlines key targeted actions and initiatives aimed at enhancing the effectiveness and efficiency of CAP implementation, ensuring alignment with ICAO standards and improving overall compliance.

- Civil Aviation ICAO Compliance Policy

- ICAO Compliance Office

- ICAO Compliance Governance Committee

- Powerapps CAP Tracker Application

- SARPs Management Implementation System (SMIS)

- ICAO Compliance Fundamentals Training Course

Key Messages

- **Thorough Planning and Early Engagement**: Begin preparations early with a detailed roadmap and ensure all relevant subject matter experts are engaged

- **Comprehensive Evidence Collection:** Organize and document evidence systematically to ensure timely availability and ease of presentation during the audit

- **Clear Communication Protocols**: Establish clear communication channels and roles to avoid confusion and streamline responses during the audit

- **Coordinate with External Stakeholders**: Establish communication channels with external partners, like air navigation service providers or accident investigation bodies

- **IT and Logistics Readiness**: Ensure boardrooms, IT equipment, and other logistics are in place and functioning smoothly for a seamless onsite audit experience

Contact

Jean-Francois Mathieu, LL.B., ATPL
Chief, ICAO Compliance Office
National Continuous Monitoring Coordinator
Transport Canada

TC.ICAOcompliance-ConformiteOACI.TC@tc.gc.ca