



ICAO

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North American, Central American and Caribbean Office

WORKING PAPER

C/CAR/DCA/14 — WP/04  
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Fourteenth Directors of Civil Aviation of the Central Caribbean Meeting (C/CAR/DCA/14)  
Kingston, Jamaica, 11 to 13 May 2015

**Agenda Item 3: Aviation Safety Management**  
**3.2 ICAO Universal Safety Oversight Audit Programme (USOAP)**  
**Continuous Monitoring Approach (CMA)**

**ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) WITH A  
CONTINUOUS MONITORING APPROACH (CMA)**

(Presented by the Secretariat)

<b>EXECUTIVE SUMMARY</b>	
<p>This Working Paper presents available information at the On-Line Framework (OLF) (<a href="http://www.icao.int/usoap">http://www.icao.int/usoap</a>) on the activities related to the Universal Safety Oversight Audit Programme with a Continuous Monitoring Approach (USOAP – CMA) carried out in Central Caribbean.</p>	
<b>Action:</b>	Action suggested specified in Paragraph 3
<i>Strategic Objective:</i>	<ul style="list-style-type: none"><li>• Safety</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Annex 19</li><li>• Doc 9734 – <i>Safety Oversight Manual</i></li><li>• Doc 9735 – <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i></li><li>• Doc 9859 – <i>Safety Management Manual (SMM)</i></li><li>• Electronic Bulletin EB 2015/6 – <i>Implementation of the ICAO universal safety oversight audit programme — Activity plan</i></li><li>• Final Report of the Fifth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/5), held in Port-of-Spain, Trinidad and Tobago, from 28 to 30 April 2014</li></ul>

## 1. Introduction

1.1 In line with Resolution A37-5 adopted by the 38<sup>th</sup> Session of the Assembly, ICAO and member States carry out USOAP activities with a Continuous Monitoring Approach (CMA), the USOAP - CMA objective is to promote global safety through States a safety CMA.

1.2 During the Fifth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/5) held in Port-of-Spain, Trinidad and Tobago, from 28 to 30 April 2014, the *Port-of-Spain Declaration*, which establishes the regional goals for safety and air navigation implementation was signed.

## 2. Discussion

2.1 The USOAP - CMA will continue during 2015 as the foreseen calendar in Electronic Bulletin EB 2015/6 – *Implementation of the ICAO universal safety oversight audit programme — Activity plan* attached in **Appendix A**. The Plan covers an ICAO Coordinated Validation Mission (ICVM) for Bahamas (9 - 15 December 2015).

2.2 In accordance with Annex 19 requirement, during 2014 the ICAO NACC Regional Office organized a Regional Seminar on Safety Oversight – Air Navigation Services (ANS) for the NAM/CAR Regions, in Mexico City, Mexico, from 12 to 16 May 2014. A Regional Workshop/Meeting on ANS Safety Oversight and National Continuous Monitoring Coordinators (NCCMC) has been scheduled for December 2015.

2.3 Additionally, is been foreseen to provide assistance at the request of States for the implementation of the State Safety Programme (SSP) and Safety Management System (SMS) in accordance with Annex 19 provisions and ICAO Doc 9859, which regional objective is to accomplish safety regional goals established in the *Port-of-Spain Declaration*.

2.4 In all USOAP - CMA activities, ICAO Headquarters personnel, ICAO NACC Regional Officers and CAR regional experts participation is foreseen.

2.5 In order to guarantee that the State system is appropriate to the level and aeronautical activity scope, States should implement an oversight safety system based on Critical Elements (CEs) from Annex 19, Appendix 1, which includes State policy for the systematic management of critical safety risks and accountability for the aeronautical community. It is fundamental to comply with these responsibilities for aeronautical operations safety.

2.6 In accordance with USOAP - CMA activities the Effective Implementation (EI) percentage was increased due to the improvements on the safety oversight system reached by the Central Caribbean (C/CAR) States. **Appendix B** shows updated information on EI for C/CAR States, published in the ICAO website: <http://www.icao.int/safety/Pages/USOAP-Results.aspx>. In general, it shows that the Central Caribbean is very close to the Port-of-Spain regional goal, highlighting the principal areas of improvement as follows:

Air Navigation Services (ANS): lack of regulations and procedures, personnel and training

Aerodromes and Ground Aids (AGA): lack of inspectors, procedures, certification and training

Accident Investigation and Prevention (AIG): lack of autonomy, regulations to protect AIG information and procedures

2.7 The International civil aviation community has recognized the Chicago Convention as the global framework that establishes the basis for the functions, obligations and activities of a State carried out within other States jurisdiction. Therefore, States should promote ratification to additional international conventions in order to ensure that they are within the functions and contracted obligations framework.

2.8 In this regard, Article 3 *bis* of the Chicago Convention clearly specifies:

- a) *State's obligation must refrain from resorting to the use of weapons against civil aircraft in flight; and*
- b) *State's right to require the landing at some designated airport of a civil aircraft flying above its territory without authority or if there are reasonable grounds to conclude that it is being used for any purpose inconsistent with the aims of this Convention.*

### **3. Suggested Action**

3.1 The Meeting is invited to:

- a) take note on the activities carried out within the ICAO USOAP - CMA;
- b) Foster among the ICAO contracting States compliance with the ratification of Article 3 *bis* on International Civil Aviation Chicago Convention;
- c) be prepared to receive the USOAP - CMA ICVM or CSA missions according to the activity plan of the EB 2015/6;
- d) support participation of the selected expert for USOAP - CMA activities;
- e) notify the ICAO NACC Regional Office of the assistance required for a safety oversight management system implementation in accordance with Annex 19 provisions; and
- f) recommend other actions considered necessary.



**International Civil Aviation Organization**

## **ELECTRONIC BULLETIN**

For information only

EB 2015/6

15 January 2015

### **IMPLEMENTATION OF THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME — ACTIVITY PLAN**

1. The ICAO Universal Safety Oversight Audit Programme (USOAP) Activity Plan, has been prepared in line with Assembly Resolution A37-5 directing the evolution of USOAP to a continuous monitoring approach (CMA). The Activity Plan encompasses continuous monitoring approach (CMA) audits, ICAO Coordinated Validation Missions (ICVMs), Off-site Validation Activities and regional seminars/workshops. Candidate States for audits and ICVMs are selected based on an analysis of safety risk factors, including previous audit results, the level of traffic in the State, and progress made by States in resolving identified deficiencies.
2. States will be scheduled for an ICVM and/or Off-site Validation Activity once an analysis of the updated corrective action plan submitted on the CMA online framework indicates that reasonable progress has been achieved. The scope and duration of the activities will be based on the level of progress reported in the different areas which were audited.
3. ICAO will also plan and conduct ICVMs for States that have a Significant Safety Concern (SSC), once information is received indicating that the SSC has been resolved.
4. States interested in receiving an ICVM in 2015 but which are not included in the Activity Plan may ask for a cost-recovery mission by submitting a request to the Secretary General.
5. The USOAP CMA was fully launched at the beginning of 2013 following a two-year transition. Since 2011, a total of eighteen audits, seventy ICVMs and fifteen Off-site Validation activities have been completed. Twelve audits and sixteen ICVMs are scheduled for 2015, with additional activities to be conducted as permitted by the resources in ICAO.
6. USOAP CMA seminars/workshops have also been conducted since 2013, providing ICAO Regional Offices and Member States with valuable information regarding the implementation of the USOAP CMA and the use of the CMA tools, including the online framework reporting system. In 2014, twelve such workshops were conducted and at least four are being planned for 2015.
7. This Activity Plan and biannual updates will be posted on the CMA online framework <http://www.icao.int/usoap>.

**Enclosure:**

Status of CMA activities in 2014 and activity plan for 2015

Issued under the authority of the Secretary General

ATTACHMENT to EB 2015/6

**ICAO USOAP CMA Activity – status for 2014**

State	Type of Activity	Dates	Status
<b>Asia and Pacific (APAC) Region</b>			
Afghanistan*	Audit		
Cambodia	Audit	<del>21 – 30 Jul 2014</del>	postponed by State
Indonesia	Audit	5 - 14 May 2014	completed
Kiribati	Audit	<del>15 – 24 Sep 2014</del>	postponed by State
Lao People's Democratic Republic*	ICVM		
Maldives	ICVM	16 - 22 Jun 2014	completed
Thailand	Audit	<del>17 – 26 Feb 2014</del>	postponed by ICAO
<b>Eastern and Southern African (ESAF) Region</b>			
Ethiopia*	ICVM		
Madagascar	Off-site Validation Activity	Apr 2014	completed
Mauritius*	ICVM		
Mozambique	ICVM	26 Nov - 2 Dec 2014	completed
Namibia	ICVM	16 - 22 Jul 2014	completed
Seychelles	Audit	4 - 13 Aug 2014	completed
Somalia*	Audit		
South Sudan*	Audit		
Swaziland*	ICVM		
Uganda	ICVM	11 - 17 Jun 2014	completed
<b>European and North Atlantic (EUR/NAT) Region</b>			
Albania	Off-site Validation Activity	Apr 2014	completed
Azerbaijan	Audit	<del>2 – 9 Sep 2014</del>	postponed by State
Belarus*	ICVM		
Israel	ICVM	25 - 31 Mar 2014	completed
Kazakhstan	ICVM	27 May - 4 Jun 2014	completed
Kyrgyzstan	ICVM	<del>12 – 18 Aug 2014</del>	postponed by State
Latvia*	ICVM		
Morocco	ICVM	8 - 15 Oct 2014	completed
Portugal	Off-site Validation Activity	May 2014	completed
	Off-site Validation Activity	Oct 2014	completed
	Off-site Validation Activity	Dec 2014	completed
Republic of Moldova	ICVM	18 - 24 Feb 2014	completed
Russian Federation	Audit	10 - 21 Nov 2014	completed
Tajikistan*	ICVM		
<b>Middle East (MID) Region</b>			
Egypt	Audit	22 Nov - 4 Dec 2014	completed
Iraq*	Audit		
Libya	Audit	<del>17 – 26 Aug 2014</del>	postponed by ICAO
Saudi Arabia	ICVM	27 Apr - 4 May 2014	completed
Sudan	Off-site Validation Activity	Oct 14	completed
United Arab Emirates	ICVM	27 Oct - 2 Nov 2014	completed
Yemen*	Audit		

State	Type of Activity	Dates	Status
<b>North American, Central American and Caribbean (NACC) Region</b>			
Belize	ICVM	5 - 11 Feb 2014	completed
El Salvador*	ICVM		
Guatemala	ICVM	<del>5 - 11 Mar 2014</del>	postponed by State
Trinidad and Tobago*	ICVM		
<b>South American (SAM) Region</b>			
Ecuador*	ICVM		
Peru	Audit	13 - 22 Oct 2014	completed
Panama	Audit	<del>17 - 26 Nov 2014</del>	postponed by State
Uruguay	ICVM	2 - 8 Apr 2014	completed
<b>Western and Central African (WACAF) Region</b>			
Benin	Off-site Validation Activity	Dec 2014	completed
Burkina Faso	Off-site Validation Activity	May 2014	completed
Central African Republic*	ICVM		
Côte d'Ivoire	Off-site Validation Activity	Jan 2014	completed
	Off-site Validation Activity	Dec 2014	completed
	ICVM	18 - 24 Mar 2014	completed
Guinea	Off-site Validation Activity	Sep 2014	completed
	ICVM	<del>28 May - 3 Jun 2014</del>	postponed by ICAO
Guinea-Bissau*	ICVM		
Liberia*	ICVM		
Mali	Off-site Validation Activity	Dec 2014	completed
Mauritania	Off-site Validation Activity	Sep 2014	completed
	ICVM (cost-recovery)	29 Jun - 3 Jul 2014	completed
Senegal	Off-site Validation Activity	May 2014	completed
Sierra Leone	ICVM	29 Jan - 5 Feb 2014	completed

\* States identified for a potential ICVM or audit but not necessarily in 2014.

#### USOAP CMA seminars/workshops – status for 2014

Location	Region	Dates
Lisbon, Portugal (cost-recovery)	EUR/NAT	11 - 13 Feb 2014
Lusaka, Zambia (cost-recovery)	ESAF	18 - 20 Mar 2014
Montréal, Canada	NACC	1 - 3 Apr 2014
Jakarta, Indonesia	APAC	30 Apr - 2 May 2014
Nairobi, Kenya	ESAF	29 - 31 Jul 2014
Dar es Salaam, United Republic of Tanzania (cost-recovery)	ESAF	4 - 6 Aug 2014
Montréal, Canada	NACC	27 - 29 Aug 2014
Bogota, Colombia (cost-recovery)	SAM	23 - 25 Sep 2014
Montréal, Canada	NACC	10 Oct 2014
Praia, Cabo Verde (cost-recovery)	WACAF	18 - 20 Nov 2014
Montréal, Canada	NACC	9 - 10 Dec 2014
Khartoum, Sudan (cost-recovery)	MID	14 - 16 Dec 2014

## ICAO USOAP CMA Activity – planning status for 2015

State	Type of Activity	Dates
<b>Asia and Pacific (APAC) Region</b>		
Afghanistan*	Audit	
Cambodia	Audit	30 Nov - 9 Dec 2015
India	Audit	9 - 18 Nov 2015
Kiribati*	Audit	
Lao People's Democratic Republic	ICVM	21 - 27 Apr 2015
New Zealand*	Audit	
Thailand	Audit	19 - 30 Jan 2015
Viet Nam*	ICVM	
<b>Eastern and Southern African (ESAF) Region</b>		
Comoros	ICVM	2 - 8 Dec 2015
Ethiopia	Audit	20 - 29 Apr 2015
Mauritius	ICVM	22 - 28 Jul 2015
Somalia*	Audit	
South Sudan*	Audit	
Swaziland	ICVM	8 - 14 Apr 2015
Zimbabwe*	ICVM	
<b>European and North Atlantic (EUR/NAT) Region</b>		
Armenia	Audit	15 - 24 Jun 2015
Austria	ICVM	15 - 21 Jul 2015
Azerbaijan	Audit	19 - 25 May 2015
Belarus	ICVM	16 - 22 Sep 2015
Cyprus*	ICVM	
Kyrgyzstan*	ICVM	
Latvia	ICVM	4 - 10 Nov 2015
Morocco	Audit	7 - 16 Sep 2015
Russian Federation	Audit	19 - 28 Oct 2015
San Marino	Audit	29 Jun - 3 Jul 2015
Serbia*	ICVM	
Tajikistan	ICVM	28 Jan - 3 Feb 2015
Ukraine*	Audit	
<b>Middle East (MID) Region</b>		
Iran	ICVM	4 - 10 May 2015
Iraq*	Audit	
Kuwait	Audit	30 Aug – 8 Sep 2015 Postponed by State
Libya*	Audit	
Yemen*	Audit	
<b>North American, Central American and Caribbean (NACC) Region</b>		
Bahamas	ICVM	10 - 16 Jun 2015
El Salvador	ICVM	30 Sep - 6 Oct 2015
Guatemala	Audit	3 - 12 Aug 2015
Trinidad and Tobago*	ICVM	

State	Type of Activity	Dates
<b>South American (SAM) Region</b>		
Brazil	Off-site Validation Activity	Feb 2015
	ICVM	30 Sep - 6 Oct 2015
Ecuador	ICVM	8 - 14 Jul 2015
Guyana*	ICVM	
Panama	Audit	23 Feb - 4 Mar 2015
Paraguay*	ICVM	
<b>Western and Central African (WACAF) Region</b>		
Central African Republic*	ICVM	
Chad	ICVM	25 - 31 Mar 2015
Congo	ICVM	6 - 12 May 2015
Equatorial Guinea	ICVM	2 - 8 Sep 2015
Ghana*	Audit	
Guinea-Bissau*	ICVM	
Liberia	ICVM	<del>21 - 27 Jan 2015</del> Postponed by ICAO
Nigeria	Audit	16 - 25 Nov 2015
Senegal*	Audit	

\* States identified for a potential ICVM or audit but not necessarily in 2015.

#### USOAP CMA seminars/workshops – status for 2015

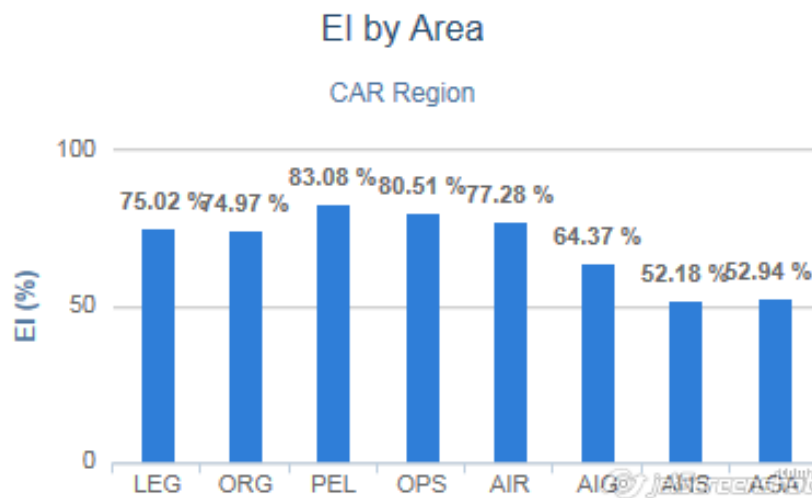
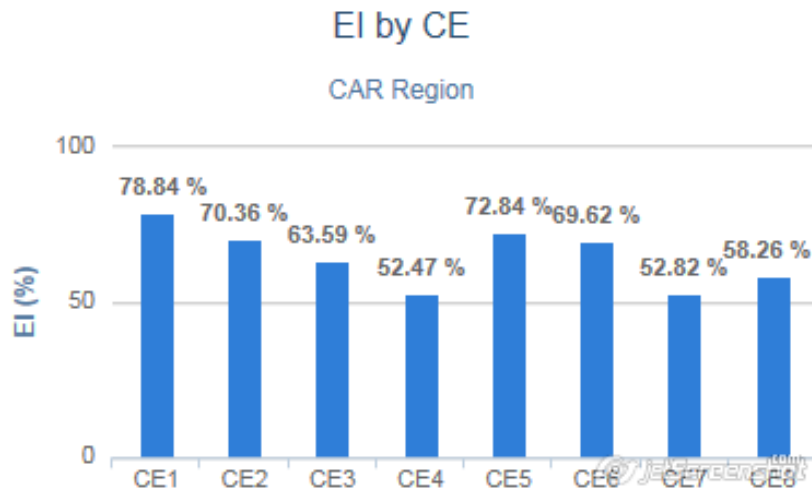
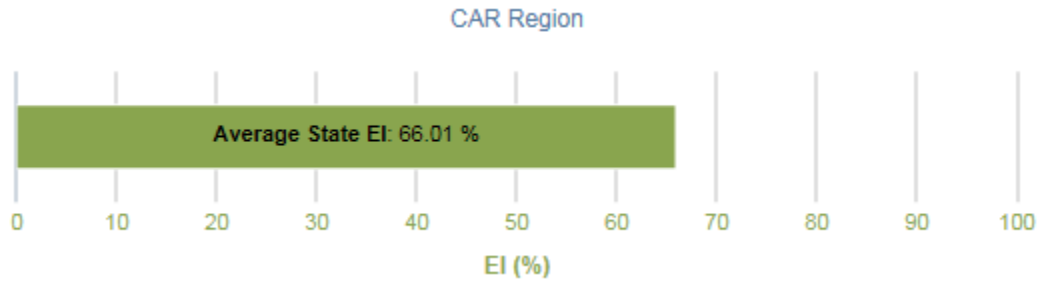
Location	Region	Dates
Vienna, Austria (cost-recovery)	EUR/NAT	25 - 29 Jan 2015
Helsinki, Finland (cost-recovery)	EUR/NAT	3 - 5 Mar 2015
Moscow, Russian Federation	EUR/NAT	Jun 2015
Dakar, Senegal	WACAF	To be determined

— END —



**APPENDIX B**

**EFFECTIVE IMPLEMENTATION (EI) IN CENTRAL CARIBBEAN STATES**



— END —