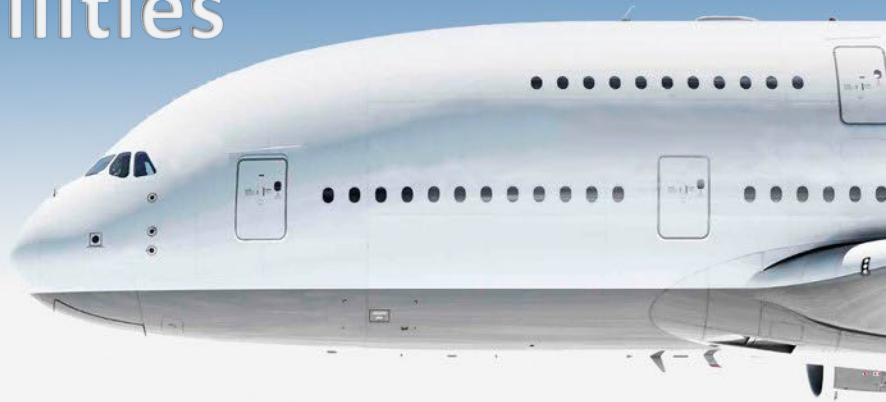
ICAO SAFETY

National Continuous Monitoring Coordinators
Functions and Responsibilities



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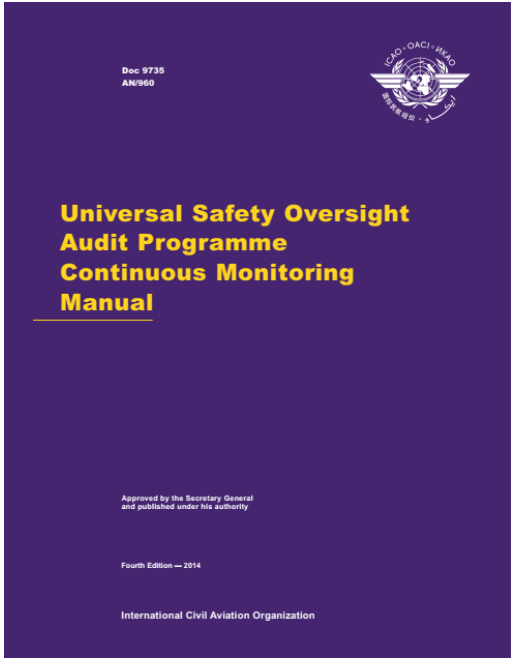
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Continuous Monitoring
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INTRODUCTION

The State is responsible for designating one or more **qualified** National Continuous Monitoring Coordinators (NCMCs) to act as primary **facilitators** and points of contact for all USOAP CMA processes and activities. The NCMC is **responsible for providing ICAO** with updates and information on an ongoing basis, either request ICAO copies of relevant information and updates, or enter information directly through the USOAP CMA online framework.

INTRODUCTION

The framework will include responses to the State Aviation Activity Questionnaire (SAAQ), USOAP Protocol Status, Protocol Questions (PQs), responses to ICAO Mandatory Information Requests (MIR), information related to Significant Safety Concerns (SSC), updates of the State Corrective Action Plan (CAP), including information on implementation and, to the extent possible, any other pertinent safety information requested by ICAO. Details on the role of NCMCs and reporting through the USOAP CMA online framework are available from ICAO.

The NCMC coordinates any visits by ICAO team to activities in the industry or to service providers. The State is responsible for organizing and coordinating domestic travel and covering related transportation costs.

INTRODUCTION

In order to carry out a specific activity in a State, the ICAO Team Leader (TL) develops a specific activity plan for each State which, together with other pertinent information, is forwarded to the NCMC for coordination with State authorities, in accordance with the defined timeline.

The State-specific activity plan includes a daily work schedule and information on conducting the activity on-site and visits to facilities and entities other than the CAA. In the event that the specific activity of the State is modified. If the plan is necessary, the TL will coordinate such changes with NCMC.

National Continuous Monitoring Coordinators Functions and Responsibilities

4.3.6 In order to support USOAP CMA and facilitate related activities, **each State is responsible for designating one or more qualified National Continuous Monitoring Coordinators (NCMCs) to act as primary points of contact for all USOAP CMA processes and activities.**

National Continuous Monitoring Coordinators Functions and Responsibilities

In order to carry out a specific activity in a State, the ICAO Team Leader (TL) develops a specific activity plan for each State which, together with other pertinent information, is forwarded to the NCMC for coordination with State authorities, in accordance with the defined timeline.

The State-specific activity plan includes a daily work schedule and information on conducting the activity on-site and visits to facilities and entities other than the CAA. In the event that the specific activity of the State is modified. If the plan is necessary, the TL will coordinate such changes with NCMC.

National Continuous Monitoring Coordinators Functions and Responsibilities

The NCMC is responsible for submitting, maintaining and/or updating the information to be provided by the State to the Monitoring and Oversight Office on an ongoing basis, including but not limited to:

a) PQ compliance status through PQ self-assessment;
b) CAPs;
c) mitigating measures taken by the State in response to SSCs;
d) SAAQ;
e) Compliance Checklists **(CCs)/EFOD**;
f) responses to **MIRs**; and
g) other relevant safety information, as requested by ICAO.

National Continuous Monitoring Coordinators Functions and Responsibilities

PQs compliance status through SELF-ASSESSMENT

States are required to submit and regularly update the status of PQs, using the online framework. Particularly, in light of the adoption of Annex 19 — *Safety Management*, States are encouraged to perform self-assessment. As a priority, States shall conduct a PQ self-assessment.

SELF-ASSESSMENT

As a priority, States will carry out a PQ self-assessment:

a) on PQs that were deemed not satisfactory in a previous USOAP activity;

b) on new PQs introduced through PQ amendments – these PQs will have an undetermined status until they are assessed through a USOAP CMA activity;

c) on amended PQs, if the amendment impacts the status of the PQ; or

d) in case of any changes in their aviation system, regulations and/or procedures to determine whether these changes impact the status of any PQs.

PQs compliance status through SELF-ASSESSMENT

1. Update and distribute to the Directorates and Aeronautical Departments the version of the Protocol Questions by which the Audits will be carried out and explain what the changes introduced consist of.
2. Explain at all levels the importance of creating a CMA **CULTURE**.
3. Designate by senior management and coordinated with each director a specialist who will coordinate actions in each specialty (LEG; OPS; AIR;….ORG)
4. Train staff in completing the self-assessment, CAPs, etc.
5. Plan the performance of the self-assessment (completion of the protocol and the evidence)

Corrective Action Plan (CAP)

2.12.1 When ICAO issues a finding, i.e. when the status of a PQ changes to not satisfactory as a result of a USOAP CMA activity, in response the State must develop a corrective action plan (CAP), as required by the CMA MOU. The State shall develop an acceptable CAP and submit it to the OAS through the USOAP CMA online framework (see Chapter 5 for an introduction to the online framework).

2.12.2 The State must provide and implement CAPs that meet certain criteria. Proposed CAPs must fully address the associated PQ and all identified deficiencies. Guidance and criteria for States on developing CAPs are described in Appendix D.

Note.— When requested by the State, ICAO RO may assist the State on how to develop and submit a CAP

Corrective Action Plan (CAP)

- 2.12.3 Once OAS accepts the State's CAPs, the State starts to implement the corrective actions. The OAS regularly monitors the State's progress in implementing its CAPs through the online framework until each CAP is fully implemented. Further details regarding the submission, assessment, implementation and validation of CAPs are described in Chapter 7, 7.4.15 to 7.4.21, and 7.8.3. The ICAO USOAP 2-9.
- 2.12.4 If a State does not submit a CAP within the required timeline, the OAS will coordinate with the RO and other relevant ICAO sections and report to DD/MO to determine further action, as appropriate.

Corrective Action Plan (CAP)

1. Update the Protocol Questions related to the findings, related in the PAC and periodically update the compliance with the plan in the OLF (percentage of compliance with each measure, according to the planned date, update of the evidence, etc.

2. Coordinate actions with NACC for follow-up,

Mitigation measures taken by the State in response to SSCs

The ICAO Council approved a mechanism to deal with significant safety concerns (SSCs) identified during the conduct of safety oversight audits.

The SSC mechanism is an USOAP CMA process used to notify a State of identified deficiencies that may pose an immediate risk to the safety of international civil aviation.

Mitigation measures taken by the State in response to SSCs

- 2.10.2 An SSC may be identified by a USOAP CMA activity team during the conduct of a USOAP CMA on-site activity (see Chapter 3, 3.2) or by ICAO at any stage throughout the continuous monitoring process.
- 2.10.3 If the SSC is confirmed, the National Continuous Monitoring Coordinator (NCMC) of the State is notified, specifying the due date for the State to take mitigating measures. A notification is also sent to the ICAO Regional Office (RO).

Note.— When requested by the State, ICAO RO may assist the State on how to develop and submit immediate mitigating measures to resolve the SSC.

Mitigation measures taken by the State in response to SSCs

2.10.4 If the State does not take appropriate mitigating measures or corrective actions to resolve the SSC by the specified due date, the SSC will be made available to all Member States on the online framework (OLF). If the State does not resolve the SSC within 90 days after posting on the online framework, it will also be posted on the ICAO public website. The SSC will remain posted until it is resolved.

State Aviation Activity Questionnaire (SAAQ)

The State aviation activity questionnaire (SAAQ) is designed to collect comprehensive and specific information on each State's aviation activities, including legislative, regulatory, organizational, operational, technical and administrative details. Each State shall complete and maintain its SAAQ up to date in order to assist the Monitoring and Oversight Office in monitoring the level of aviation activity in the State related to each audit area and in prioritizing and planning USOAP CMA activities.

ICAO will revise the SAAQ periodically. States are required to update their SAAQs regularly.

Compliance Checklists (CCS)/EFOD;

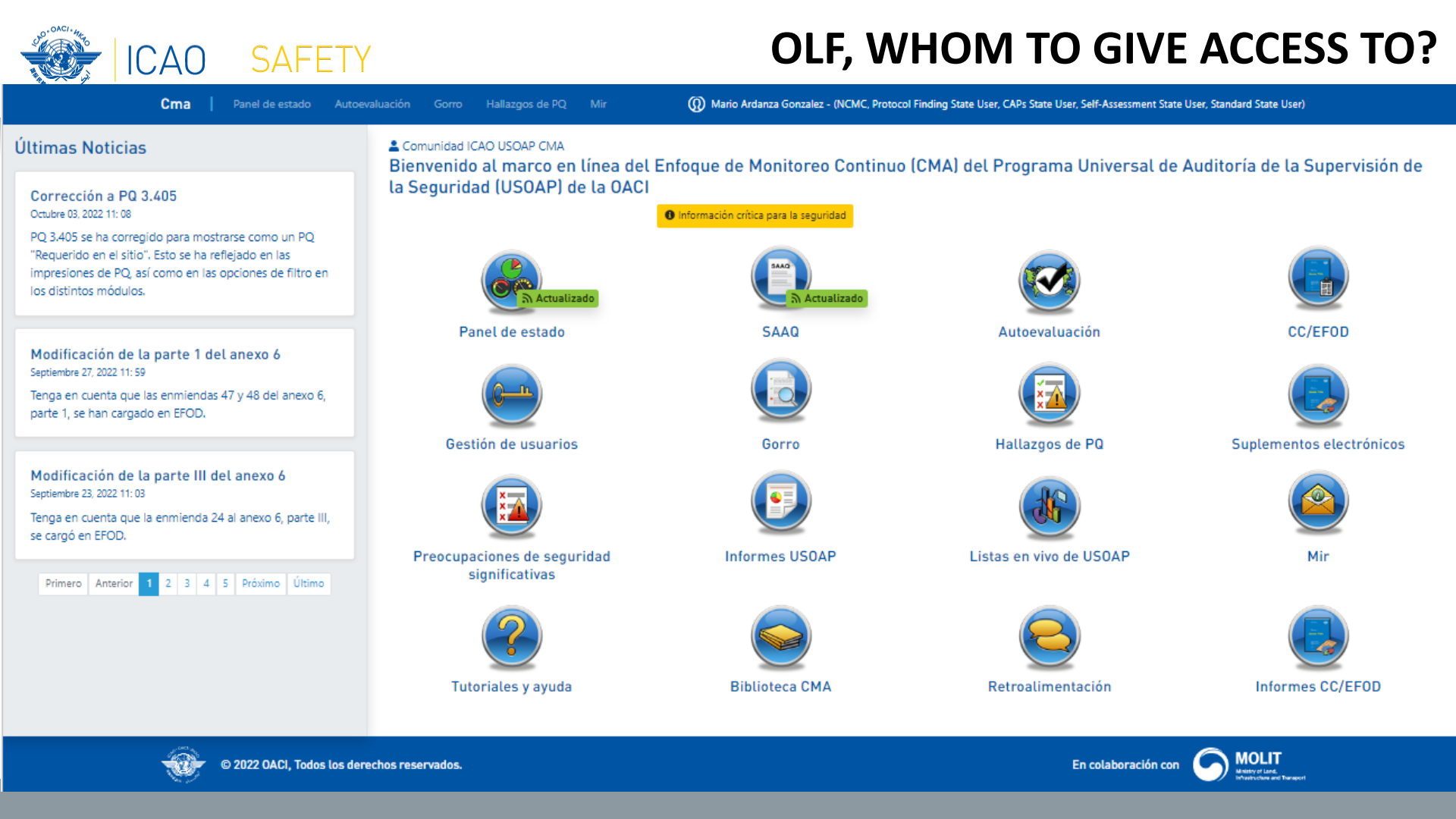
2.15.1 States are required by the USOAP CMA Memorandum of Understanding (MOU; see Chapter 4, 4.3.1, 4.3.2 and 4.6) to file their differences against standards and recommended practices by completing and maintaining upto- date Compliance Checklists (CCs). These contain information regarding the implementation of the specific provisions of the relevant Annexes to the Convention. The completion of the CCs by Member States will provide an overview of the level of implementation of ICAO Standards to authorized users.

States must provide this information through the Electronic Filing of Differences (EFOD) system on the CMA online framework. By completing the CCs through the EFOD system, States can use the EFOD as an alternative means for notifying ICAO of their compliance and differences.

Sub-tasks performed by the NCMCs

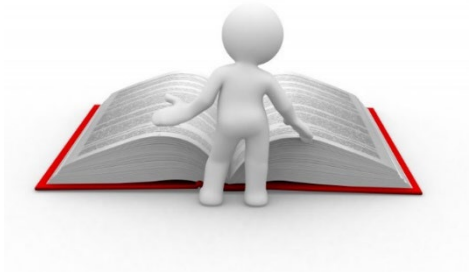
- Quality control of the responses provided by the technical areas, on the self-assessment, compliance checklist, SAAQ, etc.
- Follow-up of actions corresponding to each step established in the CAPs
- Follow-up on responses to the self-assessment
- Inform the director about possible difficulties for the resolution of non-conformities
- Coordination between technical and legal areas
- Inquiries to ICAO Regional Office or ICAO Headquarters
- Follow-up to revisions of ICAO documents

OLF, WHOM TO GIVE ACCESS TO?



CONCLUSIONS?

CONCLUSIONS



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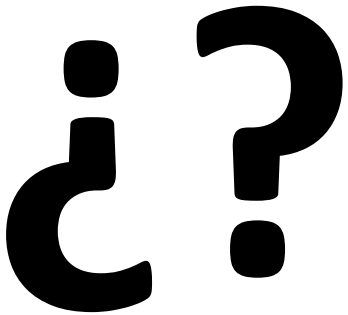

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THANK YOU!