

## APÉNDICE B



Organización de Aviación Civil Internacional  
Oficina para Norteamérica, Centroamérica y Caribe

Proyecto Regional de Cooperación Técnica para el  
Programa de Asistencia Multi-Regional para la  
Aviación Civil **MCAAP RLA09801**

### Segunda Reunión del Grupo de Tarea de Expertos del Sistema de Vigilancia de la Seguridad Operacional (SOS) – Preparación de la Herramienta de Evaluación de Documentos de Referencia Cruzada (CRDET) del Estado

Ciudad de México, México, del 17 al 21 de abril de 2023

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#### Sumario de Discusiones

<b>Fechas</b>	17 -21 de abril de 2023
<b>Sede</b>	Oficina Regional NACC de la OACI, Ciudad de México, México
<b>Participantes</b>	Asistieron a la reunión 3 representantes de 2 Estados/Territorios y una Organización Internacional/Organizaciones Internacionales de las Regiones NAM/CAR. La lista de participantes se muestra en el <b>Apéndice A</b> .

#### 1. Referencias

1.1 Propuesta de Asistencia Técnica para la Movilización de Recursos Asistencia a los Estados NACC para la Mejora de su Sistema de Vigilancia de la Seguridad Operacional (SOS).

#### 2. Objetivos

2.1 El objetivo principal de esta actividad fue finalizar la CRDET de Organización de la aviación civil (ORG) y comenzar con las secciones de Aeronavegabilidad (AIR) y Otorgamiento de licencias al personal e instrucción (PEL) del documento.

2.2 Resultados entregables:

- Completar la CRDET de ORG
- Avance de la CRDET de AIR y PEL

#### 3. Introducción

3.1 Para continuar con la implementación del Proyecto de mejora del Sistema de Vigilancia de la Seguridad Operacional (SOS) y abordar los desafíos identificados para los Estados de la Región del Caribe (CAR), tales como la falta de personal calificado y falta de entendimiento del alcance las Preguntas de Protocolo (PQ), el Proyecto RLA/09/801 – Programa de Asistencia Multi-Regional para la Aviación Civil (MCAAP) aprobó la Reunión del Grupo de Tarea (TF) de Expertos del SOS para desarrollar la CRDET.

3.2 Se realizó la segunda Reunión del TF con la participación de tres expertos de Aruba, Costa Rica y COCESNA para continuar con el desarrollo de los CRDET.

**4. Horario y actividades de la Reunión**

4.1 El horario de la reunión fue de 8:30 am a 3:00 pm, la cual incluyó las siguientes actividades:

- Revisión de las referencias proporcionadas por las organizaciones a cada una de las PQ
- Evaluación de las PQ para identificar y seleccionar las más restrictivas
- Evaluación de la orientación brindada para mejorar su contenido tanto para el/la evaluador/a como para los Estados
- Establecimiento de la Pregunta Normalizada (Protocolo SOS) para cada área.

4.2 A partir de esta sesión, una página web del Proyecto de Mejora del SOS será desarrollada y ubicada en: <https://www.icao.int/NACC/Pages/tf-2023-sos.aspx>

4.3 El Programa de Trabajo del SOS/TF y sus fechas de entregables son:

Fases	Descripción de Actividades	Fechas aproximadas	Responsable
1	<p><b>Desarrollo de una Herramienta de Evaluación de Documentos de Referencia Cruzada (CRDET) de los diferentes tipos de auditorías:</b></p> <p>Con base en las listas de verificación establecidas por IASA, USOAP, IATA y EASA, el TF desarrollará un documento maestro que se utilizará como base para la mejora de las técnicas de auditoría del TF y una mejor comprensión de las mismas por los Estados.</p>	Junio de 2023	TF y OACI
2	<p><b>Establecimiento de un programa de evaluación operativa:</b></p> <p>Con base en eventos tales como la necesidad del Estado de prepararse para una próxima auditoría (USOAP, IASA, EASA, etc.), resultados negativos de una auditoría o indicadores negativos durante una autoevaluación del Estado, la Oficina Regional NACC con la colaboración del TF establecerá un programa de evaluación SOS para medir el nivel de implementación en cada Estado y para determinar la asistencia requerida a los Estados y coordinar el apoyo técnico que debe lograr el cuadro de expertos/as capacitados/as/calificados/as.</p>	Junio de 2023	TF y OACI
3	<p><b>Evaluación de los Estados participantes:</b></p> <ul style="list-style-type: none"> <li>• Evaluación del Estado de acuerdo con el Programa de Trabajo (las evaluaciones pueden ser presenciales o virtuales)</li> <li>• Después de la evaluación, el suministro de apoyo técnico según sea necesario para resolver las deficiencias encontradas</li> <li>• Para 2023 se están programando dos evaluaciones</li> </ul>	Septiembre a octubre de 2023	TF y OACI

**5. Resultados/Recomendaciones**

5.1 Evaluación de los protocolos de ORG, AIR y PEL, utilizando la metodología establecida.

5.2 El ORG CRDET está disponible en <https://www.icao.int/NACC/Pages/tf-2023-sos.aspx>

5.3 Los logros de la Reunión fueron:

1. finalización de la CRDET de la sección ORG;
2. avance de 80% de la CRDET de la sección AIR;
3. avance de 20% de la CRDET de la sección PEL; y
4. el TF acordó llevar a cabo reuniones en línea semanales para continuar con las secciones AIR y PEL.

5.4 El SOS/TF recomienda que los Estados proporcionen comentarios del CRDET a más tardar el 2 de junio de 2023.

5.5 Se espera que el CRDET AIR esté finalizado el 9 de junio de 2023.

5.6 Se espera que los CRDET de OPS y PEL estén finalizados a más tardar el 30 de junio de 2023.

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## APPENDIX A/APÉNDICE A



International Civil Aviation Organization  
North American, Central American and Caribbean Office

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Regional Technical Cooperation Project for the  
Multi-Regional Civil Aviation Assistance Programme  
**MCAAP RLA09801**

**Second Safety Oversight System (SOS) Experts Task Force Meeting – Preparation of the State  
Evaluation Tool (Cross Reference Documents) /  
Segunda Reunión del Grupo de Tarea de Expertos del Sistema de Vigilancia de la Seguridad  
Operacional (SOS) – Preparación de la Herramienta de Evaluación del Estado (Documentos de  
Referencia Cruzada)**

17 – 21 April 2023 / 17 al 21 de abril de 2023

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### LIST OF PARTICIPANTS / LISTA DE PARTICIPANTES

#### **Aruba**

Corine Martis

#### **Costa Rica**

Luis Diego García Palma

#### **COCESNA**

José Carlos Rodríguez

#### **ICAO/OACI**

Marcelo Orellana

LIST OF PARTICIPANTS / LISTA DE PARTICIPANTES

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<b>Marcelo Orellana</b> Regional Officer, Safety Implementation Especialista Regional en Implementación de la Seguridad Operacional	North American, Central American and Caribbean Office / Oficina para Norteamérica, Centroamérica y Caribe (NACC)	Tel. + 52 55 5250 3211 E-mail morellana@icao.int

**APPENDIX B/APÉNDICE B**

ICAO PQ NUMBER	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References /ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
2.010	YES	3	Has an organizational structure been established at the State level depicting the authorities with functions related to safety oversight or aircraft accident and incident investigation in the State and their reporting lines?	<p>STD Annex 19, 3.2.3.1, Appendix 1</p> <p>GM Doc 9734, Part A, Chapter 3, 3.3.1 Doc 9379, Part I, Chapter 2 Doc 9756, Part I, Chapter 2 Doc 9774, 5.1 &amp; 5.4 Doc 9962, Chapter 3 Doc 8335, Pt I, C5; 5.1</p>	3.001	<p><b>3.001 Describe the organizational structure of the Civil Aviation Authority (CAA) and summarize the roles and responsibilities of each department, office, facility, and/or regional office responsible for licensing, certification, and continued surveillance.</b></p> <p>NOTE: Submission of an organizational chart would assist in answering this question.</p>	2.010	Has an organizational structure been established at the State level depicting the authorities with functions related to safety oversight or aircraft accident and incident investigation in the State and their reporting lines?	<p><b>1) Evaluate current approved organizational structures (charts) or other equivalent documents.</b></p> <p><b>2) Confirm the inclusion of all audit areas: PEL; OPS; AIR; AIG; ANS; and AGA.</b></p> <p>3) The authority responsible for aircraft accident and serious incident investigation may be permanent or established on an ad hoc basis.</p>
2.011	YES	3	Are the functions and responsibilities of each authority with functions related to safety oversight or aircraft accident and incident investigation clearly defined?	<p>STD Annex 19, 3.2.3.1, Appendix 1, Section 3</p> <p>GM Doc 9734, Part A, Chapter 3, 3.3</p>	3.001 3.002 3.005	<p>3.001 Describe the organizational structure of the Civil Aviation Authority (CAA) and <b>summarize the roles and responsibilities of each department, office, facility, and/or regional office responsible for licensing, certification, and continued surveillance.</b></p> <p>3.002 Describe the roles and responsibilities (documented) of the operations and airworthiness inspection organizations as they are structured in the CAA regarding:</p> <p>Issuance of the air operator certificate (AOC) Specific authorizations Deficiencies Development of regulations Enforcement</p> <p>3.005 Describe the personnel licensing process and the <b>responsibilities of licensing personnel?</b></p> <p>Does the CAA have a dedicated licensing section? Does the CAA integrate personnel licensing within the operations and airworthiness departments?</p>	2.011	<p>1) Are the functions and responsibilities of each authority with functions related to safety oversight clearly defined?</p> <p>2) Describe the roles and responsibilities (documented) of the operations, airworthiness inspection and licensing organizations as they are structured in the CAA.</p>	<p>Verify the specific reference and any other guidance material or practice used in reference to the response.</p> <p>Verify responsibilities of AIR/OPS regarding:</p> <p>Issuance of the air operator certificate (AOC) Specific authorizations Deficiencies Development of regulations Enforcement</p> <p>Verify how licensing responsibilities are complied with (dedicated licensing section, delegations to other departments, etc.)</p>

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2.013		3	If Regional Offices (ROs) have been established for authorities which perform functions related to safety oversight or aircraft accident and incident investigation, are their roles and responsibilities clearly defined?	STD A19 3.2.3.1 Appendix 1, Section 3  GM Doc 9734 Part A, Chapter 3, 3.3 and Chapter 3.3.1.2 Doc 9774 5.1.5	3.001	3.001 Describe the organizational structure of the Civil Aviation Authority (CAA) and summarize the roles and responsibilities of each department, office, facility, <b>and/or regional office responsible for licensing, certification, and continued surveillance.</b>  NOTE: Submission of an organizational chart would assist in answering this question.	2.013	If Regional Offices (ROs) have been established for authorities which perform functions related to safety oversight, are their roles and responsibilities clearly defined?	Review: a) Document(s) defining the functions and responsibilities of ROs. b) Organizational structure(s)/chart(s). c) Document(s) defining the level of authority of the ROs.
2.017		3	If the State has delegated or transferred safety oversight-related tasks to other entities, have procedures or mechanisms been established to ensure that the State's obligation for safety oversight of the delegated or transferred tasks is being met?	STD Annex 19, 3.2.3.1, Appendix 1, Section 3  GM Doc 9734, Part A, Chapter 3, 3.3.3 & Part B	3.003 3.004	3.003 Does the CAA delegate any safety oversight functions to:  Other CAA divisions Other State bodies Regional organisation Private agencies Designated persons  If yes to any, what is the scope of the delegation and the relationship with the Personnel Licensing, Medical, Operations, and Airworthiness Inspection organization(s)?  If yes to any, what agreements, controls, and procedures exist between the CAA and other entities?  If yes to D) or E), how does the CAA designate or delegate responsibilities to these other entities?  If yes to D) or E), how does the CAA provide surveillance and resolve safety concerns of these other entities?  Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.  3.004 Does the CAA delegate any of its	2.017	Does the CAA delegate any safety oversight functions to:  Other CAA divisions Other State bodies Regional organisation Private agencies Designated persons Qualified persons employed by a certificate holder	Verify, if applicable:  1) What is the scope of the delegation and the relationship with the Personnel Licensing, Medical, Operations, and Airworthiness Inspection organization(s)?  2) What agreements, controls, and procedures exist between the CAA and other entities?  3) How does the CAA designate or delegate responsibilities to these other entities?  4) How does the CAA provide surveillance and resolve safety concerns of these other entities?  5) Describe the scope and system to keep these delegated persons under supervisory and technical control  Verify the specific reference to the relevant regulation, and any guidance material or practice used in reference to the response.

ICAO PQ NUMBER	PPQ	CE	ICAO PROTOCOL QUESTION	Revised References /ICAO & FAA combined	IASA PQ NUMBER	FAA IASA	SOS Checklist Number	Suggested Standardized Question (SOS Protocol)	Guidance for Review of Evidence
						oversight responsibilities to qualified persons employed by a certificate holder?  If yes, describe the scope and system to keep these delegated persons under supervisory and technical control?  Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response			
2.019 2.023		3	2.019) When there is more than one authority (organization) with functions related to safety oversight or aircraft accident and incident investigation, have procedures been established to ensure that all areas are covered and that there is no overlap of responsibilities?  2.023) Has the State established and implemented mechanisms to avoid perceived or potential conflict of interest of inspectorate staff	STD Annex 19, 3.2.3.1  GM Doc 9734, Part A, Chapter 3, 3.3.1.3	3.101	3.101 (A) Is there an overlap of responsibilities among civil aviation entities when there is more than one organization with functions related to safety oversight?  If yes, have procedures been established to ensure that safety oversight functions, or aircraft accident and incident investigations, are covered? Do these procedures overlap responsibilities between organizations within the CAA  If yes, explain the overlap and the established and documented procedures to ensure proper delineation of authority and responsibility among the entities.  (B) Is there a conflict of interest, a perceived conflict of interest, or a potential for conflict of interest among the various civil aviation entities?  If yes, explain the established and documented procedures to mitigate conflict of interest issues.  Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response	2.019	A) When there is more than one authority (organization) with functions related to safety oversight or aircraft accident and incident investigation, have procedures been established to ensure that all areas are covered and that there is no overlap of responsibilities?  B) Has the State established and implemented mechanisms to avoid perceived or potential conflict of interest of inspectorate staff	1) Verify if State has identified one specific authority responsible for coordination of all ICAO-related matters. 2) Review the system in place to identify any area for which there may be overlaps. 3) Identify if tasks related to safety oversight or accident/incident investigation have not been assigned to any entity. 4) Review mechanisms in place. 5) In cases where the CAA has inspectors seconded from a service provider in the State, review the formal arrangements established and implemented to either: a) exclude the seconded personnel from performing safety oversight functions on the service provider that employs them; or b) effectively mitigate the risk of perceived or potential conflict of interest.  4) Verify in all audit areas: PEL, OPS, AIR. For AIG, this question is in regards to the organization structure of the accident investigation authority.
2.051	YES	3	Has the State established and implemented a mechanism to ensure that each safety oversight	STD A19 Appendix 1, 3.1	3.202 3.301	3.202 Does the CAA have sufficient financial resources available for recruiting technical staff?	2.051	(A) Has the State established and implemented a mechanism to ensure that the CAA has sufficient financial resources to meet its national and	1) Review mechanisms to fund the authorities (e.g. State budget, fees and charges). 2) Review mechanisms to determine budget



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			authority has sufficient financial resources to meet its national and international obligations?	3.2.3.1 GM Doc 9734 Part A, C3, C2, 2.3.1.c) C2, 2.4.4 C3, 3.3		If no, how does the CAA fulfill its technical responsibilities?  3.301 (A) What financial resources are available to the CAA to fulfill its staffing, training/qualifications, licensing, certification, authorization and approval, and continuing surveillance obligations?  (B) Describe the extent of the CAA's control of the income it generates.		international obligations?  (B) Describe the extent of the CAA's control of the income it generates.	needs. 3) Review actual budget allocated. 4) Verify that sufficient financial resources are available for: a) Development of regulations, procedures and other guidance material; b) Training; c) Surveillance activities; and d) Resolution of safety deficiencies. 5) Verify in the following audit areas: PEL, OPS, AIR
2.053		3	Has the State established a mechanism to ensure that each safety oversight authority has sufficient personnel to meet its national and international obligations?	STD A19 Appendix 1, 3.1 3.2.3.1 GM Doc 9734 Part A, C3, C2, 2.3.1.c) C3, 3.3.1 C3, 3.3.2.1	3.201	Does the CAA use a methodology to determine its inspector staffing requirements?	2.053	Has the State established a mechanism to ensure that the CAA has sufficient personnel to meet its national and international obligations?	Verify: 1) Methodology to identify staff needs for all specialties. 2) The process to establish and fill the required posts initially and on an ongoing basis. 3) State's ability to accomplish all required activities, including: a) Development of regulations, procedures and other guidance material; b) Training; c) Surveillance activities; and d) Resolution of safety deficiencies.  Notes to the auditor: 1) The implementation of this mechanism is addressed by the following PQs: PEL 3.109; OPS 4.025; AIR 5.033; AIR 5.473;
2.101	YES	4	Does each safety oversight entity/investigation authority have an active role in the selection and recruitment of sufficiently qualified and experienced technical personnel?	STD A19 3.2.4 GM Doc 9734 Part A, C3, 3.4.1.3	3.204	What is the role of the CAA in the selection process and recruitment of technical staff?	2.101	Does the CAA have an active role in the selection and recruitment of sufficiently qualified and experienced technical personnel?	Verify: 1) That competency requirements are established by the CAA, if applicable, responsible for each technical and managerial post. 2) Active participation of the CAA, if applicable, in the recruitment and the selection of prospective personnel. 3) Each audit area as applicable: PEL, OPS, AIR

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2.103		3	Is each safety oversight entity/investigation authority able to attract, recruit and retain sufficiently qualified/experienced technical personnel?	STD A19 3.2.3.1 Appendix 1, 3.3 GM Doc 9734 Part A, C3, 3.3.2.1 C3, 3.3.2.4 Doc 8335,Pt I, 5.3,1	3.205 3.206	3.205 Do employment conditions within the CAA allow for the retention of adequately qualified and experienced technical staff?  If yes, what is the approximate average length of time in service for CAA technical personnel and how often does the CAA recruit technically qualified personnel?  3.206 How does the CAA technical staff's remuneration and conditions of service compare to that of comparable personnel in industry?	2.103	Is the CAA able to attract, recruit and retain sufficiently qualified/experienced technical personnel?	1) Review rates of vacancy and of turnover for the personnel of the CAA. 2) Verify ability to offer competitive terms of employment and compensation packages. 3) What is the approximate average length of time in service for CAA technical personnel and how often does the CAA recruit technically qualified personnel? 4) How does the CAA technical staff's remuneration and conditions of service compare to that of comparable personnel in industry? 5)Verify in each audit area as applicable: PEL, OPS, AIR
2.105		4	Has each safety oversight entity/investigation authority established a training policy for technical personnel?	STD A19 3.2.4, Appendix 1, Section 4. GM Doc 9734, Part A, C3, 3.4.2 Doc 8335, Pt I, 6.3; (pag 43 training) Doc 9760, Pt II, 4.5.5 & 4.5.6	4.001 4.002 4.003 4.004	4.001 Does the Civil Aviation Authority (CAA) operate a training center to satisfy its need for qualified and trained personnel?  If yes, describe what training programmes are delivered. (Note: include location, courses, personnel trained, etc.)  4.002 If the CAA does not have a training center, describe how and where training is provided to inspectors and technical personnel?  4.003 Does the CAA authorize foreign training centers to provide approved training to its inspectors?  If yes, describe how the CAA approves the training provided.  4.004 Has the CAA established a method for verifying the quality of training received by its inspectors and technical personnel in foreign training centers?  If yes, describe how the CAA verifies the quality of the training provided.	2.105	Has the CAA established a training policy for technical personnel?	1) Review that a documented training policy is established at the management level of the authority. 2) Verify that the training policy commits to providing training to all technical personnel in all areas, including: a) initial (basic) training; b) on-the-job training (OJT); c) recurrent specialized/advanced training. 3) The training policy should require the establishment of a training programme for each technical staff position and training of each technical staff member. 4) Does the CAA operate its own training center? or use an external training center? 5) Verify how the CAA approves the training provided. 6) How the CAA verifies the quality of the training provided.

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2.205		5	Are appropriate facilities available to the personnel of each safety oversight entity?	STD A19 3.2.5 Appendix 1, 5.1 GM Doc 9734 Part A, C3, 3.5 Doc 9379, Pt I, 2.7	3.304	Indicate the following support available to the CAA's staff to accomplish certification and continued surveillance activities:  Adequate facilities for personnel Photocopiers Computers Internet Access Printing facilities Adequate telephones	2.205	Are appropriate facilities and equipment available to the personnel of the CAA?	1) Assess adequacy of facilities for the personnel for the performance of duties and responsibilities for each safety oversight entity: Adequate facilities for personnel Photocopiers Computers Internet Access Printing facilities Adequate telephones 2) Verify in the following audit areas: PEL, OPS, AIR
2.207		5	Are appropriate equipment and transportation available to the personnel of each safety oversight entity?	STD A19 3.2.5 Appendix 1, 5.1 GM Doc 9734, Part A, C3, 3.5 Doc 9760, Pt II, 4.1, 4.1.2	3.302	Describe the various modes of travel/transportation available to inspectors to perform their functions.	2.207	Is appropriate transportation available to the personnel of the CAA to perform their functions?	1) Assess whether relevant personnel has access to adequate transportation to perform their duties. 2) Confirm the information above with the following audit areas: PEL, OPS, AIR