



ICAO

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

INFORMATION PAPER

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**Fifth North American, Central American and Caribbean Directors of Civil Aviation Meeting
(NACC/DCA/5)**

Port-of-Spain, Trinidad and Tobago, 28 to 30 April 2014

Agenda Item 4: Aviation Safety

4.1 Regional Analysis of the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Results

EXPERIENCES OF CENTRAL AMERICA IN REGARDS TO CONTINUOUS MONITORING APPROACH (CMA)

(Presented by COCESNA)

EXECUTIVE SUMMARY

The purpose of this information paper is presenting experiences attained in the Central American Region in terms of audit exercises of **Coordinated Validation Missions (ICVM)** conducted by **ICAO**, under the new **CMA** methodology in the region, and how this experience is translated in the adoption of best practices of safety management, while showing how the experience of these visits may be harnessed.

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| <i>Strategic Objectives:</i> | • Safety |
| <i>References:</i> | • USOAP /CMA Programme |

1. Introduction

1.1 Since the launch of the **Universal Safety Oversight Programme (USOAP)** in 1999, the **Central American States** works to improve those aspects addressed by the audits, in the pursuit of reducing the weaknesses as found by that **ICAO** programme in those years –most of them related to safety monitoring capacity around the world- several efforts were made as a result of those efforts in the first decade, a reduction in the lack of compliance indicators (**Lack of Effective Implementation**) could be noticed, and the regional indicators reached 40% in LEI as could be noticed in all States of the Region by the end of 2008.

1.2 The evolution of **USOAP** to a **Continuous Monitoring Approach CMA** model, and the development of new audit tools were made available to the States in 2012-2013. **COCESNA** member States saw the first implementation exercises of such tools during those years since our States showed some progress in the preparation of their action plans, according to **ICAO**.

1.3 The experience gained in the preparation and hosting of visits of **Coordinated Validation Missions (ICVM)** and the results obtained by this region encourages us to share it with the rest of the NACC member States in this **Fifth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation**.

1.4 **COCESNA** is aware that there is still work to be done, but confident that the work carried through coordinated and joint efforts between the member States shall benefit the development of their own work plans resulting from the visits they had and shall have in the future.

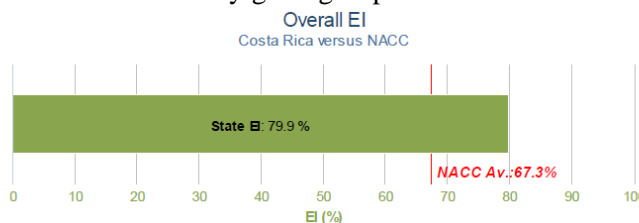
1.5 In this regard, the methodology used by **COCESNA/ACSA** in terms not only of audit processes, but also maintaining a continuous improvement, becomes definitely an added value to safety management as detailed below:

- a. Prior ICVM preparation and Implementation process ;
- b. Effective participation during the audit processes;
- c. Follow up of Action Plans.

2 Development

2.1 ICAO USOAP audits under the new CMA approach began in the Central American region with the evaluation of Costa Rica in February 2012. For this visit, **COCESNA/ACSA** and the DGCA of Costa Rica began a preparation process prior to the audit, which allowed the results obtained by the State to be satisfactory.

2.2 The results as obtained by Costa Rica made possible to have 79.9% of implementation in the State. The goal was to achieve the same levels of compliance that other States with similar or even higher aeronautical activity. The final result was successful by getting implementation level as indicated above placing Costa Rica in a most favourable compliance status, compared to the States of Chile and Panama.

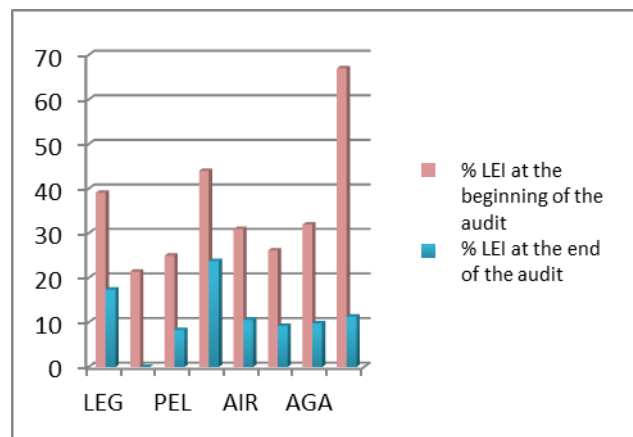


2.3 The work conducted by the State of Costa Rica covers a large amount of man-hours due to the complexity of air operations and the activities that economic growth brings about. It shall be highlighted that despite the significant work of the State, the financial effort to obtain these results was practically minimum thanks to the support of **ICAO NACC** and **COCESNA/ACSA** as direct consultants.

2.4 Another equally important experience to share is the contribution in the development of regulations and documentation to support the implementation of rules, which is crucial for the ICVM. This development contributed to demonstrate the ability to adopt international norms and adapt them to the regional needs. The lesson learned is that the timely implementation of the “**filling**” process of the forms reporting differences to **ICAO Annexes** through the iStars system is critical, as it allows foreseeing the focus area.

2.5 The work conducted in Honduras is defined by proactivity in terms of safety. The State and ACSA carried out train sessions to technical staff in the new ICAO audit programme. To attain the goal, in February 2012, a workshop aimed to show **ICAO Continuous Monitoring Approach (CMA)** was conducted, which included the new online tools that have been implemented. This training bear fruits by using the acquired knowledge during the missions in 2012. This is how the objective of reducing the levels of effective implementation by 15 percentage points as shown in the Figure was outlined. When analysing the results achieved by means of the assistance and the efforts made by the DGCA in Honduras compared to the goals defined at the beginning of this assistance project, it may be concluded that the process developed in Honduras between the DGCA and COCESNA/ACSA was successful (70.49% of EI). The percentage of lack of effective implementation (LEI) was reduced to the regional average (it was reduced at least 20 percentage points), which means that Honduras has improved significantly the level of compliance with international standards.

2.6 The recently concluded **ICVM** visit to the State of Belize gets the experience obtained in other COCESNA member States. In this respect, the visit to Belize allows ICAO to determine that the State has reached significant effective implementation levels (87.9% EI). This is a great satisfaction for COCESNA/ACSA in order to achieve the objectives of improving the levels of compliance and implementation of SARPS.



2.7 Through the experience obtained in the assistance to COCESNA/ACSA member States and the analysis of the obtained results, with due respect, we would like to transmit some general aspects that we would recommend the States to observe during their preparation for the visits; they are set out in the Conclusions paragraph.

3 Conclusion and Recommendations

3.1 The State which in turn provides services (ATC, AIS, MET, AGA, etc.) and does not have implementation rules or procedures should address and implement such deficiency during the early stages of the preparations for the visits.

3.2 The procedures for the implementation of SARPS within the national standards system should be the result of an analysis of applicability for the type and size of industry in the State. This analysis should be carried out early in the preparations for the visit.

3.3 The report of differences with the SARPS is a process that should be dealt with at early stages during the preparations and put into practice once the ICVM process is completed.

3.4 The experience gained by the **member States** and **COCESNA/ACSA** in this process may be transferred from one State to another. The transfer of experience allows the improvement of **safety management** as it has been shown over the years in the Central American region.

3.5 The elements developed such as rules and procedures become dead letter if they are not put into practice. The implementation of regulations based on observations is not always an easy task because the adopted rules are not “own” yet. An analysis of the available rules/procedures and the adequacy of the procedures to the actual condition of the State.

3.6 The system of technical assistance provided by **ICAO** through **NACC** has been definitely decisive in the region for the achievement of the objectives set forth in this **Informative Paper**. It is recommended to States to draw on this important service provided by the Regional Office located in Mexico.

3.7 Each contracting State presents its own characteristics; therefore, it has its own needs to be satisfied. In this regard, the experience gained allows **COCESNA/ACSA** to offer its services leveraging the needs of the States concerned and providing effective solutions to approach them.

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