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(NACC/DCA/5)**

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Agenda Item 4: Aviation Safety
4.1 Regional Analysis of the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Results

REGIONAL ANALYSIS OF THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) RESULTS

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
This working paper presents a summary of the ICAO Universal Safety Oversight Audit Programme a Continuous Monitoring Approach (USOAP-CMA). activities Additionally, it presents updated information on the lack of Effective Implementation (EI) for the NAM/CAR States.	
Action:	See Section 3
<i>Strategic Objective:</i>	<ul style="list-style-type: none">• Safety
<i>References:</i>	<ul style="list-style-type: none">• Annex 19 - <i>Safety Management</i>• Doc 9958 - <i>Assembly Resolutions in Force (as of 8 October 2010)</i>.• Doc 9734 - <i>Safety Oversight Manual, Part A - The Establishment and Management of a State's Safety Oversight System</i>• Doc 9735 - <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>• Electronic Bulletin EB 2012/63 - <i>Implementation of the ICAO Universal Safety Oversight Audit Programme — Activity Plan</i>• Electronic Bulletin EB 2012/68 - <i>Full Launch of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach as of 1 January 2013</i>

1. Introduction

1.1 Safety oversight is defined as a function by which States ensure that safety-related Standards and Recommended Practices (SARPs) and associated procedures contained in the Annexes to the Convention on International Civil Aviation and related ICAO documents are effectively implemented. Safety oversight also ensures that national aviation provides a safety level equal to or better than that defined by the SARPs.

1.2 A contracting State's responsibilities under the Convention and its Annexes includes:

- licensing of operational personnel
- certification of aircraft, air operators, and aerodromes
- control and supervision of licensed personnel, certified products, and approved organizations
- provision of air navigation services (inclusive of meteorological services, aeronautical telecommunications, search and rescue services, charts, and information distribution)
- aircraft accident and incident investigation

1.3 In accordance with ICAO Assembly Resolution A37-5, ICAO and Member States have evolved from the USOAP to the CMA activities representative of the priority safety performance of States shared with other ICAO Member States and the traveling public in a continuous manner.

1.4 The USOAM CMA Activity plan includes audits under the Comprehensive Systems Approach (CSA), ICAO Coordinated Validation Missions (ICVM) and regional seminars. The Activity Plan and related updates are published every six months on the CMA online system: <http://www.icao.int/usoap>. States may request a cost-recovery mission.

1.5 ICAO USOAP-CMA identifies deficiencies and provides a vehicle for States to develop and implement corrective actions in order to improve their oversight safety system, which should result in lower risk exposure. The CMA approach came into force on 1 January 2013, representing a flexible method to identify long term safety deficiencies that is sustainable at a cost-benefit level, which evaluates associated risks and develops assistance strategies.

2. Discussion

2.1 States of the NAM/CAR Regions have signed the new Memorandum of Understanding (MoU) with ICAO and have designated their National Continuous Monitoring Coordinator (NCCM).

2.2 In accordance with the USOAP-CMA activities programme, ICVM missions have been completed in the CAR Region as follows: Bahamas (May - June 2011); Costa Rica (February 2012); Mexico (May 2012); Honduras (November 2012); Jamaica (December 2012); Organization of Eastern Caribbean States (OECS) (20 February - 1 March 2013); Barbados (17-23 April 2013); Bahamas (11-17 December 2013) and Belize (4-11 February 2014). A CSA audit was completed in Haiti in December 2012. The ICVM for Guatemala originally scheduled has been postponed. The activity plan will be provided accordingly.

2.3 Teams consisting of CMO Section personnel from ICAO Headquarters and ICAO NACC Regional Officers participate in all activities. The “*Agencia Centroamericana de Seguridad Aerea de COCESNA*”(ACSA) participation also provided significant support to Belize, Costa Rica, Guatemala and Honduras for their respective ICVMs.

2.4 Since 2011, the ICAO NACC Regional Office has organized Regional Seminars/Workshops for the NAM/CAR Regions on CMA implementation and in Mexico City, Mexico, (12 - 16 September 2011); San José, Costa Rica,(28 February – 2 March 2012); Antigua and Barbuda, (July 2012); and in Mexico City, Mexico, (14 -16 May 2013); the electronic tools of the new USOAP-CMA on-line framework, which can be accessed at <http://www.icao.int/usoap>.

2.5 For 2014, a Safety Oversight Air Navigation Services (ANS) Seminar has been scheduled to be held at the ICAO NACC Regional Office, Mexico City, Mexico, 12 - 16 May 2014. The purpose of this activity is to provide participants with an understanding of the fundamental principles underlying ANS safety oversight activities in accordance with ICAO Annex19 provisions. **Appendix A** shows the Critical Elements (CEs) that conform the State safety oversight system.

2.6 Since 1 January 2013, updating Corrective Action Plans (CAPs) has been available on-line through the CMA framework. CMA electronic tools have been redesigned and are available in “real time” through the CMA-USOAP online framework. Some services and functions of the Integrated Safety Trend Analysis and Reporting System (ISTARS) related to CMA activities were deactivated because of their migration to the new CMA online framework (OLF). Protocol Question (PQ) guidance can be found under “*Tutorials & Help*” at <http://www.icao.int/usoap>.

2.7 In accordance with the new requirement established in Annex 19, paragraph 3.2, it has been noted that not all States have established a satisfactory safety oversight system. **Appendix B** shows EI information for States of the NAM/CAR Regions. According to Assembly Resolution A37-5, Clause 5, is currently published on the ICAO website (<http://www.icao.int/safety/Pages/USOAP-Results.aspx>) .

2.8 To ensure that the State’s system is appropriate to the level and scope of their aviation activity, each of these obligations will require consideration of the Critical Elements (CEs) of a safety oversight system, including the State policy to systematically manage safety-critical pressures, dependencies and conflicts affecting the aeronautical community. Ensuring that these responsibilities are met in the most effective manner is fundamental to the health of aircraft operations across borders and throughout the world.

2.9 The regional average of was raised due to improvements in the safety oversight system achieved by States that received an ICVM. ICAO NACC Regional Office has provided assistance to States in order to develop their CAPs through OLF. The EI associated with Critical Element Four (CE4), *Qualifications and Training of Technical Staff*, is the top issue affecting the EI percentage. Analysis of the graphics shows the main areas needing improvement.

ORG: Reorganization/structure of the Civil Aviation Authority (CAA) in accordance with the needs, lack of inspectors and a calculation method of the staff needed

ANS: Lack of regulations and procedures, staff, Safety Management System (SMS) and training

AGA: Lack of inspectors, procedures, certification, SMS and training

AIG: Lack of autonomy, protection regulations to the Accident investigation and prevention (AIG) data and procedures

Regional Safety Oversight Organizations (RSOOs)

2.10 It is clear that accident and incident investigation resources from States vary significantly, and there is an overall understanding that the establishment of regional investigation systems would be of great benefit to the region.

2.11 RSOOs can assist Member States with implementation of State Safety Programmes (SSPs) and incident and accident investigation. A clear benefit can be found with economic savings.

2.12 Establishment of a regional/sub-regional safety oversight organization offers a significant value in terms of capability and self-sufficiency in the long-term based on cost-benefit analysis. States should analyze and clearly define the roles and functions among State national systems and the RSOO.

2.13 Considering Central American States experience with ACSA assistance, other States could identify common improvement opportunities with USOAP-CMA, strengths and weaknesses reviews, as well as trends and resources in order to agree on other sustainable activities.

3. Suggested Action

3.1 The Meeting is invited to urge States to:

- a) take note of the USOAP-CMA Activity Plan events carried out in the NAM/CAR Regions;
- b) support on achievement of ICAO USOAP-CMA activities;
- c) take appropriate actions to develop a Corrective Action Plan (CAP) through the online framework (<http://www.icao.int/usoap>) as described in paragraph 2.4; and
- d) take other actions as necessary.

INITIAL PROPOSAL 18

APPENDIX 1. STATE SAFETY OVERSIGHT SYSTEM

(See Chapter 3, 3.2)

Note 1.— Guidance on the critical elements of a system that enables a State to discharge its responsibility for safety oversight is contained in the Safety Oversight Manual, Part A, The Establishment and Management of a State’s Safety Oversight System (ICAO Doc 9734).

Note 2.— The term “relevant authorities or agencies” is used in a generic sense to include all authorities with aviation safety oversight responsibility which may be established by the State as separate entities, such as: Civil Aviation Authorities, Airport Authorities, Air Traffic Services Authorities, Accident Investigation Authority, and Meteorological Authority.

Note 3.— See Appendix 5 to Annex 6, Part I and Appendix 1 to Annex 6, Part III for provisions specific to the safety oversight of air operators.

Note 4.— Within the context of this appendix the term “service provider” refers to those organizations listed in Chapter 3, 3.1.3.

1. Primary aviation legislation

1.1 The State shall promulgate a comprehensive and effective aviation law, consistent with the size and complexity of the State’s aviation activity and with the requirements contained in the Convention on International Civil Aviation, that enables the State to regulate civil aviation and enforce regulations through the relevant authorities or agencies established for that purpose.

1.2 The aviation law shall provide personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel and associated records, as applicable, of service providers.

2. Specific operating regulations

The State shall promulgate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures in conformity with the Annexes to the Convention on International Civil Aviation.

Note.— The term “regulations” is used in a generic sense and includes but is not limited to instructions, rules, edicts, directives, sets of laws, requirements, policies, and orders.

3. State system and functions

3.1 The State shall establish relevant authorities or agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources. Each State authority or agency shall have stated safety functions and objectives to fulfil its safety management responsibilities.

3.2 **Recommendation.**— *The State should take necessary measures, such as remuneration and conditions of service, to ensure that qualified personnel performing safety oversight functions are recruited and retained.*

3.3 The State shall ensure that inspectors are provided with guidance that addresses ethics, personal conduct and the avoidance of actual or perceived conflicts of interest in the performance of official duties.

3.4 **Recommendation.**— *The State should use a methodology to determine its staffing requirements for personnel performing safety oversight functions, taking into account the size and complexity of the aviation activities in that State.*

Note.— *In addition, Appendix 5 to Annex 6, Part I, and Appendix 1 to Annex 6, Part III, require the State of the Operator to use such a methodology to determine its inspector staffing requirements. Inspectors are a subset of personnel performing safety oversight functions.*

4. Qualified technical personnel

4.1 The State shall establish minimum qualification requirements for the technical personnel performing safety oversight functions and provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level.

4.2 The State shall implement a system for the maintenance of training records.

5. Technical guidance, tools and provision of safety-critical information

5.1 The State shall provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner.

5.2 The State shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

6. Licensing, certification, authorization and/or approval obligations

The State shall implement documented processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization and/or approval to conduct the relevant aviation activity.

7. Surveillance obligations

The State shall implement documented surveillance processes, by defining and planning inspections, audits, and monitoring activities on a continuous basis, to proactively assure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

8. Resolution of safety issues

8.1 The State shall use a documented process to take appropriate corrective actions, up to and including enforcement measures, to resolve identified safety issues.

8.2 The State shall ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by service providers in resolving such issues.

APPENDIX / APÉNDICE B

LEI BY STATE / LEI POR ESTADO

1. Total: Total Number of PQs.
2. S: Total Number of Satisfactory PQs.
3. NS: Total Number of Not Satisfactory PQs.
4. NA: Total Number of Not Applicable PQs.
5. UDT: Total Number of Undetermined PQs.

State Name	Total	S	NS	NA	UDT	LEI %
Antigua and Barbuda	1016	420	359	145	92	46.08
Antigua and Barbuda	975	448	368	159	0	45.10
Bahamas (the)	1016	345	409	170	92	54.24
Bahamas (the)	975	358	429	188	0	54.51
Barbados	975	428	356	191	0	45.41
Barbados	1016	410	345	169	92	45.70
Belize	1016	503	283	138	92	36.01
Belize	975	529	290	156	0	35.41
Canada	975	894	45	36	0	4.79
Canada	1016	857	42	25	92	4.67
Costa Rica	1016	624	157	143	92	20.10
Costa Rica	975	660	158	157	0	19.32
Cuba	1016	697	107	120	92	13.31
Cuba	975	731	108	136	0	12.87
Dominican Republic (the)	975	716	110	149	0	13.32
Dominican Republic (the)	1016	680	109	135	92	13.81
El Salvador	975	565	247	163	0	30.42
El Salvador	1016	536	242	146	92	31.11
Grenada	975	448	368	159	0	45.10
Grenada	1016	420	359	145	92	46.08
Guatemala	975	636	188	151	0	22.82
Guatemala	1016	611	182	131	92	22.95
Haiti	975	45	754	176	0	94.37
Haiti	1016	44	720	160	92	94.24
Honduras	1016	547	229	148	92	29.51
Honduras	975	570	236	169	0	29.28
Jamaica	1016	529	260	135	92	32.95
Jamaica	975	558	263	154	0	32.03
Mexico	975	735	133	107	0	15.32
Mexico	1016	708	125	91	92	15.01
Nicaragua	1016	709	61	154	92	7.92
Nicaragua	975	742	59	174	0	7.37
Saint Kitts and Nevis	1016	420	359	145	92	46.08
Saint Kitts and Nevis	975	448	368	159	0	45.10
Saint Lucia	1016	420	359	145	92	46.08
Saint Lucia	975	448	368	159	0	45.10
Saint Vincent and the Grenadines	1016	420	359	145	92	46.08
Saint Vincent and the Grenadines	975	448	368	159	0	45.10
Trinidad and Tobago	1016	574	202	148	92	26.03
Trinidad and Tobago	975	604	205	166	0	25.34
United States of America (the)	975	844	82	49	0	8.86
United States of America (the)	1016	813	77	34	92	8.65

