![ICAO logo] **ICAO** International Civil Aviation Organization
North American, Central American and Caribbean Office

Third Regional Meeting for National Continuous Monitoring Coordinators

NCMC/3

Final Report

Mexico City, Mexico, 13 – 15 November 2018

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HISTORICAL

ii.1   Place and Date of the Meeting

The Third Regional Meeting for National Continuous Monitoring Coordinators (NCMC/3) was held at the International Civil Aviation Organization (ICAO) North American, Central American and Caribbean (NACC) Regional Office in Mexico City, Mexico, from 13 to 15 November 2018.

ii.2   Opening Ceremony

Mr. Julio Siu, Deputy Regional Director of the ICAO NACC Regional Office and Mr. Ismarck Delgado, National Continuous Monitoring Coordinator, Nicaragua, NCMC Rapporteur, provided opening remarks. Mr. Siu officially opened the meeting.

ii.3   Officers of the Meeting

The NCMC/3 Meeting was held with the participation of Mr. Ismarck Delgado, National Continuous Monitoring Coordinator, Nicaragua, Rapporteur of the NAM/CAR/NCMC/WG; Mr. Luis Sánchez, Regional Officer, Aeronautical Meteorology and Environment of the ICAO NACC Regional Office served as Secretary of the Meeting.

ii.4   Working Languages

The working languages of the Meeting were English and Spanish. The working papers, information papers and report of the meeting were available to participants in both languages.

ii.5   Schedule and Working Arrangements

It was agreed that the working hours for the sessions of the meeting would be from 08:30 to 16:00 hours daily with adequate breaks. Ad hoc Groups were created during the Meeting to do further work on specific items of the Agenda.

ii.6 **Agenda**

Agenda Item 1: **Review of the Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2) follow-up actions**

Agenda Item 2: **Overview and updates of the Universal Safety Oversight Audit Programme - Continuous Monitoring Approach (USOAP-CMA)**

Agenda Item 3: **Systemic Assistance Programme (SAP)**

Agenda Item 4: **Analysis of the Effective Implementation (EI) of States Safety Oversight Systems**

Agenda Item 5: **Other Business**

ii.7 **Attendance**

The Meeting was attended by 13 States/Territories from the North America, Central America and Caribbean (NAM/CAR) Regions, totalling 20 delegates, as indicated in the list of participants.

ii.8 **Draft Conclusions and Decisions**

The Meeting recorded its activities as Draft Conclusions and Decisions as follows:

**DRAFT
CONCLUSIONS:** Activities requiring endorsement by the Directors of Civil Aviation of North America, Central America and Caribbean (NACC/DCA).

DECISIONS: Internal activities of the NAM/CAR Regional National Continuous Monitoring Coordinators (NCMCs).

An executive summary of these Conclusions and/or Decisions is presented in **Appendix A** to this report. Under the same Appendix A, Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2) follow-up actions are also included.

ii.9   **List of Draft Conclusions**

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C/1	*USOAP Simulated audits through self-assessment and peer-assessment*	2-1
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C/7	*Roles and responsibilities of the NCMC*	4-4

ii.10   **List of Decisions**

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D/4	*List of the States' NCMCs*	3-2
D/5	*Logical framework for the NAM/CAR/NCMC/WG's work programme*	3-3

ii.11   **List of Working Papers and Information Papers and Presentations**

Refer to the Meeting web page:
https://www.icao.int/NACC/Pages/meetings-2018-ncm3.aspx

		WORKING PAPERS		
Number	**Agenda Item**	**Title**	**Date**	**Prepared and Presented by**
WP/01	1	Provisional Agenda and Schedule of the Third Regional Meeting for National Continuous Monitoring Coordinators	07/11/18	Secretariat
WP/02	1	Follow-Up on Valid Conclusions and Decisions from NCMC/2 and NACC/DCA/8	07/11/18	Secretariat
WP/03	2	Thirteenth Air Navigation Conference Recommendations (AN-Conf/13)	08/11/18	Secretariat
WP/04	2	USOAP Simulated audits through self-assessment and peer-assessment	09/11/18	Canada
WP/05	3	NACC Regional Agreements	12/11/18	Secretariat
WP/06	2	Development of the USOAP-CMA and Other Relevant Aspects	09/11/18	Secretariat
WP/07	4	(NAM/CAR/NCMC/WG) Terms of Reference	12/11/18	Secretariat

INFORMATION PAPERS

Number	Agenda Item	Title	Date	Prepared and Presented by
IP/01	----	List of Working Papers, Information Papers and Presentations	12/11/18	Secretariat
IP/02	4	Canada's Participation in a Global Aviation Safety Oversight System (GASOS) Trial Assessment	19/10/18	Canada

PRESENTATIONS

Number	Agenda Item	Title	Date
1	3	ICAO NACC Systemic Assistance Programme	Secretariat
2	2	State Safety Programmes (SSP) Implementation Assessments under USOAP CMA NACC SSP Implementation Strategy	Secretariat
3	2	Considerations for SARPs Implementation and Improvement of the State's Safety Oversight System	Secretariat
4	4	Estado Actual del Sistema de Vigilancia de la Seguridad Operacional de Costa Rica (*available only in Spanish*)	Costa Rica
5	4	Current Status of Bahamas Safety Oversight system	Bahamas
6	4	Current Status of Curaçao Safety Oversight system	Netherlands
7	4	Current Status of Canada Safety Oversight system	Canada
8	4	Current Status of United States of America Safety Oversight system	United States
9	4	Highlights of Issues Aerodromes and ground aids (AGA) Area	Secretariat
10	4	Estado Actual del Sistema de Vigilancia de la Seguridad Operacional de Nicaragua (*available only in Spanish*)	Nicaragua
11	4	Estado Actual del Sistema de Vigilancia de la Seguridad Operacional de El Salvador (*available only in Spanish*)	El Salvador

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Agenda Item 1   **Review of the Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2) Follow-Up Actions**

1.1   The Secretariat presented WP/01, inviting the Meeting to approve the Provisional Agenda, work methodology and schedule. The Meeting approved the agenda, work methodology and schedule as presented in the Historical section of this report.

1.2   The Secretariat presented WP/02, which is a follow-up to the valid Conclusions and Decisions of the Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2). Through the analysis of this working paper, the participating States informed the Meeting about the activities carried out and determined the status of each follow-up action as valid, completed or superseeded, as indicated in Appendix A of the report. This Appendix also includes the executive summary of Conclusions/Decisions from this NCMC/3 Meeting.

1.3   In regards to the Eighth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/08), the Meeting noted Conclusions 8/3, 8/4, 8/5, 8/6, including relevant tasks into its activity plan and welcomed Conclusion 8/11 related to the State papers for the 40th Session of the ICAO Assembly.

Agenda Item 2   **Overview and updates of the Universal Safety Oversight Audit Programme - Continuous Monitoring Approach (USOAP-CMA)**

2.1   Under WP/03, the Secretariat presented the recent Recommendations resulting from the Thirteenth Air Navigation Conference (AN-Conf/13), explaining the organization and work of the Conference, and analysing the discussions of the Safety Committee (Committee B), especially those discussions related to Agenda Items 6, 7 and 8.

2.2   Under the same working paper, the Meeting analysed the results presented by the Group of Experts for a USOAP-CMA Structured Review (GEUSR), noting the 37 Recommendations approved by the ICAO Council and the improvement proposals on the methodology, the processes and tools that will be presented as part of the evolution of the USOAP-CMA to the 40th Session of the ICAO Assembly.

2.3   Under WP/04, Canada presented the development of the simulated audits of the USOAP-CMA through self-assessment and peer evaluation, as a positive experience and a good practice, taking advantage of the cooperation with the States in the Region and requested the Meeting, to consider the use of the mechanism among NACC States in preparation for any USOAP activity, or even to increase the understanding of the Protocol Questions (PQs), their reference material or the development of more realistic self-assessments. Therefore, the following Draft Conclusion was formulated:

DRAFT CONCLUSION NCMC/3/1	USOAP SIMULATED AUDITS THROUGH SELF-ASSESSMENT AND PEER-ASSESSMENT	
What: That States finalize and keep the self-assessment updated by **November 2019**, under the USOAP-CMA principles, and to consider the use of simulated audits and peer-assessment as a mechanism to establish and manage an effective and sustainable State safety oversight system.		**Expected impact:** ☐ Political / Global ☒ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical
Why: Due to the need to finalize and keep the self- assessments of the States updated.		
When: November 2019	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☒ States ☐ ICAO ☐ Other:		

2.4   Under WP/06, the Secretariat made reference to the establishment and implementation of procedures to identify and notify differences to ICAO, and invited the Meeting to take note of the first edition 2018 of Doc 10055 *Manual on Notification and Publication of Differences*, as an unedited version not approved yet in final form, and invited the participating States to analyse the document and formulate actions to improve Effective Implementation (EI) in the Region.

DRAFT CONCLUSION NCMC/3/2	IDENTIFICATION AND NOTIFICATION OF DIFFERENCES TO ICAO	
What: That, in order to enhance regional compliance with the implementation of ICAO Standards and Recommended Practices (SARPs), States analyse their implemented procedures to identify and notify differences to ICAO, and attend a teleconference led by The Netherlands in **February 2019** to present these procedures and share best practices with other States in the Region.	**Expected impact:** ☐ Political / Global ☒ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical	
Why: It is needed to increase the Regional compliance with the implementation of ICAO Standards and Recommended Practices (SARPs).		
When: February 2019	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☒ States ☐ ICAO ☒ Other: The Netherlands		

2.5   In the same Working Paper WP/06, the Secretariat informed the Meeting about the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) On-line Framework (OLF) Workshop for the NAM/CAR Regions, which will take place at the ICAO NACC Regional Office, from 5 to 7 February 2019, to provide States with updated information on the USOAP-CMA and to offer practical training on the tools of the CMA Online Framework (OLF). States were invited to actively support the workshop by motivating the participation of the USOAP-CMA related personnel in each State.

2.6   The Meeting noted the Third Edition of ICAO Doc 9734 *Safety Oversight Manual*, Part A – *The Establishment and Management of a State Safety Oversight System*, as well as of the 2020-2022 draft edition of the Global Aviation Safety Plan (GASP, Doc 10004), announced during the AN-Conf/13.

2.7   Under P/02, the Secretariat informed the Meeting about the launch of the State Safety Program (SSP) implementation assessments, as part of the USOAP-CMA and the NACC Regional Office Strategy for the Implementation of the SSP, approved by the Eighth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/08). The Meeting analysed the proposed phases for implementation and discussed the amended PQs related to SSP.

2.8   When presenting the SSP Regional implementation strategy, the Secretariat emphasised the need for the NCMC to familiarize with the SSP assessment system and identify its role to facilitate the phases-focused support:

- All NAM/CAR States: continue building up a mature Safety Services Office (SSO);
- States with SSP Foundation Index > 95%: Complete SSP Implementation by 2020;
- States with SSP Foundation Index > 85%: Complete SSP implementation by 2021;
- States with SSP Foundation Index > 75%: Complete SSP Implementation by 2022;
- States with SSP Foundation Index > 60%: Complete SSP Implementation by 2023; and
- States that can be considered as Champion to support other States in the implementation of the phases or components that have already been implemented.

2.9   Under P/03, the Secretariat presented the considerations for the implementation of the SARPs and the improvement of the State Safety Oversight System; during the presentation, the Strategic Objectives of ICAO were discussed, emphasising the relation that should exist with the State performance objectives in its Master Plan. While addressing the issue of the State system and functions, the Meeting highlighted the need to explore the different State mechanisms used to ensure sufficient and qualified personnel to fulfil safety-related functions and formulated the following:

DRAFT CONCLUSION NCMC/3/3	METHODOLOGIES FOR THE DETERMINATION OF THE SUFFICIENT PERSONNEL TO FULFIL SAFETY-RELATED FUNCTIONS	
What: That, to explore the different State mechanisms used to ensure sufficient personnel for safety management, Nicaragua lead a virtual session for the presentation of, at least, three methodologies used by the States by the **first quarter of 2019**.	**Expected impact:** ☐ Political / Global ☐ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical	
Why: To identify experiences and best practices in order to improve the methodologies established by States		
When: First Quarter 2019	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☒ States ☐ ICAO ☒ Other: Nicaragua		

2.10   In accordance to Conclusion NCMC/2/C/3, item b), and as requested by El Salvador, a survey was conducted in order to determine the number of NCMCs that had taken the USOAP-CMA Computer Based Training (CBT) phase 1 course. The Meeting noted that only 26% of attendees had taken the course and urged States to comply with this conclusion.

Agenda Item 3   **Systemic Assistance Programme (SAP)**

3.1   Under P/01, the Secretariat informed the progress achieved through the ICAO NACC Regional Office "No Country Left Behind" (NCLB) Strategy and emphasised its evolution to become the NACC Systemic Assistance Programme (SAP), indicating as main goals the assistance to States for the implementation of ICAO SARPs, and the promotion of ICAO's efforts to solve Significant Security Concerns (SSeCs) and Significant Safety Concerns (SSCs), allowing States to benefit from the socio-economic contributions of a safe and reliable air transport.

3.2   The Secretariat described the main elements of the NACC SAP and the establishment of a fifth phase that guarantees the sustainability of achieved results. The elements included in the fifth phase are:

- Prioritize the State Safety Programme (SSP), Safety Management System (SMS) and Security Management System (SeMS) in the Action Plans;
- monitor the institutional strength of the Civil Aviation Authorities (CAAs);
- give greater emphasis to political will and commitment;
- include air transport in the political agenda of the States; and
- involve ICAO in high-level regional meetings.

3.3   Under the same presentation, the Secretariat reported the three major areas of deficiencies and the challenges for the implementation of the critical elements of a State Safety Oversight System:

- Aerodromes and ground aids (AGA) - Duties related to the granting of licenses, certification, authorization and approval;
- air navigation services (ANS) - Qualification and training of technical personnel; and
- aircraft accident and incident investigation (AIG) - Technical guidance, means and provision of critical safety information.

3.4   The Secretariat indicated that the implementation of the NCLB Strategy evidenced an improvement of the Effective Implementation (EI) related to the Universal Security Audit Programme (USAP) in NACC from 60.68% to 74.22%, and a less significant increase of the EI related to the USOAP for the States of the NAM/CAR Regions. The Meeting was informed about NCMC's expectations to contribute to the implementation of the SAP, highlighting the importance and positive impact that a competent and adequately qualified NCMC has shown in complying with USOAP requirements. Therefore, the following Decision was made.

DECISION	LIST OF THE STATES' NCMCs	
NCMC/3/4		
What: That, the ICAO NACC Regional Office: a) maintain the list of NCMCs updated, and b) inform States about NCMC's expectations to contribute to the implementation of the SAP during the **first quarter of 2019**.	**Expected impact:** ☐ Political / Global ☒ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical	
Why: To maintain the list of NCMCs updated and to guarantee the flow of information to stakeholders.		
When: First Quarter 2019	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☒ States ☒ ICAO ☐ Other:		

3.5   WP/05 presented the progress and achievements of the States of North America, Central America and the Caribbean and the ICAO Regional Office to establish and maintain regional agreements as mechanisms to support the development of regional collaboration initiatives. The Working Paper presented three relevant mechanisms for consideration of the NCMC Working Group (NCMC/WG), and its use to formulate the work programme as a mechanism to materialise the activities to propose and achieve the deliverables to be agreed upon.

3.6   The mechanisms presented to the Meeting were:

- •   ICAO NACC Regional Office Declaration of Intent (DoI) for the No Country Left Behind (NCLB) Strategy
- •   Declaration of Intent (DoI) for the Regional collaboration in matters of Education between the Civil Aviation Centres for the NAM/CAR Regions.
- •   Multi-Regional Assistance Program for Civil Aviation (MCAAP)

3.7   Regarding the establishment of the NAM/CAR Regional National Continuous Monitoring Coordinators Working Group (NAM/CAR/NCMC/WG), the Meeting noted that the Terms of Reference (ToR) proposed for the Group are included as part of the NCLB Declaration of Intent (DoI). The ToRs were reviewed and are presented as **Appendix B** to this report.

3.8   Canada proposed the creation of the NAM/CAR/NCMC/WG work programme, under the logical framework and volunteered to elaborate it, in conjunction with the Secretariat; participant States supported the proposal. Therefore, the following Decision was adopted:

DECISION NCMC/3/5	LOGICAL FRAMEWORK FOR THE NAM/CAR/NCMC/WG'S WORK PROGRAMME	
What: That, Canada, in coordination with the Secretariat, formulate the NCMC/WG Work Programme under the Logical Framework approach to ensure effective management by **November 2019**.		**Expected impact:** ☐ Political / Global ☒ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical
Why: To ensure NCMC/WG work programme compliance.		
When: November 2019	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☐ States ☒ ICAO ☒ Other: Canada		

Agenda Item 4   **Analysis of the Effective Implementation (EI) of States Safety Oversight Systems**

4.1   Under P/05, Bahamas referred to the NCMC's roles and responsibilities, and mentioned that ICAO needs to emphasise to the CAAs the need for NCMCs to be empowered and make available the necessary resources, e.g.: budget and compensation to effectively carry out the mandate for the role. Bahamas commented on the need for improvement in the area of timely responses, especially when disputes are submitted; there needs to be consistency regarding communications between Headquarters, Regional Offices and member States. In addition, the need for consistency was highlighted, in regards to the work executed by the Technical Cooperation Bureau (TCB) Subject Matter Expert (SME), as there seems to be a disconnection between ICAO Headquarters USOAP Auditors and the work executed by TCB for States. In regards to the OLF system, it was recommended that States provide input to the developers via survey or feedback forms, noting the challenges experienced by users while executing tasks mandated by the CMA. ICAO should consider advising users in a timely manner when possible upgrades are being conducted. Furthermore, it was noted that ICAO should reconsider the need for States to apply Annex amendments into national regulations, when the applicability of these amendments is two to three years away. Lastly, Bahamas' input in the meeting was to share concerns with the hope that improvements would be implemented for all member States.

4.2   Under P/07, Canada presented the initiative "Global Aviation Safety Oversight System – GASOS", referring to IP/02 *Canada's Participation in a Global Aviation Safety Oversight System (GASOS) Trial Assessment*; in addition, Canada presented the development of simulated audits of the USOAP-CMA through self-assessment and peer evaluation as a positive experience and a good practice, and finalized informing the Meeting about the current situation of Canada's Safety Oversight System.

4.3   Under P/04, Costa Rica presented the work scheme of the NCMCs, based on the creation of a Surveillance Working Group, comprised by co-workers from the Personnel licensing and training (PEL), Aircraft operations (OPS), Airworthiness of aircraft (AIR), Air navigation services (ANS), Aerodromes and ground aids (AGA) and Aircraft accident and incident investigation (AIG) Units. The group, working collaboratively with the NCMC, has assumed the challenge of keeping the OLF components updated (i.e.: Corrective Action Plans [CAPs], State Aviation Activity Questionnaire [SAAQ], Electronic Filing of Differences system [EFOD], and some others). The main challenges for the proper management are: training, additional workloads to the main functions of the working group staff, and the promotion of the organizational culture to support the NCMC role. To overcome these challenges, Costa Rica mentioned, they have the support of the General Directorate to be able to take action on the areas requiring special attention.

4.4   Under P/11, El Salvador indicated that, in compliance with the Strategic Planning of the CAA, El Salvador has relied on the use of technology to reinforce implementation of the eight USOAP-CMA critical elements. Two systems have been created: the Safety Oversight System (PVO) and the Training Management System (SGC). The PVO system has made it possible to standardize the surveillance process, encouraging communication with service providers, operators and all audited entities, generating valuable information and statistics that will serve for the implementation of the SSP. Similarly, the SGC system ensures that the technical staff of the CAA is properly trained to perform their functions, making the training process efficient and effective, and reinforcing CAA's compliance with the implementation of USOAP CMA Critical Elements 4 (CE-4). Additionally, it was shared with participant States that the CAPs had been adequately formulated, which had been validated by ICAO and that they might serve as a reference for other States of the Region with the same pending PQs or facing similar difficulties.

4.5   Under P/06, The Netherlands updated the Meeting on the current situation of the autonomous countries within the Kingdom. This presentation included a brief explanation of the countries within the Kingdom of the Netherlands: Aruba, Curaçao and Sint-Maarten having their own self-government, at least to a significant degree. The presentation also included an update on the developments after the ICAO audit in 2008, and the current preparation for the ICAO audit, which will be held in Curaçao in September 2019. Curaçao is the only part of the Kingdom to be audited in 2019, and it will have a significant effect on the status of the EI scores of all the countries in the Kingdom of The Netherlands.

4.6   The Netherlands informed about the Action Plan in preparation for the upcoming USOAP audit for Curaçao; the Action Plan consists of three phases, which include an assessment of all PQs, the creation of CAPs, the provision of technical assistance and the completion of the ICAO OLF. In addition to the preparation of the Curaçao audit, a joint programme within the Kingdom has been launched, where countries of the Kingdom of the Netherlands are working together to improve safety in the region and in the Kingdom. This programme includes: a) policy and legislation development and harmonization of procedures, and b) a joint inspection programme to exchange inspectors on several domains. Regarding the EI scores, the Meeting was updated about the current estimated EI per domain for each individual country in the Kingdom of the Netherlands. Currently, the OLF is being updated step by step after careful validation of the answers and evidence. In this way, it was concluded that the aim of the Kingdom of the Netherlands is to create a sustainable safety oversight system at a level comparable to the European Union, with an estimated EI of at least 80%.

4.7   Under P/08, United States updated the Meeting on the status of their EI scores of 92.17%, according to the USOAP CMA Country Dashboard. However, this EI score does not match the Integrated Safety Trend Analysis and Reporting System (iSTARS) State Safety briefing score of 91.79%. United States noted that detailed answers have been provided and evidence has been uploaded in the USOAP CMA OLF regarding their CAPs from the 2007 USOAP audit. ICAO has acknowledged that progress has been made in the OLF and the United States is awaiting ICAO feedback regarding resolution of CAPs. In regard to the self-assessment PQs, they were completed for AGA, ANS, and AIG; Primary aviation legislation and civil aviation regulations (LEG), Civil aviation organization (ORG), Personnel licensing and training (PEL), OPS, and AIR are partially completed. Additionally, State Safety Programme

 (SSP) PQs will be worked on, as responses to these PQs are still on voluntary basis. United States. noted that a suggested area is for the NACC/NCMC Working Group to develop a list of improvements to the OLF from a user's perspective, so these suggested improvements can be packaged and sent to ICAO HQ.

4.8   Under P/10, Nicaragua informed the Meeting on the EI status of the state safety oversight system and the CMA performed activities, to assess the resolution of findings: audit, off-site validation activity and coordinated validation mission, highlighting its use as a best practice for NACC States. Therefore, the Meeting formulated the following:

DRAFT CONCLUSION NCMC/3/6	LIST OF IMPROVEMENTS TO THE OLF FROM A USER'S PERSPECTIVE	
What: That the NACC/NCMC Working Group create an improvement list to OLF via survey or feedback forms, to improve user experience when performing tasks associated to CMA activities under the platform by **December 2019**.	**Expected impact:** ☐ Political / Global ☒ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical	
Why: It is necessary to promote continuous improvement and facilitate the development of the tasks associated to CMA activities delegated by States to NCMC.		
When: December 2019	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed	
Who: ☐ States ☐ ICAO ☒ Other:	NACC/NCMC Working Group	

4.9   In addition, Costa Rica volunteered to lead the following action, which was supported by the States:

DRAFT CONCLUSION NCMC/3/7	WORKING PAPER ON ROLES AND RESPONSIBILITIES OF THE NACC NCMC	
What: That the NAM/CAR/NCMC Working Group put forward a working paper (WP) for the NACC/DCA/09 to consider its submission to the 40th Session of the ICAO Assembly; the WP will be related to the functions and responsibilities of the NCMCs and will suggest improvements to keep the ICAO Doc 9735 relevant and accurate, according to the following timeline: • 15 December 2018: Costa Rica to present the first draft. • 15 January 2019: To receive comments from States. • 12 February 2019: Costa Rica to present the second draft.		**Expected impact:** ☐ Political / Global ☒ Inter-regional ☐ Economic ☐ Environmental ☒ Operational/Technical
Why: It is necessary to promote continuous improvement and facilitate the development of the tasks associated to CMA activities delegated by States to NCMC.		
When:	• 15 December 2018: Costa Rica to present the first draft. • 15 January 2019: To receive comments from States. • 12 February 2019: Costa Rica to present the second draft.	**Status:** ☒ Valid / ☐ Superseded / ☐ Completed
Who:	☒ States ☒ ICAO ☒ Other: Costa Rica	NAM/CAR/NCMC/WG led by Costa Rica

4.10   The Secretariat, through its Accident and Incident Investigation (AIG) Consultant, highlighted some of the common areas requiring improvements in the States' CAPs and responses to PQs, based on the latest reports on the AIG implementation status within the CAR Region, i.e.: LEG and REG (independence of Investigation Authorities), investigators staffing and training, ECCAIRS/ADREP (European Co-ordination centre for Accident and Incident Reporting Systems/Accident-Incident Data Reporting System), notification and reporting and final reports' safety recommendations issuance and follow-up.

4.11   It was also highlighted, the need for the ICAO NACC Regional Office to take into consideration the ongoing separation of the Accident Investigation Authorities (AIA) from the States' CAAs when addressing its correspondence to both the CAAs and the AIAs, not only with regard to AIG matters, but also for invitations to meetings and other workshops or proceedings that may be of interest to AIAs.

4.12   In relation to the ongoing States' SSP implementation, the Secretariat highlighted the key role of the accidents and incidents investigations in relation to the States' risk management and safety oversight functions, particularly the contribution of the investigations analysis and findings to the identification of hazards (finding the problem) leading to the risk assessments and the development of effective safety actions (fixing the problem), by the risk owners and stakeholders towards accident prevention and improving aviation safety overall. Another highlight was the availability and use of common safety analysis frameworks and methodologies, e.g.: Bowtie, STAMP, for both hazard identification and risk assessments.

4.13   In response to questions from participants, the Secretariat highlighted the existence of ICAO Guidance Material (Doc 9946) on the creation of Regional Accident and Incident Investigation Organizations (RAIOs) that, in a similar fashion to Regional Safety Oversight Organizations (RSOOs), are a mean to help States obtain the necessary AIG expertise and resources to meet their responsibilities in relation to ICAO Annex 13.

Agenda Item 5   **Other Business**

5.1   Under this Agenda Item no issues were discussed.

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/2/C/1	**COMPLIANCE WITH THE USOAP-CMA REQUIREMENTS** That, in order to achieve the objectives of the ICAO USOAP-CMA:				
	a) States and International Organizations, in accordance with the principles of the USOAP-CMA, complete and maintain up-to-date the self-assessment, providing accurate and valid information to represent the current Effective Implementation (EI) status of the State, assuring the self-monitoring activities without the intervention of ICAO;	State/Internationa Organizations	Permanen	Self-assessment updated	Valid
	b) States, when completing and updating their Corrective Action Plan (CAP), follow the six criteria for the correct formulation of the CAPs, included in part 3 (3-1) of the NCMC/2 Meeting report;				Completed
	c) States recommend ICAO to review the procedure to update the tools available on iStars, assuring all tools use the latest information available from States at the same time; and				Completed
	d) States continuously review ICAO Doc 9734 part A.				Completed

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/2/C/2	**IMPORTANCE OF THE ROLE OF THE NCMC IN THE EFFECTIVE IMPLEMENTATION (EI) OF THE STATE SAFETY OVERSIGHT SYSTEM** That, in order to improve the regional EI of the State Safety Oversight System (SSO):	State/Internationa Organizations	Permanen		
	a) States and International Organizations recognize the importance and the positive impact that a skilled and properly qualified NCMC would have in the compliance with the USOAP-CMA requirements and therefore, in the final result of the State EI;				Completed
	b) the NAM/CAR Civil Aviation Authorities (CAAs) provide NCMCs the necessary authority and resources to effectively carry out their roles and responsibilities; and			NCMCs empowered	Valid
	c) States and International Organizations ensure that NCMCs, previous nomination by States, take the USOAP-CMA Computer Based Training (CBT) phase 1, in order to better understand the USOAP-CMA activity processes, techniques and methodologies. The ICAO Global Aviation Training web site provide additional information: https://www.icao.int/training/Pages/USOAP-CBT.aspx			21 States with certified NCMCs	Valid

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/2/C/3	**UPDATE USOAP-CMA RELATED INFORMATION** That, in order to enhance the effectiveness of the USOAP CMA activities in the region:				
	a) States and International Organizations notify ICAO any changes in the nomination of NCMCs;			Notification to ICAO	Valid
	b) States and International Organizations ensure that all appointed NCMC complete the USOAP-CMA Computer Based Training (CBT) phase 1, in order to better understand the USOAP-CMA activity processes, techniques, and the methodologies. The ICAO Global Aviation Training web site provide additional information: https://www.icao.int/training/Pages/USOAP-CBT.aspx;	State/Internationa Organizations	Permanen	States to comply with this conclusion	Completed as indicated in NCMC/2/C/2-c
	c) States and International Organizations complete and maintain up-to-date the State Aviation Activity Questionnaire (SAAQ); and			SAAQ updated	Valid
	d) States recommend ICAO to update the SAAQ to include Annex 19 requirements.			SAAQ modified	Valid

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/2/D/	**ESTABLISHMENT OF THE NAM/CAR REGIONAL NATIONAL CONTINUOUS MONITORING COORDINATORS WORKING GROUP (NAM/CAR/NCMC/WG)** That, having agreed the importance of regional collaboration among NCMCs, the NACC Regional Office request to the Eighth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/08) the establishment of the NAM/CAR Regional National Continuous Monitoring Coordinators Working Group (NAM/CAR/NCMC/WG), using the Terms of Reference included in Appendix B to this report. Future NCMC's regional work programme should be based on sharing States' experiences and best practices of the USOAP- CMA.	NACC/DCA/08 Meeting		NAM/CAR/NCMC/W	Completed based on the NACC Regional Office NCLB Declaration of Intend (DoI) signed by Accredited States

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/2/C/5	**SHARING REGIONAL BEST PRACTICES FOR IDENTIFICATION AND NOTIFICATION OF DIFFERENCES** That in order to enhance regional compliance with ICAO requirements and implementation of Standards and Recommended Practices (SARPs), States and International Organizations that have effectively implemented procedures to identify and notify differences to ICAO, to share these procedures and best practices with ICAO NACC Regional Office and other States in the region.	State/International Organizations	Feb-2019	Procedures and best practices shared with ICAO NACC Regional Office and other States in the region	Valid
NCMC/3/C/1	**USOAP SIMULATED AUDITS THROUGH SELF-ASSESSMENT AND PEER-ASSESSMENT** That the Meeting encourages States to finalize and keep the self- assessments updated, under the USOAP-CMA principles, and to consider the use of simulated audits and peer-assessment as a mechanism to establish and manage an effective and sustainable State safety oversight system.	State/International Organizations	Nov-2019	Self-assessment updated, under USOAP principles	Valid

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/3/C/2	**IDENTIFICATION AND NOTIFICATION OF DIFFERENCES TO ICAO** That, in order to increase the regional compliance with the implementation of ICAO Standards and Recommended Practices (SARPs), States analyse their implemented procedures to identify and notify differences to ICAO, and attend a teleconference led by the Kingdom of the Netherlands to present the procedures and share best practices with other States in the region.	State/International Organizations, The Kingdom of the Netherlands	Feb-2019	Procedures and best practices shared with ICAO NACC Regional Office and other States in the Region	Valid
NCMC/3/C/3	**METHODOLOGIES FOR THE DETERMINATION OF THE SUFFICIENT PERSONNEL TO FULFIL SAFETY-RELATED FUNCTIONS** That, in order to identify experiences and best practices, with the objective of improving the methodologies established by States, Nicaragua will lead a virtual session for the presentation of at least three methodologies used by the States, to explore the different State mechanisms used to ensure sufficient personnel for safety management.	State/International Organizations, Nicaragua	First Quarter 2019	Procedures and best practices shared with ICAO NACC Regional Office and other States in the Region	Valid
NCMC/3/D/4	**LIST OF THE STATES' NCMCs** That the ICAO NACC Regional Office maintains the list of NCMCs updated and informs States about NCMC's expectations to contribute to the implementation of the SAP.	ICAO	First Quarter 2019	List of the States' NCMCs updated	Valid

Number	Conclusion/Decision	Responsible for action	Deadline	Deliverable	Status: Valid, Completed or Superseded
NCMC/3/D/5	**LOGICAL FRAMEWORK FOR THE NAM/CAR/NCMC/WG'S WORK PROGRAMME** That, Canada, in coordination with the Secretariat, formulates the NCMC/WG work programme under the "Logical Framework" approach to ensure effective management.	State/International Organizations, Canadá	Nov-2019	NCMC/WG work programme formulated under the "Logical Framework" approach	Valid
NCMC/3/C/6	**LIST OF IMPROVEMENTS TO THE OLF FROM A USER'S PERSPECTIVE** That, the NACC/NCMC Working Group creates an improvement list to OLF via survey or feedback forms, to improve user experience when performing tasks associated to CMA activities under the platform.	States	Dec-2019	List of improvements to the OLF	Valid
NCMC/3/C/7	**WORKING PAPER ON ROLES AND RESPONSIBILITIES OF THE NACC NCMCs** That, the NAM/CAR/NCMC submits a Working Paper (WP) for NACC/DCA to consider its submission to the 40th Session of the ICAO Assembly; the WP will be related to the functions and responsibilities of the NCMCs and will suggest improvements to keep the ICAO Doc 9735 relevant and accurate.	States	• **15 December 2018**: Costa Rica to present the first draft. • **15 January 2019**: To receive comments from States. • **12 February 2019**: Costa Rica to present the second draft.	WP related to the functions and responsibilities of the NCMCs	Valid

NAM/CAR NATIONAL CONTINUOUS MONITORING COORDINATORS
WORKING GROUP (NAM/CAR/NCMC/WG)
TERMS OF REFERENCE

1.   Background

The Second National Continuous Monitoring Coordinators of the NAM/CAR Regions meeting (NCMC/2), held in Mexico City, Mexico, from 14 to 16 November 2017, agreed to propose the establishment of the NAM/CAR National Continuous Monitoring Coordinators Working Group (NAM/CAR/NCMC/WG) to support and improve the effective implementation of the NAM/CAR States' safety oversight systems, enhancing the preparation for the USOAP-CMA activities in accordance with ICAO requirements.

The establishment of the NAM/CAR/NCMC/WG and its Terms of Reference (ToR), have, as foundation, the Declaration of Intent (DoI) for the ICAO NACC Regional Office No Country Left Behind (NCLB) Strategy, agreed during the Sixth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/6), held in Nassau, Bahamas from 10 to 12 May 2016.

2.   Objective

The principal objective of the NAM/CAR/NCMC/WG is to support States under the Systemic Assistance Program (SAP) for North America, Central America and Caribbean (NACC) to improve the effective implementation of the NAM/CAR States' safety oversight systems, enhancing the preparation for the USOAP CMA activities in accordance with ICAO requirements, by working collaboratively, sharing best practices, and promoting efficient and effective collaboration.

3.   Responsibilities

The NAM/CAR/NCMC/WG is responsible for:

a)   managing its work programme;
b)   establishing a mechanism to analyse regional Safety services office (SSO) Effective Implementation, to identify common challenges, and to propose adequate solutions according to Regional and/or individual needs and resources;
c)   promoting the collaboration among NCMCs in the NAM/CAR Regions;
d)   emphasizing the empowerment of NCMC's role, and enhancing its importance for the Effective Implementation of the SSO;
e)   identifying opportunities for the improvement of the ICAO USOAP Programme; and
f)   identifying minimum qualifications of the NCMCs and training needs.

4. **Working Methods**

a) The NAM/CAR/NCMC/WG will be led by a Rapporteur who will be elected for a three-year term. The duties of the NAM/CAR/NCMC/WG Rapporteur are the following:

   i. chair the NAM/CAR/NCMC/WG meetings;
   ii. coordinate tasks and the fulfilment of the work programme;
   iii. maintain close coordination with the Secretariat for the development of meeting agendas and planning; and
   iv. inform NACC Directors of Civil Aviation meetings on NAM/CAR/NCMC/WG meetings results.

b) The NAM/CAR/NCMC/WG will:

   i. present its work programme activities in terms of objectives, responsibilities, deliverables and timelines;
   ii. avoid duplication of work with the regional implementation groups, and maintain close coordination among the existing entities to optimize the use of available resources and experience;
   iii. use "draft conclusions" to record recommendations and actions in meeting reports;
   iv. designate, as necessary, Ad hoc Groups to work on specific topics and activities, and clearly organize defined tasks and activities;
   v. coordinate its work to maximize efficiency and reduce costs via electronic, written correspondence, telephone and teleconference calls, and hold meetings when necessary;
   vi. coordinate and report the progress of the work programme and assigned tasks to NACC Directors of Civil Aviation meetings, and
   vii) implement a communication platform where NCMC's can communicate freely, express experiences, share concerns and suggest solutions.

c) The ICAO NACC Regional Office will act as Secretariat.

5. **Membership**

All National Continuous Monitoring Coordinators of ICAO States and International Organizations accredited to the ICAO NACC Regional Office.

6. **Work Programme**

The NAM/CAR/NCMC/WG 2020-2022 Work Programme will be determined during 2019 and, in the interim period, the following Work Plan will be developed:

Task	Responsible	Deliverables	Timelines
Complete and maintain the self-assessment up-to-date	NCMCs	Self-assessment updated	November 2019
Emphasize the empowerment of the NCMC's role and enhance its importance for the effective implementation of the SSO	ICAO, States and International Organizations	NCMC empowered	November 2019
Develop the USOAP-CMA Computer Based Training (CBT) phase 1	NCMCs	Certified NCMCs	November 2019
Maintain NCMCs list updated and inform States about NCMC's expectations to contribute to the implementation of the SAP	ICAO, States and International Organizations	Notification to ICAO list of the States' NCMCs	June 2019
Complete and maintain the State Aviation Activity Questionnaire (SAAQ) up-to-date	States and International Organizations	SAAQ updated	June 2019
Share procedures and best practices for identification and notification of differences	ICAO and NCMCs. Activity led by The Netherlands	Procedures and best practices shared with ICAO NACC Regional Office and other States in the region	February 2019
Share methodologies for the determination of the sufficient personnel to fulfil safety-related functions	ICAO and NCMCs. Activity led by Nicaragua	Methodologies for the determination of the sufficient personnel to fulfil safety-related functions shared	First Quarter 2019
Formulate the NCMC/WG Work Programme under the Logical Framework approach	Canada, in coordination with ICAO	Logical framework for the NAM/CAR/NCMC/WG's WORK PROGRAMME	November 2019

Task	Responsible	Deliverables	Timelines
Create an improvement list to OLF via survey or feedback forms, to improve user experience when performing tasks associated to CMA activities under the platform	NCMCs in coordination with ICAO	List of improvements to the OLF from a user's perspective	November 2019
Propose a working paper for NACC/DCA to consider its submission to the 40th Session of the ICAO Assembly; the WP will be related to the functions and responsibilities of the NCMCs and will suggest improvements to keep ICAO Doc 9735 relevant and accurate	ICAO, States and International Organizations. Activity led by Costa Rica	Draft WP for the 40th Session of the ICAO Assembly	• **15 December 2018**: Costa Rica presents the first draft. • **15 January 2019**: To receive comments from States. • **12 February 2019**: Costa Rica to present the second draft.