

## ATTACHMENT B



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

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 Cross-Reference Document Evaluation Tool (CRDET)

Mexico City, Mexico, 17 to 21 April 2023

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#### Summary of Discussions

<b>Date</b>	17 to 21 April 2023
<b>Location</b>	ICAO NACC Regional Office, Mexico City, Mexico
<b>Participants</b>	The Meeting was attended by 3 Subject Matter Experts from 2 States/Territories and one International Organization from the NAM/CAR Regions. The list of participants is shown in <b>Appendix A</b> .

#### 1. References

1.1 Technical Assistance Proposal for Resource Mobilization Assistance to the NACC States for the Improvement of their Safety Oversight System (SOS).

#### 2. Objectives

2.1 The main objective of the activity was to finalize the ORG CRDET and start with the Airworthiness of Aircraft (AIR) and Personnel Licensing and Training (PEL) sections of the document.

2.2 Deliverables:

- Complete the ORG CRDET
- Progress on PEL and AIR CRDET

#### 3. Introduction

3.1 To continue with the implementation of the Safety Oversight Improvement Project and address the identified challenges in the CAR Region States, such as the lack of qualified personnel, lack of understanding of the scope of the Protocol Questions (PQs), Project RLA/09/801 – Multi-Regional Civil Aviation Assistance Programme (MCAAP) approved the Safety Oversight System (SOS) Experts Task Force (TF) Meeting in order to develop the CRDET.

3.2 The second TF Meeting was conducted with the participation of three experts from Aruba, Costa Rica, and COCESNA to continue with the development of the **CRDETs**.

**4. Meeting Schedule and Activities**

4.1 The meeting schedule was from 8:30 am to 3:00 pm, which included the following activities:

- Review of the references provided by the organizations to each one of the PQs
- Evaluation of the PQs to identify and select the most restrictive ones.
- Evaluation of the guidance provided to improve its content for both the evaluator and the States
- Establishment of the Standardized Question (SOS Protocol) for each area.

4.2 From this session the SOS project webpage will be developed and located at:  
*<https://www.icao.int/NACC/Pages/tf-2023-sos.aspx>*

4.3 The SO/TF work plan and timelines are as follows:

Phases	Description of Activities	Approximate Dates	Responsible
1	<b>Development of a Cross-Reference Document Evaluation Tool (CRDET) of the different types of audits:</b> Based on the checklists established by IASA, USOAP, IATA, and EASA, a master document will be developed by the TF and will be used as a basis for the improvement of the audit techniques of the TF and a better understanding of them by the States	June 2023	TF and ICAO
2	<b>Establishment of an Operational evaluation programme:</b> Based on events such as State`s need to prepare for an upcoming audit (USOAP, IASA, EASA, etc.), negative results of an audit, or negative indicators during a States self-assessment the NACC Regional Office with the collaboration of the TF will establish an SOS evaluation programme to measure the level of implementation in each State and to determine the required assistance to States and coordinate the technical support needed to be achieved by the trained /qualified cadre of experts.	June 2023	TF and ICAO
3	<b>Evaluation of the participant States:</b> <ul style="list-style-type: none"> <li>• State`s Evaluation according to the Work Programme (the evaluations could be onsite or virtual)</li> <li>• After the evaluation provision of technical support as required to solve the deficiencies found</li> <li>• For 2023 two evaluations are being scheduled</li> </ul>	September to October 2023	TF and ICAO

**5. Outcomes/Recommendations**

5.1 Evaluation of the protocols of ORG, AIR and PEL, using the established methodology.

5.2 The ORG CRDET is available at *<https://www.icao.int/NACC/Pages/tf-2023-sos.aspx>*

5.3 The outcomes of the Meeting were:

1. the completion of the ORG CRDET;
2. progress of 80% in the AIR's CRDET;
3. progress of 20% of the PEL CRDET; and
4. the TF agreed to have weekly virtual meetings to continue with the AIR and PEL sections.

5.4 The SO/TF recommends the States provide comments on the CRDET no later than 2 June 2023.

5.5 The AIR CRDET is expected to be completed by 9 June 2023

5.6 The PEL and OPS CRDETs are expected to be completed by the end of June 2023.

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## APPENDIX A/APÉNDICE A



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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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**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><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>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?	<p>STD</p> <p>A19 3.2.3.1 Appendix 1, Section 3</p> <p>GM Doc 9734 Part A, Chapter 3, 3.3 and Chapter 3.3.1.2 Doc 9774 5.1.5</p>	3.001	<p>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></p> <p>NOTE: Submission of an organizational chart would assist in answering this question.</p>	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?	<p>Review:</p> <p>a) Document(s) defining the functions and responsibilities of ROs.</p> <p>b) Organizational structure(s)/chart(s).</p> <p>c) Document(s) defining the level of authority of the ROs.</p>
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?	<p>STD Annex 19, 3.2.3.1, Appendix 1, Section 3</p> <p>GM Doc 9734, Part A, Chapter 3, 3.3.3 &amp; Part B</p>	3.003 3.004	<p>3.003 Does the CAA delegate any safety oversight functions to:</p> <p>Other CAA divisions Other State bodies Regional organisation Private agencies Designated persons</p> <p>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)?</p> <p>If yes to any, what agreements, controls, and procedures exist between the CAA and other entities?</p> <p>If yes to D) or E), how does the CAA designate or delegate responsibilities to these other entities?</p> <p>If yes to D) or E), how does the CAA provide surveillance and resolve safety concerns of these other entities?</p> <p>Provide the specific reference to the relevant regulation, and any guidance material or practice used in reference to your response.</p> <p>3.004 Does the CAA delegate any of its</p>	2.017	<p>Does the CAA delegate any safety oversight functions to:</p> <p>Other CAA divisions Other State bodies Regional organisation Private agencies Designated persons Qualified persons employed by a certificate holder</p>	<p>Verify, if applicable:</p> <p>1) What is the scope of the delegation and the relationship with the Personnel Licensing, Medical, Operations, and Airworthiness Inspection organization(s)?</p> <p>2) What agreements, controls, and procedures exist between the CAA and other entities?</p> <p>3) How does the CAA designate or delegate responsibilities to these other entities?</p> <p>4) How does the CAA provide surveillance and resolve safety concerns of these other entities?</p> <p>5) Describe the scope and system to keep these delegated persons under supervisory and technical control</p> <p>Verify the specific reference to the relevant regulation, and any guidance material or practice used in reference to the response.</p>

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						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