



ICAO

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WORKING PAPER

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**Seventh Meeting of the North American, Central American and Caribbean Directors of Civil Aviation
(NACC/DCA/07)**

Washington, D. C., United States, 19 – 21 September 2017

Agenda Item 5: NAM/CAR Regional Safety/Air Navigation/Aviation Security Implementation Matters

5.1 Enhancement of safety management issues at the State and regional level

IMPROVEMENTS TO GUIDANCE TO COMPLY WITH ICAO USOAP AUDITS PROTOCOL QUESTIONS AND SUPPORT TO INSPECTORS TRAINING

(Presented by Cuba)

EXECUTIVE SUMMARY	
This working paper aims at alerting on the need to improve guidance for State to reply to protocol questions of ICAO USOAP audits. It describes the experience of Cuba when complying with the USOAP-CMA activities that has allowed developing and assessing the safety oversight system applying the best practices when performing this kind of control events.	
Action:	Refer to section 3
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety
<i>References:</i>	<ul style="list-style-type: none">• Doc. 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>

1. Introduction

1.1 ICAO has made available to States guidance material to perform USOAP self-auditing, with extensive related information, ensuring the development of the corresponding culture on this subject. Automated tools are also available at the ICAO website to assist with the assessment of safety oversight system capabilities in each State.

1.2 Cuba as an ICAO Contracting State, in an effort to establish and implement an efficient safety oversight system, has considered the 8 Critical Elements (CEs) of safety oversight, that are tools of the system that are required for the implementation of safety policies and related procedures.

1.3 The Cuban civil aviation authority received the Technical Assistance Multi-disciplinary Mission of the ICAO NACC Regional Office under the NACC No Country Left Behind (NCLB) strategy held at the Instituto of Aeronáutica Civil de Cuba (IACC) premises in Havana, from 8 to 9 May 2017. This mission was part of Phase III of the NACC NCLB strategy. Its main result was the action plan definition for the enhancements to the status of Effective Implementation (EI) of the Universal Safety Oversight Audit Programme (USOAP) and the implementation of the safety and air navigation targets of the Port of Spain Declaration.

1.4 The multi-disciplinary technical assistance mission covered all the technical fields: LEG, ORG, OPS, AIR, ANS, AGA and partially, AIG. Concerning air navigation deficiencies and AGA, it was noted that Cuba is making progress and is in the process of reaching its solution.

1.5 The Action plan is based on gathered data, sent and reviewed with Cuba during the mission, and it was considered that in general terms, the USOAP Corrective Action Plan (USOAP-CAP) was fully and satisfactorily updated. Nonetheless, the inclusion of some recent evidence is required to justify the compliance with several protocol questions.

2. Development

2.1 Cuba as a USOAP EI of 86,7% and develops a CAP totalling 102 Protocol Questions (PQs) pending validation. Work was done on the CAP, and as a result of the NACC mission, a total of 56 PQs were ready and uploaded with ICAO to the OLF to be validated and closed, representing 57% of the CAP. The successful validation of 57% of the CAP would imply that Cuba may increase its EI from 86.7 % to 92% approximately.

2.2 As a result of this NACC mission we appreciated a clear intention to solve the PQs pending validation by ICAO. It was evident that this is a complex work where communication among all the parties is of vital importance. Moreover, it was clear that in order to address each PQ, it is important to adjust to the related Critical Element (CE) for each one of the PQs. In this case, Cuba considers that PQs are not clear concerning safety management system (i.e. PQ 7.169 note to the auditor); it is possible then to deviate the consistency of the replies and to complicate the interpretation of audit protocols by the States and the auditors. Therefore, the the correct filling of the OLF for each PQ regarding SMS is not ensured.

2.3 The validation process, developed remotely by ICAO is done only for PQs associated with CEs 1 to 5, in line with the USOAP establishment process, therefore, completing the protocols with their respective evidences in the OLF shows a diagnosis of the SARPs EI related with these CEs. Nevertheless, protocol questions corresponding to CEs 6, 7 and 8 of the implementation process will only be validated in situ by expert audits designated by ICAO. The replies to PQs, together with their evidences, must be processed in accordance with their peculiarities and bearing in mind the sensibility of information.

2.4 Future development of the USOAP audit system depends on the emergence of new elements to be included for their continuous enhancement and an example of that are the 2016 protocols, already in force, characterized by a tendency to complexity, that might impede understanding and acceptance by all the participants, be them audited parties or audits.

3 Suggested Actions

3.1 The Meeting is invited to:

- a) note the Cuban experience on completing the CAP derived from the ICAO USOAP audit; and
- b) analyse the convenience of reviewing the wording and explanation of ICAO USOAP audit PQs, as well as developing proper training, allowing both the audits and the audited States to establish better understanding and communication to achieve an efficient development of such necessary processes.