



ICAO

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North American, Central American and Caribbean Office

WORKING PAPER

NCMC/2 — WP/03
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Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2)
Mexico City, Mexico, 14 – 16 November 2017

Agenda Item 5: NCMCs Regional Role

NCMCs ROLES AND RESPONSIBILITIES

(Presented by Secretariat)

EXECUTIVE SUMMARY	
This working paper provides a detailed description of the roles and responsibilities of the NCMCs, and addresses other issues such as nomination by States, skills and qualification.	
Action:	The suggested action is presented in Section 3.
Strategic Objectives:	<ul style="list-style-type: none">• Safety
References:	<ul style="list-style-type: none">• ICAO Doc 9735 Fourth Edition — <i>2014 Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i>• First Regional Meeting/Workshop for National Continuous Monitoring Coordinators (NCMCs) ICAO NACC Regional Office, Mexico City, Mexico, 28 November to 2 December 2016

1. Introduction

1.1 As a follow-up action agreed during the First Regional Meeting/Workshop for National Continuous Monitoring Coordinators (NCMCs) convened at ICAO NACC Regional Office, Mexico City, Mexico, on 28 November to 2 December 2016, the Meeting requested ICAO HQs to improve the description of the roles and responsibilities of the NCMCs, considering that in many States the same person has other responsibilities (State Safety Programme (SSP) Coordinator, inspector, etc.), in order to increase the awareness of the CAAs leadership.

1.2 The Meeting could note that the NCMCs are designated under the framework of the Memorandum of Understanding (MoU) regarding the Universal Safety Oversight Audit Programme Continuous Monitoring Approach USOAP CMA, to act as facilitator, and the primary point of contact for all the processes on an ongoing basis, in order to assist the ICAO contracting State in the preparation for USOAP CMA activities and to contribute in the monitoring of the level of implementation of ICAO SARPs. States could nominate one or more appropriately qualified persons to act as NCMC.

1.3 The ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Manual Doc 9735 describes the roles and responsibilities of a NCMC pertaining to the USOAP CMA processes, determines the interaction with other parties in the process, and details the NCMC's role to facilitate smooth coordination between the various State authorities responsible for the different areas monitored under the USOAP.

2. Discussions

2.1 Nomination of the NCMC

2.1.1 The provision for nomination of the NCMCs is included in the Memorandum of Understanding (MOU) signed by ICAO and each Member State regarding USOAP; the MoU describes the roles and responsibilities, but a more detailed description of the mechanism for later updates needs to be developed in order to improve the necessary dynamism and guarantee the information flow to the stakeholders.

2.1.2 ICAO NACC Regional Office in coordination with ICAO HQ is working to maintain updated the list of NCMSCs, exploring the capabilities of the technological tools currently available.

2.2 Roles and responsibilities

2.2.1 As described in ICAO Doc 9735 the NCMCs are responsible for submitting, maintaining and/or updating the information provided by the State to the Monitoring and Oversight Office on a continuous basis, including but not limited to: a) PQ compliance status through PQ self-assessment; b) Corrective action plans (CAP); c) mitigating measures taken by the State in response to SSCs; d) State aviation activity questionnaire (SAAQ); e) Compliance Checklist (CCs); f) responses to Mandatory information request (MIRs); and g) other relevant safety information, as requested by ICAO.

2.2.2 The roles and responsibilities of the NCMCs incorporate a number of different tasks to assist auditors in the conduction of the safety oversight activities:

- During the Preparation, a NCMC prepares administrative and logistical arrangements for on-site activities providing assistance to the Team Leader and the Regional Continuous Monitoring Coordinator with respect to mission issues, requests or clarifications; Coordinate the preparation of the State-specific mission plan in conjunction with the Team Leader; Arrange meeting facilities and work areas; Identify stakeholders for all specific areas covered in the USOAP activity; Brief key State management personnel on the scope and objectives of the activity; Coordinate the preparation of essential information and material to be submitted by State.
- During the on-site activities, the NCMCs ensure that all the State representatives responsible to attend the opening and closing briefings, work closely with the team leader to ensure a smooth conduct of the on-site activities; Keep the State's key management personnel informed on the progress and preliminary results of the activity.
- During the “after activity”, even though the activity has ended the NCMCs still have a significant role during the validation and reporting activities: Ensures that the SSCs, if any, are handled expeditiously; The State starts or continues working on its corrective actions and mitigating measures; The Feedback Form is duly completed and submitted to ICAO and the Regional Office is kept abreast of the State's progress towards the full implementation of its CAP(s).

2.2.3 In addition, the NCMCs are responsible for the On Line Framework (OLF) State account, and have full control of user accounts for the State, issuing additional user accounts, deactivating invalid user accounts, and setting individual user rights/permissions.

2.2.4 As mentioned, information to be submitted and updated regularly by the NCMCs through the OLF include responses to the SAAQ; this questionnaire is designed to collect comprehensive and specific information on each State's aviation activities, including legislative, regulatory, organizational, operational, technical and administrative details, in order to assist the Monitoring and Oversight Office in monitoring the level of aviation activity in the State related to each audit area and in prioritizing and planning USOAP CMA activities, in addition to facilitate NACC Regional Office NCLB Strategy implementation and to the development of assistance mechanisms. A module inside OLF allows States to complete the SAAQ and to continue to update it on a regular basis.

2.2.5 States often delegate to the NCMCs the file of States differences against standards and recommended practices (SARPs) by completing and maintaining up to date the Compliance Checklists (CCS) / Electronic Filing of Differences (EFOD) system. The completion of CCS by Member States provides an overview of the level of implementation of ICAO Standards. For consideration of the Meeting according to the following graph, the average EI of the PQs related to the file of differences in the NACC Region is 42.26% and only 4 States of the Region have effectively implemented procedures to identify and notify differences to ICAO.

Average EI of selected PQs(8) for North American, Central American and Caribbean Region: 42.26%

View Test results by State Send PQ test results Send results by State

Search:

Number	Question	CE	AREA	EI (%)	Satisfactory	Unsatisfactory	Applicability (%)	Toggle
1.025	Has the State established procedures for identifying and notifying to ICAO differences between ICAO SARPs and its legislation and practices, if any?	CE-2	LEG	52.38	11	10	100	<input checked="" type="checkbox"/>
3.007	Has the State implemented procedures for identifying and notifying differences if any, to ICAO?	CE-2	PEL	42.86	9	12	100	<input checked="" type="checkbox"/>
4.005	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	CE-2	OPS	61.9	13	8	100	<input checked="" type="checkbox"/>
4.334	Has the State implemented procedures for identifying and notifying to ICAO differences between ICAO Standards and national regulations in the area of dangerous goods, if any?	CE-2	OPS	0	0	1	100	<input checked="" type="checkbox"/>
5.007	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	CE-2	AIR	42.86	9	12	100	<input checked="" type="checkbox"/>
6.017	Has the State implemented a procedure for identifying and notifying differences, if any, to ICAO?	CE-2	AIG	42.86	9	12	100	<input checked="" type="checkbox"/>
7.011	Has the State implemented procedures for amending its ANS specific regulations as well as for identifying and notifying differences, taking into consideration ICAO provisions and their amendments?	CE-2	ANS	57.14	12	9	100	<input checked="" type="checkbox"/>
8.015	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	CE-2	AGA	38.1	8	13	100	<input checked="" type="checkbox"/>

2.2.6 Another important task normally delegated to NCMCs, is coordinate and monitor the overall progress of State’s Corrective Action Plans (CAPs) submission and implementation and the consequent continuous update, verifying the timely compliance of the activities and presenting required information, documentation and evidence; this responsibility has a tremendous impact in the EI of the CE because reflects State efforts to establish and implement an effective safety oversight system.

2.2.7 The level of acceptance of the CAP submitted by States relies on the capacity of the NCMCs to formulate and/or assist the formulation of CAPs, effective coordination on the implementation progress with the stakeholders and the timely identification and prioritization of outstanding tasks; During the entire process it is critical to keep in mind the six criteria explained during the NCMC meetings and ICAO Doc 9735 Appendix D "Guidance for States on developing CAPs".

2.3 Skills and qualification

2.3.1 It is important for contracting States to have a mechanism to ensure a skilled and properly qualified NCMC capable to perform the assigned tasks; determine the minimum qualification, experience requirements and the types of training required is essential, a training policy, a programme that details different types of training, a training plan with schedules and a system for keeping the training records shall normally constitute that mechanism.

2.3.2 ICAO is committed to the development of a skilled and qualified NCMC and is promoting the participation of the NCMCs in seminars and workshops organized at State and Regional levels, as this will enable the NCMCs to widen horizons and share experiences with regional counterparts. ICAO makes available the Tutorial & Help tool in the OLF, to provide access to essential material as Tutorials and user manuals for the filling of differences, the State dashboard, CAPs, the PQ self-assessment, and the generation of e-supplements and CC/EFOD reports.

2.3.3 It is also recommended for NCMCs, previous nomination by States, to take the USOAP CMA Computer Based Training (CBT) phase 1, in order to better understand the USOAP CMA activity processes, techniques and its methodologies; The ICAO Global Aviation Training web site provide additional information: <https://www.icao.int/training/Pages/USOAP-CBT.aspx>

2.4 For consideration, the Group of Experts for a USOAP CMA Structured Review (GEUSR) is working in the roles and responsibilities of the NCMC and will include reviews and recommendations in the upcoming February 2018 report; The ICAO council will review these recommendations in 2018, and the Secretariat will then take the necessary actions, which will be reflected in the next revision of ICAO Doc 9735.

3. Suggested Actions:

3.1 The meeting is invited to:

- a) Urge States and International Organizations to recognize the importance and the positive impact that a skilled and properly qualified NCMC would have in the compliance with the USOAP requirements and therefore in the final result of the State EI;
- b) urge States to provide NCMCs with the necessary authority and resources to effectively carry out their roles and responsibilities;
- c) urge States and Organizations to inform if additional roles and responsibilities associated to the USOAP should be included in ICAO documents and guidance material;

- d) urge States and Organizations to inform about challenges to complete and maintain up to date the State aviation activity questionnaire (SAAQ); THE Compliance Checklists (CCS) / Electronic Filing of Differences (EFOD) system, State's Corrective Action Plans (CAPs) and with the administration of OLF; and
- e) urge States and Organizations to share information about best practices and implemented mechanism to ensure highly skilled and properly qualified NCMCs, and the current needs in this matter.