



ICAO

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

WORKING PAPER

NCMC/3 — WP/06
09/11/18

Third Regional Meeting for National Continuous Monitoring Coordinators (NCMC/3)
Mexico City, Mexico, 13 to 15 November 2018

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

DEVELOPMENT OF THE USOAP-CMA AND OTHER RELEVANT ASPECTS

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
The Working Paper presents a review of the main developments related to the Universal Safety Oversight Audit Programme - Continuous Monitoring Approach (USOAP-CMA) and other relevant aspects.	
Action:	Suggested actions are presented in section 3
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety
<i>References:</i>	<ul style="list-style-type: none">• Safety Oversight Manual Part A The Establishment and Management of a State's Safety Oversight System (Doc 9734)• Doc 10055 first edition 2018 Manual on Notification and Publication of Differences• Global Aviation Safety Plan (GASP, Doc 10004);

1. Introduction

1.1 The Working Paper presents a review of the main developments related to the Universal Safety Oversight Audit Programme- Continuous Monitoring Approach and other relevant aspects, except for the State Safety Programmes (SSP) implementation assessments that will be explained in detail during the meeting in presentation P/02.

2. Discussion

Identification and notification of differences to ICAO

2.1 The Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2) in November 2017 discussed the various implementation challenges in the North America, Central America and Caribbean Regions, among which is the establishment and implementation of procedures for identify and notify differences to ICAO; in this regard the meeting is invited to take note of the Doc 10055 first edition 2018 Manual on Notification and Publication of Differences, currently available only in English as an unedited version not yet approved in final form, as explained in the Disclaimer that accompanies the publication; Doc. 10055 is available for consultation at the ICAO Secure Portal under the option Publications – Documents.

2.2 The ICAO Doc. 10055 is presented as a complement to the guidance material currently available to assist States in complying with their obligations under Article 38 of the Convention on International Civil Aviation; as indicated in the body of the document, suggestions for improve the document in terms of format, content or presentation are welcome and its inclusion could be considered in the regular updates to the Manual. Comments on this manual should be addressed to the ICAO Secretary General.

Universal Safety Oversight and Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Regional Workshop for the NACC Region

2.3 A Regional workshop on the Continuous Monitoring Approach (CMA) of the Universal Safety Oversight Audit Programme (USOAP) for the North America, Central America and Caribbean Region, will be held at the ICAO NACC Regional Office, from 12 to 14 February 2019; The Workshop is aimed to provide States with updated information on the USOAP CMA, and hands-on training on the CMA online framework (OLF) tools. The **Appendix A** presents the agenda for consideration of the Meeting.

2.4 The USOAP CMA Regional workshop will be useful to all those involved in the USOAP CMA activities and/or working on the OLF, especially to State National Continuous Monitoring Coordinator (NCMC) teams. It will also allow States to prepare for USOAP CMA audits, ICAO Coordinated Validation Mission (ICVMs) and other activities by understanding steps for Corrective action plan (CAP) development and update, Protocol Questions (PQ) Self-assessment process, instruction on notifying differences electronically, and other CMA processes and OLF modules.

ICAO Safety Oversight Manual (Doc. 9734 - Part A)

2.5 The Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2) in November 2017 discussed the necessity for States to continuously review the ICAO Safety Oversight Manual Part A – The Establishment and Management of a State Safety Oversight System; The Meeting is invited to take note of the Third edition 2017 of the Manual, available for consultation through the ICAO Secure Portal under the option Publications – Documents.

2.6 As set out in the Preamble of the Third Edition of the ICAO Doc. 9734 Part A, the Manual is a key version because it relates to the responsibilities, functions and duties of ICAO Member States with respect to aviation safety oversight in compliance with their obligations as signatories to the Convention on International Civil Aviation. The Manual is directed at State authorities and intended as a guide to assist States in establishing and managing an effective and sustainable State safety oversight system through the implementation of the eight critical elements of such a system.

2.7 The Manual adopts the definition of “safety oversight” as stated in Annex 19 to the Chicago Convention — Safety Management and presents several updates including the definition of the terms: Audit, Inspection, Inspector, Legislation, Service Provider, Surveillance; among other modifications such as that presented at Chapter Two, addressing the State Safety Oversight (SSO) System and the characteristics of an effective and sustainable SSO.

Global Aviation Safety Plan (GASP, Doc 10004)

2.8 The Thirteenth Air Navigation Conference reviewed the ICAO’s Safety Strategy in support of the prioritization and continuous improvement of aviation including the third edition 2020-2022 of the Global Aviation Safety Plan (GASP, Doc 10004); the plan guides the implementation of regional and national aviation safety plans and the global aviation safety roadmap, presented in the draft 2020-2022 edition of the GASP, serves as an action plan to assist the aviation community in achieving the GASP goals. As a result of the discussions, the AN-Conf/13 Committee agreed on the following recommendation:

Recommendation 6.1/1 — Draft 2020-2022 Edition of the Global Aviation Safety Plan (Doc 10004, GASP)

That States:

a) agree in principle with the draft 2020-2022 edition of the Global Aviation Safety Plan (GASP, Doc. 10004), with the inclusion of GASP goals and targets; and

That ICAO:

b) take into consideration input from the Conference, the questionnaire and the future work of the GASP Study Group for subsequent endorsement of the 2020-2022 edition of the GASP at the 40th Session of the ICAO Assembly.

State Corrective Action Plans (CAP)

2.9 The Second Regional Meeting for National Continuous Monitoring Coordinators (NCMC/2) in November 2017 discussed the importance of the proper completion of the State’s corrective action plan (CAP), in order to effectively address the findings. The NCMC/2 Meeting requested NACC RO to continue providing assistance in the formulation and the updating of the State’s CAPs, to ensure that the six criteria explained during the meeting are properly understood and used; The Meeting is invited to note the publication of the Guidance for States on Developing Corrective Action Plans (CAP) on June 2018 at OLF CMA Library; the document outlines the criteria to be met by States in developing CAPs, and instructs on how to complete fields of the CAP module on the online framework.

3. Suggested Action

The Meeting is invited to:

- a) analyze the ICAO Doc. 10055 and formulate actions to increase the effective implementation of the procedures for the identification and notification of differences to ICAO,
- b) actively support the USOAP CMA Regional workshop motivating the participation of the necessary personnel in each State;
- c) analyze the updates of Doc. 9734 – Part A and take any action deemed appropriate,
- d) take note of the AN-Conf /13 recommendation 6.1 / 1; and
- e) continue the dissemination of the guidance material for States on the development of Corrective Action Plans (CAP)

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APPENDIX/APÉNDICE

Workshop on Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)/Taller Regional sobre el Enfoque de Monitoreo Continuo (CMA) del Programa Universal de Auditoría de Supervisión de la Seguridad Operacional (USOAP)

PROGRAMME/PROGRAMA

Time / Horario	Tuesday 12 February 2019 / Martes 12 de febrero de 2019	Wednesday 13 February 2019 / Miércoles 13 de febrero de 2019	Thursday 14 February 2019 / Jueves 14 de febrero de 2019
08:30 – 09:00	<i>Registration / Registro</i>		
09:00 – 09:30	<i>Opening Ceremony & Photo / Ceremonia de Inauguración y Foto</i>	CMA Online Framework (OLF) and Electronic Filing of Differences (EFOD) Module 3 / Marco en línea (OLF) del CMA y Sistema de Notificación Electrónica de Diferencias (EFOD) Módulo 3	Demonstration and Group Exercises (Develop and manage CAPs) / Demostraciones y Ejercicios de Grupo (Desarrollo y gestión de CAP)
09:30 – 10:00	Module 1 Introduction / Módulo 1 Introducción	Protocol Questions (PQ) Self-Assessment and Submission/Update Corrective Action Plans (CAPs) Module 4 / Preguntas de Protocolo (PQ) Auto Evaluación y Entrega /Actualización de los Planes de medidas correctivas (CAP) Módulo 4	
10:00 - 10:15	<i>Coffee break/Pausa para café</i>		
10:15 – 12:30	Overview and updates of the USOAP CMA Module 2 / Panorama y Actualizaciones del USOAP CMA Módulo 2	Demonstrations (Access Control/State Dashboard) / Demostraciones (Control de Acceso/Cuadro de Mando del Estado)	Demonstration (Manage CC/EFOD) / Demostraciones (Manejo de CC/EFOD)
12:30 – 13:30	<i>Lunch time/Almuerzo</i>		
13:30 – 14:15	Module 2 (cont'd) / Módulo 2 (cont.)	Demonstration (Self-Assessment Module) / Demostraciones (Modulo de Auto evaluación)	Demonstration (Manage CC/EFOD) / Demostraciones (Manejo de CC/EFOD)

Time / Horario	Tuesday 12 February 2019 / Martes 12 de febrero de 2019	Wednesday 13 February 2019 / Miércoles 13 de febrero de 2019	Thursday 14 February 2019 / Jueves 14 de febrero de 2019
14:15 – 15:30.			Demonstration (E-Supplements) / Demostraciones (E-Suplementos)
15:30 – 15:45	<i>Coffee break / Pausa para café</i>		
15:45 – 16:30	Module 2 (cont'd) / Módulo 2 (cont.)	Demonstration and Group Exercises (Develop and manage CAPs) / Demostraciones y Ejercicios de Grupo (Desarrollo y manejo de CAP)	Questions/Discussion Session / Periodo para Preguntas/Discusión