



ICAO

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

Fourth Regional Meeting for National Continuous Monitoring Coordinators Working Group

(NCMC/WG/4)

Final Report

On line, 27 September 2021

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HISTORICAL

ii.1 Place and Date of the Meeting

The Fourth Regional Meeting for National Continuous Monitoring Coordinators Working Group (NCMC/WG/4) was held on line on 27 September 2021.

ii.2 Opening Ceremony

Opening remarks were provided by Mr. Marcelo Orellana, Regional Officer Safety Implementation of the North American, Central American and Caribbean (NACC) Regional Office, who welcomed participants and officially opened the meeting

ii.3 Officers of the Meeting

The NCMC/WG/4 Meeting was held with the participation of the members of the NCMC/WG. Mr. Marcelo Orellana Regional Office, NACC SAF/RO/1 served as Secretary of the Meeting.

The Meeting had the participation of the different NACC Regional Officers for safety and air navigation, as well the support from the ICAO Headquarters Safety Oversight Audit (SOA) Section.

ii.4 Working Languages

The working languages of the Meeting were English and Spanish. The working papers, information papers and draft 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 10:00 to 14:00 hours daily with adequate breaks.

ii.6 Agenda

Agenda Item 1: Adoption of the Provisional Agenda and Schedule

Agenda Item 2: Valid Actions from NCMC Meetings

Agenda Item 3: General Universal Safety Oversight Audit Programme (USOAP) Updates

Agenda Item 4: Updates to the NCMCs Terms of Reference (ToRs)

Agenda Item 5: Regional USOAP Self- Assessment planning

Agenda Item 6: Costa Rica USOAP Experience on Self-Assessment implementation

Agenda Item 7: Other Business

ii.7 Attendance

The Meeting was attended by 21 States/Territories from the NAM/CAR Regions, totalling 40 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 NCMC/WG

List of Draft Conclusions and Decisions

Number	Title	Page
D/1	<i>ENHANCE ORGANIZATION OF THE NATIONAL CONTINUOUS MONITORING COORDINATORS (NCMCs) WORKING GROUP</i>	2-2
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An executive summary of these draft conclusions/decisions is presented in **Appendix A** to this report. The documentation is available at: <https://www.icao.int/NACC/Pages/meetings-2021-ncmc4.aspx>

ii.9 List of Working and Information Papers and Presentations

WORKING PAPERS

Number	Agenda Item	Title	Date	Prepared and Presented by
WP/01	1	Adoption of the Provisional Agenda and Schedule	22/09/21	Secretariat
WP/02	4	NCMC/WGs Terms of Reference Update	26/09/21	Secretariat
WP/03	2	Follow-Up on Valid Conclusions and Decisions from NCMCs 2020 Teleconferences	26/09/21	Secretariat

INFORMATION PAPERS

Number	Agenda Item	Title	Date	Prepared and Presented by
IP/01	--	List of Working, Information Papers and Presentations	22/09/21	Secretariat

PRESENTATIONS

Number	Agenda Item	Title	Presented by
1	3	General USOAP updates	Secretariat
2	6	Costa Rica Experience on Self-Assessment implementation	Costa Rica
3	5	Self-Assessment Planning	Secretariat

LIST OF PARTICIPANTS

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1. Anthony Kirchner
2. Marjanne Silva

BARBADOS

3. Gail Clarke

BELIZE / BELICE

4. Ronise Caliz
5. Carlos Sánchez Rico

BERMUDA / BERMUDAS

6. Karolyn Darrell-Burgess

CANADA / CANADÁ

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27. Hantz Celestin

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28. Paola Velásquez

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Agenda Item 1: Adoption of the Provisional Agenda and Schedule

1.1 The Secretariat presented WP/01 and invited the Meeting to approve the Provisional Agenda and Schedule. The Meeting revised the Agenda and approved the Schedule as presented, adjusting Agenda items 5 and 6 for a better description, as shown highlighted in yellow below:

Agenda Item 1: Adoption of the Provisional Agenda and Schedule

Agenda Item 2: Valid Actions from NCMC Meetings

Agenda Item 3: General Universal Safety Oversight Audit Programme (USOAP) Updates

Agenda Item 4: Updates to the NCMCs Terms of Reference (ToRs)

Agenda Item 5: Regional USOAP Self- Assessment planning

Agenda Item 6: Costa Rica USOAP Experience on Self-Assessment implementation

Agenda Item 7: Other Business

Agenda Item 2: Valid Actions from NCMC Meetings

2.1 The Secretariat reviewed all the valid actions discussed in the previous NCMC/WG/3 Meeting and 2020 teleconferences. The Meeting recognized that most of these actions had not been executed due to the pandemic. The valid action items discussed were the following:

1. Creation of the working groups according to the State language (English or Spanish).
2. Review of the Terms of Reference (ToRs) governing the working groups and the operation methodology.
3. Establishment of a timeframe for the execution of the functions related to the State's NCMCs.
4. Homologation of the period of time of the NCMCs' mandate and the working groups rapporteurs to three years.
5. Strengthening of the NCMCs' functions beyond the coordination of audits, in order to be a quality control within the authorities, which will allow identifying improvements opportunities and the coordinated correction of deficiencies as part of the State Safety Programme (SSP).
6. Evaluate the needs of the personnel that performs NCMC functions in the States, since in almost all States there is only one responsible person, considering that the NCMC, in most cases, performs additional functions.
7. NCMCs will resume Computer-Based Training (CBT) and its corresponding working group in accordance with their technical field.
8. Nomination of the working groups rapporteurs.
9. Seek approval and support to the ToRs and work plans with the Directors of the Civil Aviation Authorities (CAA) through the ICAO NACC Regional Office Regional Director.

2.2 The Meeting agreed on the following decisions:

DECISION	
NCMC/WG/04/01	ENHANCE ORGANIZATION OF THE NATIONAL CONTINUOUS MONITORING COORDINATORS (NCMCs) WORKING GROUP
<p>What:</p> <p>That, in order to improve the effectiveness and communication among the States that are part of the NCMC working group (NCMC/WG) and better organize the execution of the work inherent to the WG, it was decided to:</p> <p>a) conduct the future NCMC/WG meetings with the support of two rapporteurs, one for the English-speaking States/Territories and another for the Spanish-speaking States;</p> <p>b) update the ToRs of the NCMC/WG;</p> <p>c) establish a timeframe for the execution of the functions related to the State's NCMCs</p> <p>d) homologate of the period of time of the NCMCs' mandate and the working groups rapporteurs to three years.</p>	<p>Expected impact:</p> <p><input type="checkbox"/> Political / Global</p> <p><input type="checkbox"/> Inter-regional</p> <p><input type="checkbox"/> Economic</p> <p><input type="checkbox"/> Environmental</p> <p><input checked="" type="checkbox"/> Operational/Technical</p>
<p>Why:</p> <p>To enhance the effectiveness and communication, promoting the interrelation among the States conducting the NCMC/WG Meetings with two rapporteurs – one for the English-speaking States/Territories and another for the Spanish-speaking States and to have a better organization of the NCMC/WG tasks in coordination with the Secretariat.</p>	
<p>When: 30 November 2022</p>	<p>Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed</p>
<p>Who: <input checked="" type="checkbox"/> States <input checked="" type="checkbox"/> ICAO <input checked="" type="checkbox"/> Other:</p>	<p>NCMC/WG</p>

DECISION NCMC/WG/04/02	SUPPORT	NATIONAL	CONTINUOUS	MONITORING
COORDINATORS (NCMCs) FUNCTIONS AND TRAINING				
<p>What:</p> <p>That, understanding that the functions of the NCMC extend beyond the coordination of audits and perform neural functions of management and coordination of tasks and quality control of safety issues of their States, the NCMC/WG will :</p> <p>a) assist in strengthening the NCMCs’ functions beyond the coordination of audits, propose recommendations in order to be a quality control within the authorities, which will allow to identify improvements opportunities and the coordinated correction of deficiencies as part of the State Safety Programme (SSP);</p> <p>b) provide recommendations on the needs of NCMC, considering that the NCMC, in most cases, performs additional functions; and</p> <p>c) recommend Computer-Based Training (CBT) in accordance with their specific USOAP technical areas (LEG/ORG/PEL/AIR/OPS/ANS/AIG/AGA).</p>	<p>Expected impact:</p> <p><input type="checkbox"/> Political / Global</p> <p><input type="checkbox"/> Inter-regional</p> <p><input type="checkbox"/> Economic</p> <p><input type="checkbox"/> Environmental</p> <p><input checked="" type="checkbox"/> Operational/Technical</p>			
<p>Why:</p> <p>To strengthen and improve the performance of the NCMCs, as well as to encourage the improvement of the State safety oversight and the information that is uploaded to the ICAO Online Framework (OLF).</p>				
When: 31 December 2022	Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed			
Who: <input checked="" type="checkbox"/> States <input checked="" type="checkbox"/> ICAO <input type="checkbox"/> Other:	NCMCs			

Agenda Item 3: General USOAP Updates

3.1 Under P/01, the Secretariat presented the updates made to the ICAO Universal Safety Oversight Audit Programme (USOAP), highlighting the following:

1. Phase 2 of the State Safety Programme (SSP) Implementation Assessments (SSPIA) begins in 2022, with the change that it will no longer be voluntary as under Phase 1. ICAO has scheduled three missions for 2022.
2. Progress made in complying with the recommendations proposed by Ad Hoc USOAP Continuous Monitoring Approach (CMA) Advisory Group (USOAP-AG) that include the review of the Protocol Questions (PQs), based on the criteria established in said recommendations. Also, the implementation of the recommendations of the Group of Experts for the Structured Review of the USOAP CMA (GEUSR).
3. Updates to the Online Framework (OLF), including the translation of the 2020 version PQs into the different ICAO official languages, the addition of new functions and fields such as the SSP and updates to the OLF SSPIA self-assessment module in the OLF, among others.
4. For 2022 the activities are subject to change depending on the situation of ICAO and the State.
5. Auditor Training changed from two to three stages, including a stage between Computer Based Training (CBT) and On-the-Job Training (OJT), which is a five-day auditor preparation course starting in September of 2021.

Agenda Item 4: Updates to the NCMCs Terms of Reference (ToRs)

4.1 The Meeting discussed a proposal to update the Terms of Reference (ToRs) of the NCMC/WG reflecting the election of rapporteurs, the future NCMC meeting conducted by two Rapporteurs for the English-speaking States/Territories and Spanish-speaking States and the work programme of the NCMC/WG. This proposal includes:

- The *National State Operational Safety Plan (NASP)* was added under item d on the responsibilities of the working groups. Likewise, the following was added: inform the working groups and the Secretariat those situations that may jeopardize the implementation of the State Safety Programme (SSP) under item n)
- In section 4 on the work methodology, item b) was added on the criteria for the election of rapporteurs, and under item c) numerals i) and iii), explanatory changes were made.
- In section 5 the provisions related to observers who want to participate in the working groups were added, and
- In section 6 related to the work plan, the provision for presentation of the work programme in the first semester of each 3-year period was added.
- the limitation on the number of observers, and that participants from the States be officially designated by their States' Civil Aviation Authority (CAA).

4.2 Under **Appendix B** to this report the revised NCMC/WG ToRs are presented. In this regard, the following decision was formulated for States approval:

DECISION	
NCMC/WG/04/03	APPROVAL OF REVISED NCMC/WG TERMS OF REFERENCE
<p>What:</p> <p>In order to enhance the effectiveness and support of the NCMC/WG to the States NCMC and for the support of the safety oversight activities in the NAM/CAR Regions, the revised NCMC/WG ToRs presented in Appendix B are approved.</p>	<p>Expected impact:</p> <p><input type="checkbox"/> Political / Global</p> <p><input type="checkbox"/> Inter-regional</p> <p><input type="checkbox"/> Economic</p> <p><input type="checkbox"/> Environmental</p> <p><input checked="" type="checkbox"/> Operational/Technical</p>
<p>Why:</p> <p>To enhance the effectiveness and performance of the NCMC/WG</p>	
<p>When: immediate</p>	<p>Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed</p>
<p>Who: <input checked="" type="checkbox"/> States <input type="checkbox"/> ICAO <input type="checkbox"/> Other:</p>	<p>NAM/CAR NCMCs</p>

Agenda Item 5: Regional USOAP Self- Assessment Planning

5.1 The Secretariat presented the following proposed planning for States to continue their USOAP self-assessment, which includes actions/activities per year for States to carry out their self-assessment, periodically every 3 years, as shown in the table:

Year	Actions/ activities
First Year	<ul style="list-style-type: none">• Initial analysis.• Designation of responsibilities within the authority.• Verification of the Corrective Action Plans (CAPs) and coordination with the technical areas.• Request for collaboration with the working group of NCMCs if applicable.• OLF update, as appropriate.
Second Year	<ul style="list-style-type: none">• Reassessment of progress in affected areas• Process adjustments based on reassessment• OLF update, as appropriate.
Third year	<ul style="list-style-type: none">• Final adjustments.• Exercise evaluation.• Learned lessons.

5.2 The Meeting took note of the information that will further discussed under the work programme of the NCMC/WG agenda item.

Agenda Item 6: Costa Rica Experience on USOAP Self-Assessment implementation

6.1 Under P/02, Costa Rica presented its experience on the self-assessment process and the challenges faced, among which the following stand out:

6.2 Used methodology:

Division of tasks by audit area

6.2.1 Each Technical Unit of the CAA was assigned the responsibility of executing a diagnosis of its area of competence, in order to guarantee that the knowledge and experience would be used more effectively, and the best use of the limited institution resources. Nonetheless, units interacted with each other in cross-cutting PQs spanning multiple areas.

A phased work plan

6.2.2 A phased work plan was devised, approved by the General Directorate, and which consists of three main phases:

- General diagnosis of the audit protocol
- Corrective Action Plans (CAP)
- Activities final evaluation

Technical assistance

6.2.3 Through a cooperation agreement, COCESNA'S Central American Aviation Safety Agency (ACSA) provides technical assistance to the technical team of the DGAC, which allows the teams to be strengthened and efficient progress in the identified action plans during the diagnosis phase mentioned above.

Support of the ICAO NACC Regional Office through SAP

6.3 An important element in the work strategy has been the integration of the quarterly teleconferences under the Systemic Assistance Programme (SAP) of the ICAO NACC Regional Office, during which it has been possible to demonstrate the progress of Costa Rica in the aspects related to the Universal Safety Oversight Audit Programme (USOAP). These teleconferences have allowed identification of opportunities for improvement and making adjustments to optimize the work plan.

6.3.1 The time required to carry out the self-assessment and the high level of planning and monitoring required was also explained, as well as the importance of establishing Points of Contact (PoC) in each area and the coordination of the process with the Directorate.

Agenda Item 7: Other Business

7.1 No documentation was presented under this Agenda Item.

**APPENDIX A
EXECUTIVE LIST OF CONCLUSIONS/DECISIONS**

Number	Conclusion/Decision	Responsible for action	Deadline
1	ENHANCE ORGANIZATION OF THE NATIONAL CONTINUOUS MONITORING COORDINATORS (NCMCs) WORKING GROUP		
	That, in order to improve the effectiveness and communication among the States that are part of the NCMC working group (NCMC/WG) and better organize the execution of the work inherent to the WG, it was decided to:		
	a) conduct the future NCMC/WG meetings with the support of two rapporteurs, one for the English-speaking States/Territories and another for the Spanish-speaking States;	States, ICAO and NCMC/WG	30 November 2022
	b) update the ToRs of the NCMC/WG;		
	c) establish a timeframe for the execution of the functions related to the State's NCMCs		
	d) homologate of the period of time of the NCMCs' mandate and the working groups rapporteurs to three years.		
2	SUPPORT NATIONAL CONTINUOUS MONITORING COORDINATORS (NCMCs) FUNCTIONS AND TRAINING		
	That, understanding that the functions of the NCMC extend beyond the coordination of audits and perform neural functions of management and coordination of tasks and quality control of safety issues of their States, the NCMC/WG will:		
	a) assist in strengthening the NCMCs' functions beyond the coordination of audits, propose recommendations in order to be a quality control within the authorities, which will allow to identify improvements opportunities and the coordinated correction of deficiencies as part of the State Safety Programme (SSP);	States, ICAO and NCMCs	31 December 2022
	b) provide recommendations on the needs of NCMC, considering that the NCMC, in most cases, performs additional functions; and		
	c) recommend Computer-Based Training (CBT) in accordance with their specific USOAP technical areas (LEG/ORG/PEL/AIR/OPS/ANS/AIG/AGA)		

3	APPROVAL OF REVISED NCMC/WG TERMS OF REFERENCE		
	In order to enhance the effectiveness and support of the NCMC/WG to the States NCMC and for the support of the safety oversight activities in the NAM/CAR Regions, the revised NCMC/WG ToRs presented in Appendix B are approved.	States, ICAO and NAM/CAR NCMCs	Immediate

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

1. Background

1.1 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.

1.2 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 group name adjustment to be a Working Group (WG) establishing 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.

1.3 During the NCMC/WG Teleconferences held in February 2020, as part of a more effective approach of the work of the WG and the review of the work programme progress led to an adjustment of the existing WG work methodology, by agreeing to conduct the work of the WG with 2 Rapporteurs (English-speaking States and another for Spanish-speaking States), in order to enhance the WG communication.

2. Objective

2.1 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 increase the effective implementation of the NAM/CAR States' Safety Oversight Systems, enhancing their Safety oversight capability and preparedness for the USOAP CMA activities in accordance with ICAO requirements, by:

- working collaboratively, sharing best practices, promoting efficient and effective collaboration among States.
- promoting the empowerment of the activities and functions of the NCMCs toward the quality of information uploaded in the ICAO On line Framework (OLF).
- verifying and supervising the actions taken and work programmes resulting from the Corrective Action Plans (CAPs) and their follow up.
- identifying potential situations or issues that may jeopardize the continuous improvement of the safety oversight capabilities of the states (as required), i.e.: lack of training at regional or individual level.

3. Responsibilities

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

- a) establishing and managing its work programme;
- b) establishing a mechanism 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 actions included on the CAPs ensuring its quality, value and adequacy
- e) identifying opportunities for the improvement of the ICAO USOAP and ensuring their notification through the ICAO NACC Regional Office;
- f) identifying training needs of the NCMCs to coordinate with the NACC Regional Office and/or the respective authorities the delivery of such training;
- g) meeting with the members of the WG periodically as stipulated in the work programme and keep constant communication among the States and the NACC Regional Office;
- h) keeping the awareness among the States on the need of complying with the self-assessment as prescribed in the work programme; and
- i) overseeing and monitoring the revisions of the Annexes and guidance material in order to discuss the trends and necessary actions to be taken by the NCMCs and/or States.

4. Working Methods and Roles

- a) The NAM/CAR/NCMC/WG will be led by two Rapporteurs (one for English-speaking States and another for Spanish-speaking States) who will be elected for a three-year term.
- b) The duties of the NAM/CAR/NCMC/WG Rapporteurs are the following:
 - I. Chair the respective 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.
 - IV. Inform NACC Directors of Civil Aviation (NACC/DCA) meetings on NAM/CAR/NCMC/WG meetings results, in coordination with the NACC Regional Officer, Safety Implementation.
 - V. Notify the NACC Regional Officer, Safety Implementation of any difficulties found to fulfil his/her duties

c) **Rapporteur's selection criteria**

Since the rapporteurs of the WG will coordinate the assigned tasks of the WG, the nomination for these positions will be done by election of the WG Members considering the following desirable criteria:

- I. should have a minimum of 3 years of experience as NCMC of the State
- II. should have the support and authorization from the DG of his/her authority to collaborate with ICAO as rapporteur
- III. should have the willingness to collaborate with the Secretariat as rapporteur and freely accept the nomination.
- IV. should be elected as acceptable by the States conforming the working group

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

- i. present its work programme activities to the Secretariat, in terms of objectives, responsibilities, deliverables and timelines;
- ii. avoid duplication of work with other regional implementation groups, and maintain close coordination among the existing entities to optimize the use of available resources and experience;
- iii. establish "draft conclusions" to record recommendations and actions in meeting reports to facilitate monitoring by the Secretariat;
- 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.

e) The ICAO NACC Regional Office will act as Secretariat and will oversee the progress of the working group.

5. Membership and Observers

5.1 The NCMC/WG shall include all National Continuous Monitoring Coordinators of ICAO States and International Organizations accredited to the ICAO NACC Regional Office.

5.2 The Regional Safety Oversight Organizations (RSOOs) can participate in support of the tasks and work plan of the WG.

5.3 Other participation to the WG requested from organizations or particulars willing to participate may be approved as observers, upon consultation among the NCMC/WG Members and the Secretariat.

5.4 The NCMCs may propose observers from their own authorities, prior authorization by their Administration; such proposals must be processed according to the previous paragraph and will be limited to a maximum of three observers.

6. Work Programme

6.1 The NAM/CAR/NCMC/WGs Work Programme should be agreed in the first semester of every three years period, in alignment with the election of the rapporteurs. The update of the WG work programme is possible whenever the circumstances required it.