



ICAO

*International Civil Aviation Organization*

**The Combined Tenth Meeting of the South Asia/Indian Ocean ATM Coordination Group (SAIOACG/10) and Twenty—Seventh Meeting of the South East Asia ATS Coordination Group (SEACG/27)**

Bangkok, Thailand, 30 March – 03 April 2020

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**Agenda Item 3: Review of Current Operations and Problem Areas**

**ANS USOAP UPDATE**

(Presented by the Secretariat)

**SUMMARY**

As the primary tool used in ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the effective implementation of the eight critical elements (CEs) of a State’s safety oversight system, Protocol Questions (PQs) are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents. This working paper focuses on the annual update of Air Navigation Services (ANS) USOAP information.

**1. INTRODUCTION**

1.1 States’ safety oversight capability can be determined by accessing the implementation of PQs. The PQs are organized by eight audit areas and each PQ is associated with one of the eight CEs. The eight audit areas are Primary aviation legislation and specific operating regulations (LEG); Civil aviation organization (ORG); Personnel licensing and training (PEL); Aircraft operations (OPS); Airworthiness of aircraft (AIR); Aircraft accident and incident investigation (AIG); Air navigation services (ANS); and Aerodromes and ground aids (AGA).

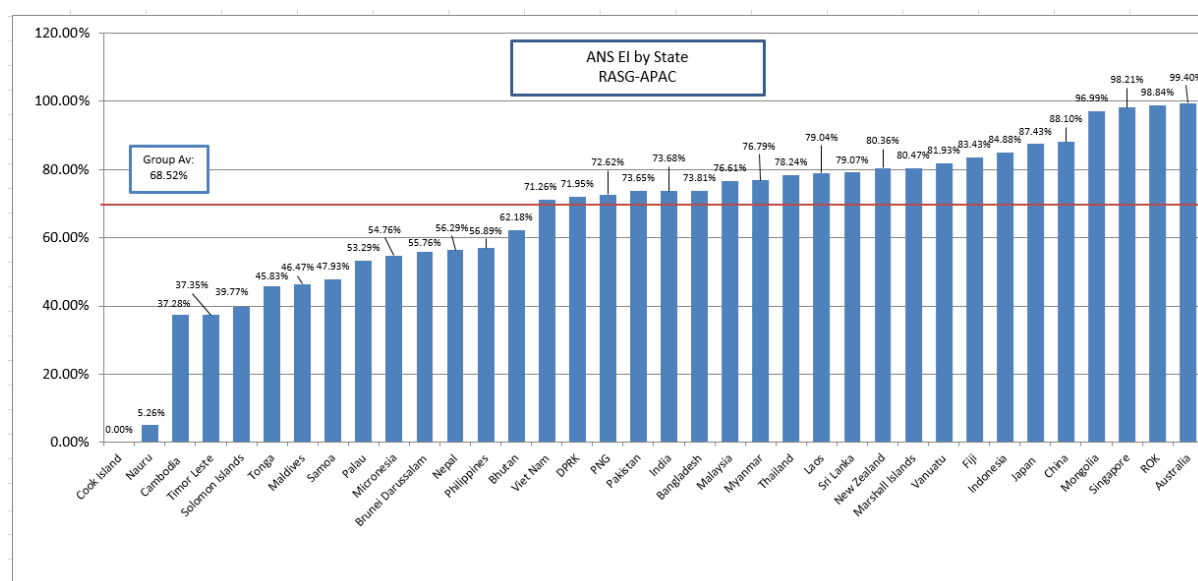
1.2 As per requirements by ICAO USOAP CMA, if a State has implemented all the elements of the PQ and has provided all the relevant evidence, it is fully addressed a PQ, the PQ is assessed as “satisfactory”. If a State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as “not satisfactory”. The State is required to develop and implement a corrective action plan (CAP) which addresses all elements of the “not satisfactory” PQ, including presentation of the necessary supporting documentation and evidence.

1.3 The 2017 edition of the USOAP CMA Protocol Questions (PQs) had been revised on the basis of the 2016 edition, and excluded aspects related specifically to the State Safety Programme (SSP). There were no new 2018 ANS PQs.

**2. DISCUSSION**

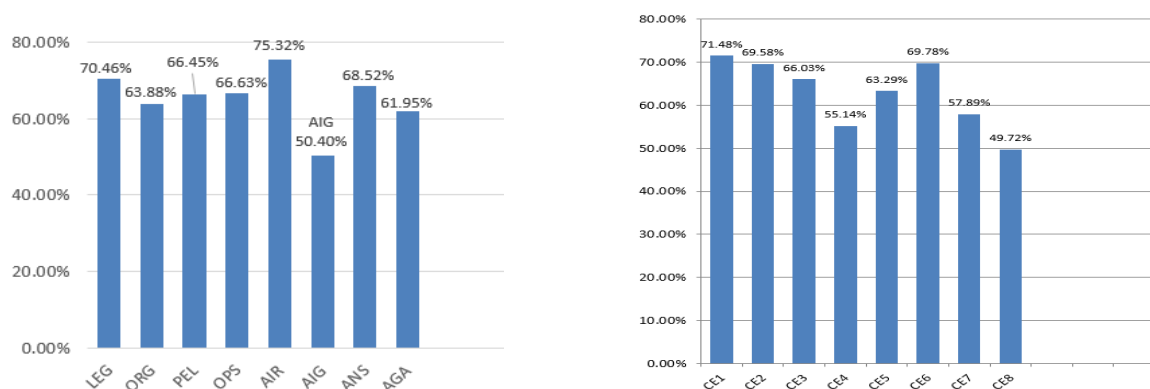
Regional USOAP ANS Implementation Status

2.1 **Figure 1** provides an average level of Effective Implementation (EI) for the 36 States in APAC region that had been audited or received a USOAP activity. The average EI of APAC region is 68.52% (February 2020). There are 22 States the ANS EI is above 60%. Data source was from USOAP Continuous Monitoring Approach (CMA) Online Framework (OLF).



**Figure 1: USOAP EI Comparisons by State (February 2020)**

2.2 **Figure 2** provides information on the Asia/Pacific Region’s EI by Area/Critical Element.



**Figure 2: APAC EI by Area and Critical Element (February 2020)**

2.3 The following data is provided for the comparison of effective implementation of the seven ANS fields under USOAP using the specific PQs related to these fields:

ANS Fields	EI of Each ANS Field (%)	
	February 2019	February 2020
ATS	71.47%	72.98%
AIS	67.11%	69.7%
PANS OPS	66.91%	69.57%
CHARTS	61%	65.54%
CNS	73.80%	73.71%
MET	68.17%	70.79%
SAR	58.99%	61.21%

**Table 1: USOAP EI Comparisons by ANS Fields**

CE4, CE7 and CE8 PQs in ANS Area

2.4 From Figure 2, we can see that the average EIs of CE4, CE7 and CE8 were lower than 60%. If the State understands the CE deliverable as follows, and reads the PQ, guidance to auditors and any previous finding in conjunction with the CE, then it should be clear what the auditor is seeking:

- CE-4: systems described in organizational manuals used to assure the competency of the CAA’s regulatory personnel such as the selection, training and assessment of auditors.
- CE-7 – systems described in CAA operational unit’s manuals to effectively conduct surveillance of approval, licence or certificate holders, which normally involves sampling using audit checklists (including unannounced spot checks); and
- CE-8 – systems described in organizational manuals that provide a means of reporting, identification, tracking, analysis, and resolution of safety concerns, including those stemming from safety incidents and accidents (focusing on systemic or ‘preventive’ actions, rather than individual ‘corrective’ actions).

2.5 States with lower EI of CE4, CE7 and CE8 need to raise their attention level and do more practical work on the selection and training of inspectors, effective surveillance, resolution of safety concerns.

**3. ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) note the information contained in this paper; and
- b) discuss any relevant matters as appropriate.

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