Fourth Meeting of the Asia/Pacific Aerodrome Assistance
Working Group (AP-AA/WG/4)

Video Teleconference, 14 to 16 March 2022

Agenda Item 6:   ICAO USOAP in AGA

ICAO USOAP CMA AND AGA FINDINGS

(Presented by the Secretariat)

SUMMARY

This paper provides APAC average AGA EI scores derived from the USOAP –
CMA online framework and USOAP CMA Audit common findings in AGA area.

1.   INTRODUCTION

1.1   ICAO Assembly at its 40th Session (September – October 2019) adopted Resolution
A40-13 (which superseded Resolution A37-5) and directed ICAO to:

  a)   continue evolving the USOAP CMA into a more evidence-based, risk-informed
        and result-oriented programme to be applied on a universal basis in order to
        assess the effectiveness and sustainability of States' safety oversight systems,
        as well as the progress of States in implementing safety management
        requirements, in particular State Safety Programmes (SSPs);

  b)   ensure that the USOAP CMA continues to maintain as core elements the key
        safety provisions contained in *Annex 1 — Personnel Licensing, Annex 6 —
        Operation of Aircraft, Annex 8 — Airworthiness of Aircraft, Annex 11 — Air
        Traffic Services, Annex 13 — Aircraft Accident and Incident Investigation,
        Annex 14 — Aerodromes, and Annex 19 — Safety Management*;

  c)   continue the sharing of Significant Safety Concerns (SSCs), in accordance with
        established procedures on the sharing of safety information, with interested
        stakeholders and the public to allow them to make an informed decision about
        the safety of air transportation; and

  d)   make all safety oversight-related information generated by the USOAP CMA
        available to all Member States through the ICAO restricted website.

1.2   The USOAP CMA aimed in particular at assessing Contracting States' capabilities to
ensure an effective oversight of the aviation systems through the implementation of the eight critical
elements of a safety oversight system. These critical elements include in particular:

  The *"Establishment CEs"*:

  Critical Element (CE) 1 – Primary aviation legislation
  Critical Element (CE) 2 – Specific operating regulations

Critical Element (CE) 3 – State system and functions

Critical Element (CE) 4 – Qualified technical personnel

Critical Element (CE) 5 – Technical guidance, tools and provision of safety-critical information

The *"Implementation CEs"*:

Critical Element (CE) 6 – Licensing, certification, authorization and approval obligations

Critical Element (CE) 7 – Surveillance obligations

Critical Element (CE) 8 – Resolution of safety issues

1.3   The USOAP CMA focused on eight audit areas as follows:

1)   Primary aviation legislation and specific operating regulations (LEG);

2)   Civil aviation organization (ORG);

3)   Personnel licensing and training (PEL);

4)   Aircraft operations (OPS);

5)   Airworthiness of aircraft (AIR);

6)   Aircraft accident and incident investigation (AIG);

7)   Air navigation services (ANS); and

8)   Aerodromes and ground aids (AGA)

1.4   ICAO launched the third edition of the *Safety Oversight Manual (Doc 9734), Part A — The Establishment and Management of a State Safety Oversight System*. It is expected that this manual will assist States in establishing and implementing their safety oversight systems.

1.5   The *Universal Safety Oversight Audit Programme Continuous Monitoring Manual (Doc 9735)* provides the detailed information about USOAP CMA, specifically the policy, procedures and guidance on the management and conduct of programme activities under the CMA. The Doc 9735 is available at https://soa.icao.int/USOAPLibrary/Library.aspx.

2.   DISCUSSION

ICAO USOAP CMA activities in APAC States in 2020

2.1   The USOAP CMA Activity Plan, which is issued as an Electronic Bulletin and posted on ICAO-NET twice a year, lists the scheduled USOAP CMA activities and can be accessed at ICAO secure portal (https://soa.icao.int/USOAPLibrary/Library.aspx). ICAO Electronic Bulletin (EB) 2022/2 dated 14 January 2021 is provided in **Attachment A**.

2.2   Due to COVID-19 pandemic a limited USOAP CMA onsite activities had been conducted in 2021.

2.3   In 2021, ICAO conducted following USOAP CMA activities in APAC States:

Dates (2021)	States			
	ICVM	Audit	Off-site validation	SSP Implementation Assessment
Jan 2021			Myanmar [Completed]	
Jan 2021			Pakistan [Completed]	
7 to 25 Jun	India (Virtual) [Postponed[1] to 2022]			
Sep 2021			Thailand [Completed]	
13 Sep to 4 Oct		Singapore (Focused Audit) [Postponed[1] to 2022]		Singapore [Postponed[1] to 2022]
5 to 12 Oct 2021	Cambodia [Postponed[1]]			
8 to 18 Nov 2021		Bangladesh [Postponed[1]]		
16 to 19 Nov 2021	Singapore (Virtual) [Completed]			
29 Nov to 10 Dec 2021		Pakistan [Completed]		

Table 1: USOAP CMA activities conducted in 2021 in APAC States

2.4   ICAO planned to conduct following USOAP CMA activities in the Asia and Pacific States in 2022:

Dates (2022)	States			
	ICVM	Audit	Off-site validation	SSP Implementation Assessment
4 to 14 Apr 2022		Singapore (Focused Audit)		Singapore
13 to 25 Apr 2022		Nepal		
11 to 26 May 2022		China [Postponed[1]]		
9 to 16 Nov 2022	India			

Table 2: USOAP CMA activities planned in 2022 for APAC States

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[1] Postponed due to the COVID-19 pandemic.

ICAO USOAP CMA results in AGA

2.5   Figure 1 shows the World and RASG-APAC average Effective Implementation (EI) scores in all areas as of 10 March 2022.
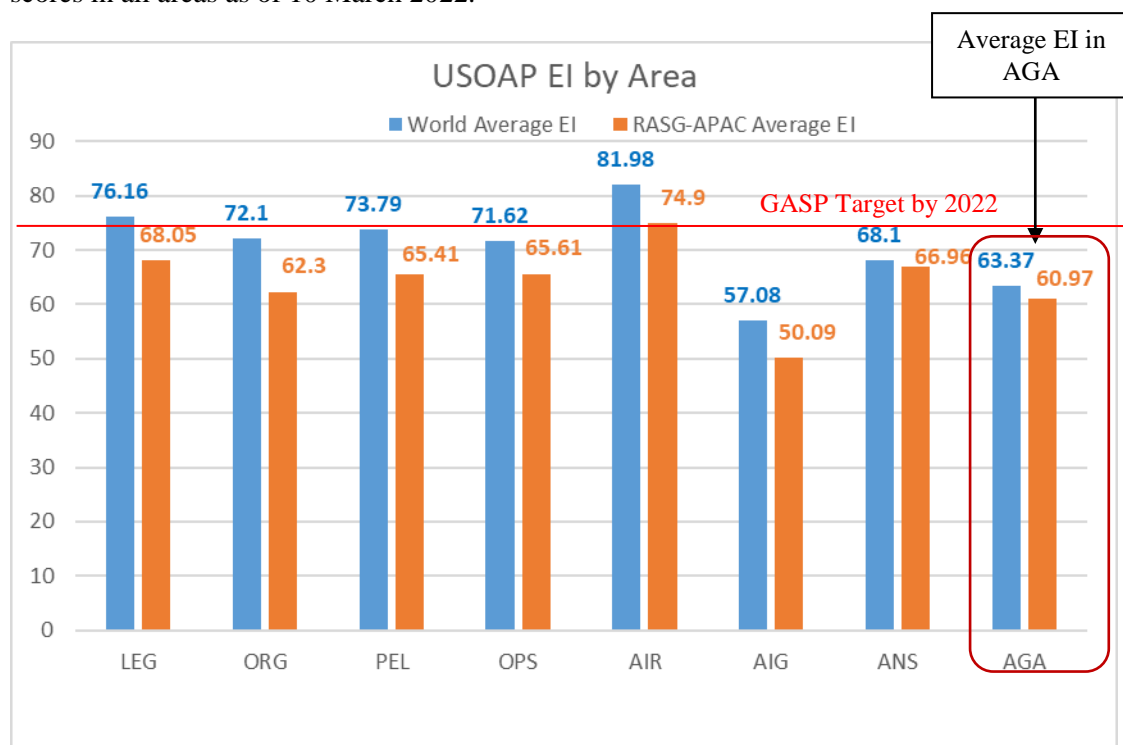

Figure 1: Global and RASG-APAC average Effective Implementation (EI) in all areas
[Source: iSTARS]

2.6   The APAC Average AGA EI scores in all 8 Critical Elements derived from ICAO's Integrated Safety Trend Analysis and Reporting System (iSTARS 3.0 SPACE) using PQ Tester application for year 2017 – 2022 are shown in the table below:

	APAC average EI in AGA (in %)	Critical Elements (CEs) – AGA Area							
		CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
March 2022 (AP-AA/WG/4)	***60.97*** *[Global Average 63.37]*	72.22	71.53	61.61	40.88	67.46	64.28	57.14	45.69
June 2021 (AOP/SG/5)	***61.43*** *[Global Average 62.72]*	75.00	71.33	62.56	41.40	68.04	64.51	58.16	46.96
Oct. 2020 (AOP/SG/4)	*61.41* *[Global Average 62.65]*	75.00	68.64	64.44	42.73	58.61	63.26	58.11	38.42
June 2019 (AOP/SG/3)	*60.52* *[Global Average 61.59]*	75.68	66.80	62.13	42.30	58.14	63.87	58.87	39.77
June 2018 (AOP/SG/2)	*57.87* *[Global Average 59.5]*	68.57	65.78	55.71	38.18	49.60	60.45	53.01	~~51.13~~ [Error]
May 2017 (AOP/SG/1)	***56.29*** *[Global Average 57.99]*	68.57	63.3	53.65	33.17	51.9	59.78	55.2	39.44

Table 3:   APAC Average AGA EI scores in all 8 Critical Elements
[Source: PQ Tester in iSTARS]

2.7   It is noted that there is a slight decrease of the EI scores (APAC average AGA EI and its corresponding CEs) for 2022 while comparing with EI data obtained for 2021. This is primarily due to adjustment of the EI because of the reduction of AGA PQs from 168 (2017 AGA PQs) to 143 (2020 AGA PQs) numbers (please refer to *IP/04 for USOAP CMA Protocol Questions – 2020 Edition*), and partially due to some decline in AGA EI of Pakistan as a result of the USOAP CMA Audit conducted in November 2021.

2.8   As per survey conducted by ICAO APAC Office, about 50% of APAC States/ Administrations have their EI in AGA area less than 75%. Therefore, States/Administration with EI less than 75% would require more resources and efforts to enhance their EI and meet the 75% EI target by 2022 as set forth in the ICAO *Global Aviation Safety Plan (GASP) 2020-2022* (Doc 10004).

USOAP Findings in AGA area

2.9   The most common findings in AGA area are related to:

- outdated primary aviation legislation **[CE–1]** not reflecting the current civil aviation situation or not establishing a civil aviation authority with the necessary human resources and vested with necessary powers, including for issuing, suspending or cancelling aerodrome certificates;

- the absence of specific operating regulations **[CE–2]** transposing into national standards from Annex 14 provisions and prescribing the conditions and criteria for the certification of aerodromes;

- the lack of dedicated entity within the CAA **[CE–3]** tasked with aerodrome regulation and certification, or when this entity exists, inadequate technical staff due to difficulties in attracting and retaining qualified personnel and/or of inadequate technical staff job descriptions not covering all the fields of expertise required for aerodrome certification and continuing surveillance;

- the lack of training programme taking account of technical staff training requirements **[CE–4]** and defining the various training activities required to access the various levels of aerodrome inspector functions;

- the lack of guidance material **[CE–5]** intended for aerodrome operators as well as for regulatory technical staff, including the lack of an approved process describing the various steps for the certification of an aerodrome and up-to-date ICAO documentation;

- the lack of an aerodrome inspector's handbook with methodology and procedures for initial audit and continuing surveillance, including checklists in the various disciplines **[CE–5]** to assist in the conduct of office review of aerodrome manuals and on-site aerodrome inspections;

- the lack of implementation of aerodrome certification and safety management requirements and publication of status of certification of aerodromes in the AIP **[CE–6]**;

- the lack of policy and procedures for accepting non-compliance with established requirements, including risk assessment mechanism and notification procedures **[CE-6]**;

- the lack of surveillance programme and plan for continuing surveillance of certified aerodromes **[CE–7]** and a methodology to address safety concerns identified during surveillance inspections, and enforcement procedures **[CE–8]**.

State's Actions on USOAP CMA On-line Framework (OLF)

2.10   The following actions are required from States through USOAP CMA OLF:

a)   continuous update of the compliance checklist/EFOD and SAAQ;

b)   submission of the Corrective Action Plans (CAPs) on the USOAP CMA OLF, and inform the ICAO Regional Office when complete and ready for review; and

c)   implementation of the CAPs and complete the self-assessment of the PQs on the OLF, including uploading the evidence documents, to report the progress on the OLF, and inform the ICAO Regional Office when complete and ready for validation.

3.   ACTION BY THE MEETING

3.1   The Meeting is invited to:

a)   note the information contained in this paper;

b)   urge States/Administrations to take action in accordance with Paragraph 2.10;

c)   urge States/Administration with EI less than 75% to put more resources and efforts to improve EI to meet the 75% of GASP target by 2022; and

d)   request States to approach respective COSCAPs, Pacific Aviation Safety Office (PASO) or ICAO APAC Office if State(s) require assistance in USOAP CMA.

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International Civil Aviation Organization

ELECTRONIC BULLETIN

For information only

EB 2022/2   14 January 2022

ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME — ACTIVITY PLAN

1.   The ICAO Universal Safety Oversight Audit Programme (USOAP) Activity Plan, published twice a year and posted on the USOAP Continuous Monitoring Approach (CMA) online framework (https://www.icao.int/usoap), lists the completed and planned CMA audits, ICAO Coordinated Validation Missions (ICVMs), State Safety Programme Implementation Assessments (SSPIAs), off-site validation activities and workshops for the current and coming years (see Attachments A and B for details). The activity plan published in January constitutes an update to the activity plan in June of the previous year. The 2022 activity plan was first published on 25 June 2021 through Electronic Bulletin EB 2021/21.

2.   States are selected for CMA audits and ICVMs based on various factors, including risk indicators, previous audit results, deferrals, the level of activities in the State and progress made by States in resolving identified deficiencies. ICAO also conducts ICVMs for States with a Significant Safety Concern (SSC), once sufficient information is received indicating that the SSC has been resolved.

3.   To support the USOAP CMA objectives, States are strongly urged to accept the dates of a scheduled USOAP activity and to refrain from making deferral requests.

4.   Each year, ICAO also carries out a number of off-site validation activities for States which have satisfactorily addressed certain findings (mostly related to Critical Elements 1 to 5) in the relevant audit areas. Off-site validation activities completed in 2021 are shown in Attachment A.

5.   In 2021, 3 CMA audits (including 1 documentation-based audit and 1 focused audit) and 8 ICVMs were completed, along with 10 off-site validation activities and 1 SSPIA.

6.   For 2022, 23 USOAP CMA activities have been scheduled (excluding off-site validation activities): 15 CMA audits (including 3 focused audits), 5 ICVMs and 3 SSPIAs. States interested in receiving a CMA activity (either on-site or off-site) are advised to contact the Deputy Director, Monitoring and Oversight, Air Navigation Bureau by email at usoap@icao.int. Such requests will be considered based on various factors listed in paragraph 2 above, as well as available ICAO resources.

7.   USOAP CMA workshops have been conducted in ICAO Regional Offices and Member States since 2013. In 2021, only 1 SSPIA workshop was conducted due to the COVID-19 pandemic. For 2022, 6 workshops (including 3 SSPIA workshops) have been tentatively scheduled.

Enclosures:
    A — Status of USOAP CMA activities in 2021
    B — USOAP CMA Activity Plan for 2022

Issued under the authority of the Secretary General

ATTACHMENT A to EB 2022/2

USOAP CMA Activities — Status for 2021

Note 1.— States and organizations are listed by region and in alphabetical order. Organizations come after States.

Note 2.— Dates for audits and ICVMs represent the on-site or virtual activity dates. For off-site validation activities, the dates represent the publication dates of the final reports.

State/Organization	Type of Activity	Dates	Status
Asia and Pacific (APAC) Region			
Bangladesh	Audit	8 to 18 Nov 2021	Postponed[1]
Cambodia	ICVM	5 to 12 Oct 2021	Postponed[1]
India	ICVM (virtual)	7 to 25 Jun 2021	Postponed[1] to 2022
Myanmar	Off-site validation	Jan 2021	Completed
Pakistan	Audit	29 Nov to 10 Dec 2021	Completed
	Off-site validation	Jan 2021	Completed
Singapore	SSPIA and Focused Audit	13 Sep to 4 Oct 2021	Postponed[1] to 2022
	ICVM (virtual)	16 to 19 Nov 2021	Completed
Thailand	Off-site validation	Sep 2021	Completed
Eastern and Southern African (ESAF) Region			
Botswana	ICVM	7 to 14 Sep 2021	Postponed[1] to 2022
Djibouti	Documentation-based Audit	15 Feb to 5 Mar 2021	Completed
European and North Atlantic (EUR/NAT) Region			
Armenia	Off-site validation	Jul 2021	Completed
Germany	ICVM (virtual)	30 Sep to 11 Oct 2021	Completed
Iceland	ICVM (virtual)	26 Apr to 14 May 2021	Completed
Italy	SSPIA and Focused Audit	2 to 21 Dec 2021	Postponed[1] to 2022
Kazakhstan	ICVM (virtual)	2 to 11 Aug 2021	Completed
Malta	ICVM (virtual)	6 to 21 Apr 2021	Completed
Morocco	Off-site validation	Jan 2021	Completed
Republic of Moldova	Audit	6 to 16 Sep 2021	Postponed[1] to 2022
Slovenia	Off-site validation	Oct 2021	Completed
Spain	Focused Audit (virtual)	22 to 23 Jun 2021	Completed
Switzerland	Off-site validation	Jul 2021	Completed
Middle East (MID) Region			
Iran (Islamic Republic of)	Audit	29 Nov to 11 Dec 2021	Postponed[1] to 2022
Kuwait	Off-site validation	Nov 2021	Completed
North American, Central American and Caribbean (NACC) Region			
Bahamas	ICVM	2 to 10 Nov 2021	Completed
		6 to 10 Dec 2021	Completed[2]

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[1] Postponed due to the COVID-19 pandemic.

[2] Conducted virtually to cover AIG area only.

State/Organization	Type of Activity	Dates	Status
South American (SAM) Region			
Bolivia (Plurinational State of)	ICVM	23 to 30 Nov 2021	Completed
Colombia	ICVM (virtual)	1 to 17 Feb 2021	Completed
Western and Central African (WACAF) Region			
Côte d'Ivoire	Off-site validation	Sep 2021	Completed
Guinea	Audit	15 to 25 Nov 2021	Postponed[1]
Nigeria	Off-site validation	Jan 2021	Completed

USOAP CMA Workshops — Status for 2021

Note.— Workshops are listed in chronological order.

Location	Type of Workshop	Region	Dates
Canada (virtual)	SSPIA	NACC	13 to 14 Sep 2021
Bangkok, Thailand (regional)	USOAP	APAC	Postponed to 2022[1]
Lima, Peru (regional)	USOAP	SAM	Postponed to 2022[1]
Dakar, Senegal (regional)	USOAP	WACAF	Postponed to 2022[1]

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[1] Postponed due to the COVID-19 pandemic.

USOAP CMA Activities — Planning Status for 2022

Note 1.— States and organizations are listed in alphabetical order and by region. Organizations come after States.

Note 2.— The dates represent the on-site activity dates and may be subject to last-minute change.

State/Organization	Type of Activity	Dates
Asia and Pacific (APAC) Region		
China	Audit	11 to 26 May 2022 Postponed[1]
India	ICVM	9 to 16 Nov 2022
Nepal	Audit	13 to 25 Apr 2022
Singapore	SSPIA	4 to 14 Apr 2022
Singapore	Focused Audit	18 to 25 Apr 2022
Eastern and Southern African (ESAF) Region		
Angola	Audit	30 Nov to 12 Dec 2022
Botswana	ICVM	15 to 22 Jun 2022
Djibouti	Audit[2]	1 to 13 Feb 2022
Djibouti	Audit[2]	TBD
European and North Atlantic (EUR/NAT) Region		
Azerbaijan	ICVM	1 to 8 Jun 2022
Belarus	Audit	6 to 18 Jul 2022
Italy	SSPIA	15 to 27 Jun 2022
Italy	Focused Audit	28 Jun to 5 Jul 2022
Kyrgyzstan	Audit	9 to 21 Feb 2022 Postponed[2]
Republic of Moldova	Audit	26 Jan to 7 Feb 2022
United Kingdom	SSPIA	16 to 28 Nov 2022
United Kingdom	Focused Audit	29 Nov to 6 Dec 2022
Uzbekistan	ICVM	9 to 16 Mar 2022 Postponed[1]
Middle East (MID) Region		
Iran (Islamic Republic of)	Audit	29 Aug to 10 Sep 2022
Lebanon	ICVM	19 to 26 Oct 2022
North American, Central American and Caribbean (NACC) Region		
Canada	Audit	26 Oct to 9 Nov 2022
Mexico	Audit	23 Nov to 7 Dec 2022
Organisation of Eastern Caribbean States (OECS)	ICVM	TBD
South American (SAM) Region		
Argentina	Audit	22 Jun to 4 Jul 2022
Colombia	Audit	30 Mar to 11 Apr 2022

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[1] Postponed due to the COVID-19 pandemic.

[2] To be conducted in two parts (The 1st part has been scheduled for 1-13 Feb 2022, and the 2nd part is to be determined.)

State/Organization	Type of Activity	Dates
Western and Central African (WACAF) Region		
Democratic Republic of the Congo	Audit	31 Aug to 12 Sep 2022
Liberia	Audit	20 Apr to 2 May 2022
Nigeria	ICVM	19 to 26 Jan 2022 Postponed[1]

USOAP CMA Workshops – Planning Status for 2022

Note.— Workshops are listed in chronological order.

Location	Type of workshop	Region	Dates
TBD (regional)	SSPIA	APAC	21 to 25 Feb 2022
Paris, France (regional)	SSPIA	EUR/NAT	14 to 16 Mar 2022
Lima, Peru (regional)	SSPIA	SAM	12 to 14 Dec 2022
Bangkok, Thailand (regional)	USOAP	APAC	TBD
Lima, Peru (regional)	USOAP	SAM	TBD
Dakar, Senegal (regional)	USOAP	WACAF	TBD

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[1] Postponed at the request of the State.