



ICAO

*International Civil Aviation Organization*

**The Tenth Meeting of the APANPIRG ATM Sub-Group  
(ATM/SG/10)**

Bangkok, Thailand, 17 – 21 October 2022

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## **Agenda Item 3: Performance Frameworks and Metrics**

### **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 Protocol Questions (PQs). The PQs are organized by eight audit areas, each 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).

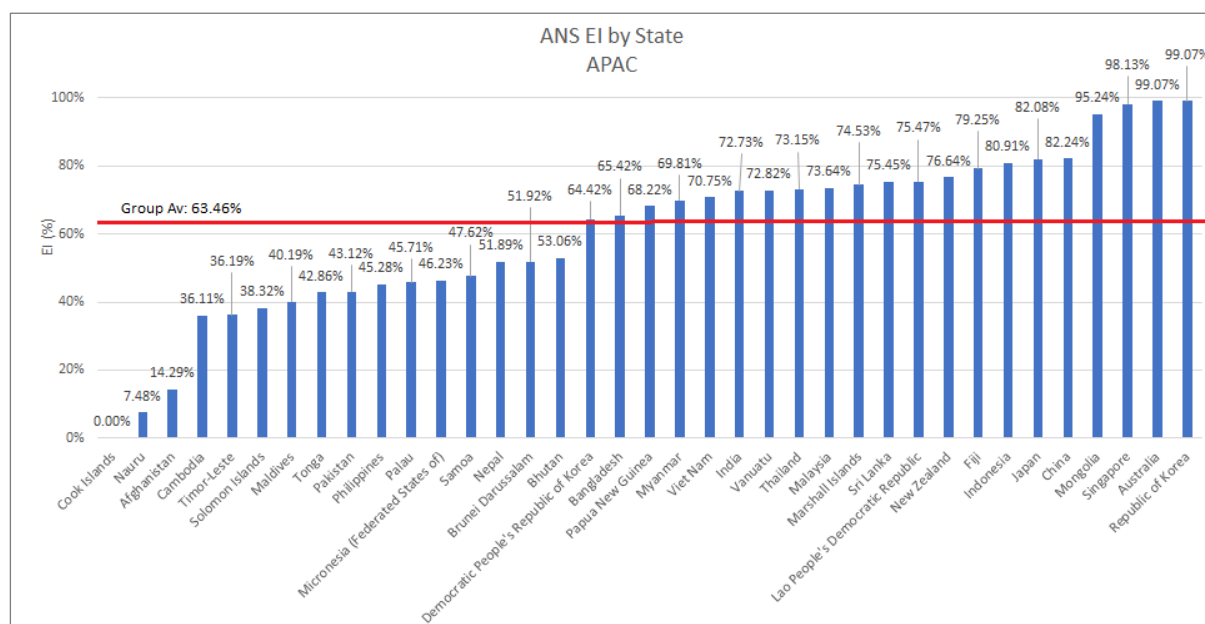
1.2 As per requirements by ICAO USOAP CMA, if a State has implemented all the elements of the PQ and has provided all the relevant evidence, it has fully addressed a PQ and the PQ is assessed as "satisfactory". If a State provides insufficient or no evidence of compliance with the elements outlined in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

1.3 The current USOAP CMA Protocol Questions (PQs) are in the 2020 edition. There were no new 2022 ANS PQs.

## 2. DISCUSSION

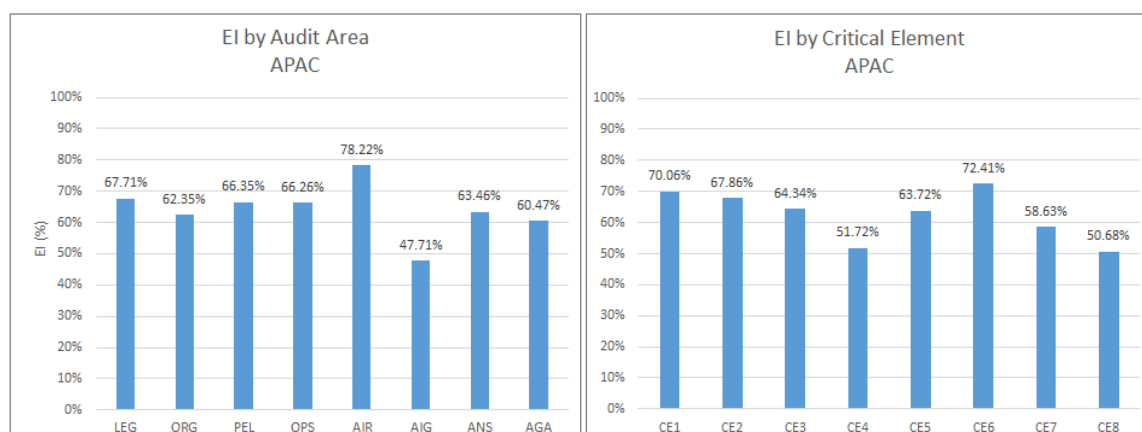
### Regional USOAP ANS Implementation Status

2.1 **Figure 1** provides an average level of Effective Implementation (EI) for the 37 States in APAC region that had been audited or received an USOAP activity. The average ANS-related EI of APAC region is 63.46% (October 2022). There are 21 States the ANS EI is above 60%. The data source was the USOAP Continuous Monitoring Approach (CMA) Online Framework (OLF)<sup>1</sup>, which reflected the 2020 version of PQs and recent USOAP activities such as CMA Audit (CMAA), ICAO Coordinated Validation Mission (ICVM), and Off-Site Validation Activity (OSVA).



**Figure 1: USOAP ANS EI Comparisons by State (October 2022)**

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 (October 2022)**

<sup>1</sup> The USOAP CMA OLF is restricted access only to National Continuous Monitoring Coordinator (NCMC) and State users. Similar data is provided on the ICAO portal website, integrated Safety Trend Analysis and Reporting System (iSTARS 3.0); however, it may take time for the data to be updated.

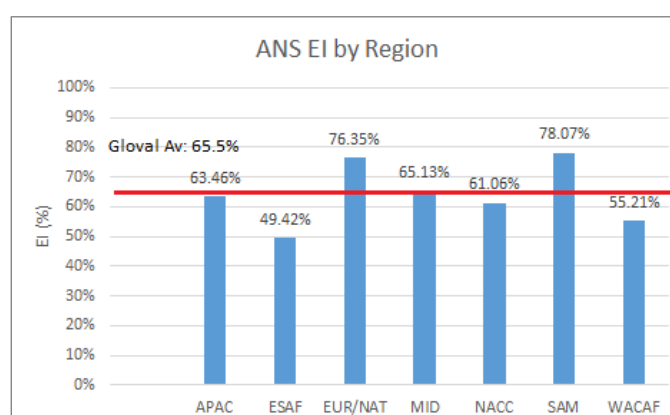
### USOAP activities in 2022 and 2023

2.3 As of the end of June 2022, two CMA audits (including one focused audit) were completed, along with one off-site validation activity and one SSPIA in the APAC Region. Besides, one ICVM will plan for November 2022.

2.4 For 2023, five USOAP CMA activities (including one focused audit) have been scheduled in the APAC Region: three CMA audits (including one focused audit), one ICVM, and one SSPIA.

### Follow-up Virtual CAT Missions in 2021 and 2022

2.5 **Figure 3** provides a summary of the global average level of ANS-related EI for the 187 States that were audited or received an USOAP activity, indicating that APAC is lower than the global average:



**Figure 3:** ANS EI by Region (October 2022)

2.6 Follow-up Virtual Combined Action Team (CAT) Missions project is essentially a collection of follow-up missions to the same APAC States where CAT missions were conducted by ICAO APAC during the last few years. The project was planned for one year from September 2021, extending till November 2022, envisaged to cater for the lockdown period of the pandemic effective in the APAC region. (**Table 1**)

	Critical Elements	Dates
Bhutan	LEG, ORG, PEL, AIR, ANS	8 – 23 November 2021
Kiribati	LEG, ORG, PEL, OPS, ANS, AGA	8 – 19 August 2022
Fiji	LEG, ORG, PEL, OPS, AIR, ANS, AGA	9 – 19 September 2022
Vanuatu	TBD	TBD (November 2022)

**Table 1:** Follow-up Virtual Combined Action Team Missions in 2021 and 2022

### USOAP activities in 2022 and 2023

2.7 As of the end of June 2022, two CMA audits (including one focused audit) were completed, along with one off-site validation activity and one State Safety Plan Implementation Assessment (SSPIA) in the APAC Region. Besides, one ICVM is planned for November 2022.

2.8 For 2023, five USOAP CMA activities (including one focused audit) have been scheduled in the APAC Region: three CMA audits (including one focused audit), one ICVM, and one SSPIA.

USOAP CMA Workshops – planning status for 2023

2.9 USOAP CMA workshops have been conducted in ICAO Regional Offices and ICAO member States since 2013. Four workshops have been tentatively scheduled for 2023, two of them in Bangkok. The details will be shared in due course. (**Table 2**)

Location	Type of workshop	Region	Dates
Mexico City, Mexico (regional)	USOAP – General	NACC	TBD
Bangkok, Thailand (regional)	USOAP – SSPIA	APAC	TBD
Bangkok, Thailand (regional)	USOAP – General	APAC	TBD
Dakar, Senegal (regional)	USOAP – General	WACAF	TBD

**Table 2:** USOAP CMA Workshops – planning status for 2023

**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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