



ICAO

*International Civil Aviation Organization*

The Fifth Meeting of the Asia/Pacific  
Aerodrome Assistance Working Group (AP-AA/WG/5)

*Maldives, 13 to 16 March 2023*

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**Agenda Item 6: USOAP CMA 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 40<sup>th</sup> Session (September – October 2019) adopted Resolution A40-13 (which superseded Resolution A37-5) and directed ICAO to: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 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 2022

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) 2023/2 dated 27 January 2023 is provided in **Attachment A**.

2.2 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.

2.3 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.

2.4 Due to COVID-19 pandemic a limited USOAP CMA onsite activities had been conducted in 2022.

2.5 In 2022, 2 CMA audits (including 1 focused audit) and 1 ICVM were conducted, along with 5 off-site validation activities and 1 SSPIA in APAC States:

Dates (2022)	States			
	ICVM	Audit	Off-site validation	SSP Implementation Assessment
Feb. 2022			China	
18 to 22 Apr 2022				Singapore
4 to 14 Apr 2022		Singapore (Focused Audit)		
13 to 25 Apr 2022		Nepal		
9 to 16 Nov 2022	India			
Nov. 2022			Australia	
Nov. 2022			Bhutan	
Nov. 2022			Philippines	
Dec. 2022			Myanmar	

Table 1: USOAP CMA activities conducted in 2022 in APAC States

2.6 ICAO planned to conduct following USOAP CMA activities in the Asia and Pacific States in 2023:

Dates (2022)	States			
	ICVM	Audit	Off-site validation	SSP Implementation Assessment
15 to 29 Mar 2023 Postponed		China (Postponed due to COVID-19 travel restrictions)		
13 to 25 Jun 2023		Bangladesh (Postponed at the request of the State)		
14 to 26 Jun 2023		Papua New Guinea		
30 Aug to 11 Sep 2023				Australia
13 to 19 Sep 2023		Australia		
2 to 11 Oct 2023	Cambodia			

Table 2: USOAP CMA activities planned in 2023 for APAC States

2.7 ICAO has a plan to conduct the USOAP CMA Workshop in 2023 for Asia and Pacific States. The State Letter for workshop will be issued to States/Administrations as soon as dates for the workshop are finalized.

ICAO USOAP CMA results in AGA Area

2.8 The APAC Average AGA EI scores in all 8 Critical Elements derived from ICAO’s USOAP CMA Online Framework (OLF) for years from 2017 to 2023 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
<b>March 2023</b> <b>(AP-AA/WG/5)</b>	<b>61.2</b> [Global Average <b>62.43</b> ] 168 (2017 PQs) → 143 (2020 PQs)	65.28 (1→2)	67.45 (28→21)	61.61 (7→7)	41.61 (7→7)	64.29 (20→14)	63.58 (64→51)	60.18 (31→32)	46.60 (10→9)
June 2022 (AOP/SG/6)	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	<del>51.13</del> [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: USOAP CMA OLF/ iSTARS 3.0 - PQ Tester]

2.9 It is noted that there is still a lower EI score (APAC average AGA EI and its corresponding CEs) for March 2022 compared to EI data for June 2021 despite of improvement in EI by some States that had received ICVM and Offsite Validation Activities. 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 AP-AA/WG-IP/04 for USOAP CMA Protocol Questions – 2020 Edition).

2.10 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 2024 as set forth in the ICAO *Global Aviation Safety Plan (GASP) 2023-2025* (Doc 10004).

USOAP Findings in AGA area

2.11 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)

2.12

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 2.13;
- 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 2024; 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 2023/2

27 January 2023

### ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME — ACTIVITY PLAN

1. The International Civil Aviation Organization (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 past and current year (see Attachments A and B for details). The activity plan published in January constitutes an update to the activity plan published in June of the previous year. The 2023 activity plan was first published on 30 June 2022 through Electronic Bulletin (EB) 2022/26.
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 2022 are shown in Attachment A.
5. In 2022, 14 CMA audits (including 3 focused audits) and 4 ICVMs were completed, along with 12 off-site validation activities and 3 SSPIAs.
6. For 2023, 27 USOAP CMA activities have been scheduled (excluding off-site validation activities): 18 CMA audits (including 3 focused audits), 6 ICVMs and 3 SSPIAs. States interested in receiving a CMA activity (either on-site or off-site), including on a cost-recovery basis for on-site activities, are advised to contact the Deputy Director, Monitoring and Oversight, Air Navigation Bureau by email at [USOAPInbox@icao.int](mailto:USOAPInbox@icao.int). Such requests will be considered based on various factors listed in paragraph 2 above as well as available ICAO resources.
7. In 2022, 4 USOAP CMA workshops were conducted in ICAO Regional Offices and Member States. For 2023, 4 workshops have been tentatively scheduled.

#### Enclosures:

- A — USOAP CMA Activities and Workshops – Status for 2022
- B — USOAP CMA Activities and Workshops – Planning for 2023

Issued under the authority of the Secretary General

## ATTACHMENT A to EB 2023/2

### USOAP CMA Activities — Status for 2022

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

*Note 2.— Dates for audits, ICVMs, and SSPIAs 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
<b>Asia and Pacific (APAC) Region</b>			
Australia	Off-site validation	Nov 2022	Completed
Bhutan	Off-site validation	Nov 2022	Completed
China	Audit	11 to 26 May 2022	Postponed to 2023 <sup>1</sup>
	Off-site validation	Feb 2022	Completed
India	ICVM	9 to 16 Nov 2022	Completed
Myanmar	Off-site validation	Dec 2022	Completed
Nepal	Audit	13 to 25 Apr 2022	Completed
Philippines	Off-site validation	Nov 2022	Completed
Singapore	SSPIA	4 to 14 Apr 2022	Completed
	Focused audit	18 to 22 Apr 2022	Completed
<b>Eastern and Southern African (ESAF) Region</b>			
Angola	Audit	30 Nov to 12 Dec 2022	Completed
Botswana	ICVM	15 to 22 Jun 2022	Completed
Djibouti	Audit <sup>2</sup>	1 to 14 Feb 2022	Completed
		25 Oct to 6 Nov 2022	Completed
Seychelles	Off-site validation	Nov 2022	Completed
Zimbabwe	Off-site validation	Nov 2022	Completed
<b>European and North Atlantic (EUR/NAT) Region</b>			
Albania	Audit	6 to 18 Jul 2022	Completed
Azerbaijan	ICVM	1 to 8 Jun 2022	Completed
Belarus	Audit	6 to 18 Jul 2022	Postponed <sup>3</sup>
Italy	SSPIA	15 to 27 Jun 2022	Completed
	Focused audit	28 Jun to 5 Jul 2022	Completed
Kyrgyzstan	Audit	9 to 21 Feb 2022	Postponed to 2023 <sup>1</sup>
Luxembourg	Off-site validation	Dec 2022	Completed
Republic of Moldova	Audit	26 Jan to 7 Feb 2022	Completed
Russian Federation	Off-site validation	Aug 2022	Completed
Slovenia	Off-site validation	Nov 2022	Completed
United Kingdom	SSPIA	16 to 28 Nov 2022	Completed
	Focused audit	29 Nov to 6 Dec 2022	Completed
Uzbekistan	ICVM	9 to 16 Mar 2022	Postponed <sup>4</sup>

<sup>1</sup> Postponed due to the COVID-19 pandemic.

<sup>2</sup> Conducted in two parts with different scopes.

<sup>3</sup> Postponed in light of security concern in the border region.

<sup>4</sup> Postponed at the request of the State.

State/Organization	Type of Activity	Dates	Status
<b>Middle East (MID) Region</b>			
Iran (Islamic Republic of)	Audit	29 Aug to 10 Sep 2022	Completed
Lebanon	ICVM	19 to 26 Oct 2022	Postponed <sup>1</sup>
<b>North American, Central American and Caribbean (NACC) Region</b>			
Canada	Audit	26 Oct to 9 Nov 2022	Postponed to 2023 <sup>1</sup>
Mexico	Audit	22 Nov to 6 Dec 2022	Postponed <sup>1</sup>
Organisation of Eastern Caribbean States (OECS)	ICVM (SSC)	28 Feb to 4 Mar 2022	Completed
<b>South American (SAM) Region</b>			
Argentina	Audit <sup>2</sup>	22 Jun to 4 Jul 2022	Completed
		2 to 10 Aug 2022	
Colombia	Audit <sup>2</sup>	30 Mar to 8 Apr 2022	Completed
		25 Apr to 4 May 2022	
Paraguay	Off-site validation	Dec 2022	Completed
<b>Western and Central African (WACAF) Region</b>			
Democratic Republic of the Congo	Audit	31 Aug to 12 Sep 2022	Completed
Guinea	Off-site validation	Dec 2022	Completed
Liberia	Audit	20 Apr to 2 May 2022	Completed
Nigeria	ICVM	19 to 26 Jan 2022	Postponed <sup>1</sup>

### USOAP CMA Workshops — Status for 2022

*Note.— Workshops are listed in chronological order.*

Location	Type of Workshop	Region	Dates
Singapore (virtual)	USOAP – SSPIA	APAC	15 to 22 Feb 2022
Paris, France (regional)	USOAP – SSPIA	EUR/NAT	14 to 16 Mar 2022
Jakarta, Indonesia (cost-recovery)	USOAP – General	APAC	14 to 16 Jun 2022
Lima, Peru (regional)	USOAP – SSPIA	SAM	Cancelled
Lima, Peru (regional)	USOAP – General	SAM	12 to 14 Dec 2022
Bangkok, Thailand (regional)	USOAP - SSPIA	APAC	Cancelled
Bangkok, Thailand (regional)	USOAP – General	APAC	Postponed to 2023 <sup>3</sup>
Dakar, Senegal (regional)	USOAP – General	WACAF	Postponed to 2023 <sup>3</sup>

<sup>1</sup> Postponed at the request of the State.

<sup>2</sup> Conducted in two parts with different scopes.

<sup>3</sup> Postponed due to the COVID-19 pandemic.

## ATTACHMENT B to EB 2023/2

### USOAP CMA Activities — Planning for 2023

*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
<b>Asia and Pacific (APAC) Region</b>		
Australia	SSPIA	30 Aug to 11 Sep 2023
	Focused audit	13 to 19 Sep 2023
Bangladesh	Audit	13 to 25 Jun 2023 Postponed <sup>1</sup>
Cambodia	ICVM	2 to 11 Oct 2023
China	Audit	15 to 29 Mar 2023 Postponed <sup>2</sup>
Papua New Guinea	Audit	14 to 26 Jun 2023
<b>Eastern and Southern African (ESAF) Region</b>		
Botswana	Audit	14 to 23 Feb 2023 Postponed <sup>1</sup>
South Africa	Audit	22 Mar to 3 Apr 2023
Uganda	Audit	6 to 18 Sep 2023
Zimbabwe	ICVM	21 to 28 Jun 2023
<b>European and North Atlantic (EUR/NAT) Region</b>		
Czechia	SSPIA	TBD
	Focused audit	TBD
Greece	Audit	6 to 18 Dec 2023
Kyrgyzstan	Audit	13 to 25 Sep 2023
Morocco	ICVM	4 to 11 Oct 2023
Türkiye	Audit	13 to 25 Sep 2023
Uzbekistan	Audit	17 to 29 May 2023
<b>Middle East (MID) Region</b>		
Oman	Audit	10 to 19 Apr 2023
	ICVM	7 to 14 Nov 2023
Sudan	Audit	7 to 19 Nov 2023
<b>North American, Central American and Caribbean (NACC) Region</b>		
Belize	Audit	22 Nov to 4 Dec 2023
Canada	Audit	31 May to 14 Jun 2023
Organisation of Eastern Caribbean States (OECS)	ICVM	29 Nov to 6 Dec 2023
<b>South American (SAM) Region</b>		
Argentina	ICVM	13 to 17 Feb 2023
Brazil	SSPIA	17 to 29 May 2023
	Focused audit	31 May to 6 Jun 2023
Ecuador	Audit	6 to 18 Sep 2023

<sup>1</sup> Postponed at the request of the State.

<sup>2</sup> Postponed due to COVID-19 travel restrictions.

State/Organization	Type of Activity	Dates
<b>Western and Central African (WACAF) Region</b>		
Democratic Republic of the Congo	Audit	1 to 10 Feb 2023
Nigeria	Audit	30 Aug to 11 Sep 2023
Senegal	ICVM	22 Feb to 1 Mar 2023 Postponed <sup>1</sup>
Sierra Leone	Audit	31 May to 12 Jun 2023

### USOAP CMA Workshops – Planning Status for 2023

*Note.— Workshops are listed in chronological order.*

Location	Region	Dates
Brazil (virtual, SSPIA)	SAM	TBD
Mexico City, Mexico (regional)	NACC	TBD
Bangkok, Thailand (regional)	APAC	TBD
Dakar, Senegal (regional)	WACAF	TBD

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<sup>1</sup> Postponed at the request of the State.