



ICAO

International Civil Aviation Organization

The Second Meeting of the South Asia, Indian Ocean and
Southeast Asia ATM Coordination Group (SAIOSEACG/2)

Bangkok, Thailand, 20 – 24 March 2023

Agenda Item 4: Review of Current Operations and Problem Areas

ANS USOAP UPDATE

(Presented by 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 assessing the implementation of PQs. The PQs are organized by eight audit areas and each PQ is associated with one of the eight Critical Elements (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.

2. DISCUSSION

Regional USOAP ANS Implementation Status

2.1 **Figure 1** provides an average level of Effective Implementation (EI) for the 37 States¹ in APAC region that had been audited or received an USOAP activity in the Area of ANS. The average ANS-related EI of APAC region is 64.24% (February 2023). The data source was the USOAP Continuous Monitoring Approach (CMA) Online Framework (OLF)², which reflected the 2020 version of PQs and recent USOAP activities such as CMA Audit (CMAA), ICAO Coordinated Validation

¹ Cook Islands, Kiribati and Tuvalu have not yet been audited ANS area.

² 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.

Mission (ICVM), and Off-Site Validation Activity (OSVA).

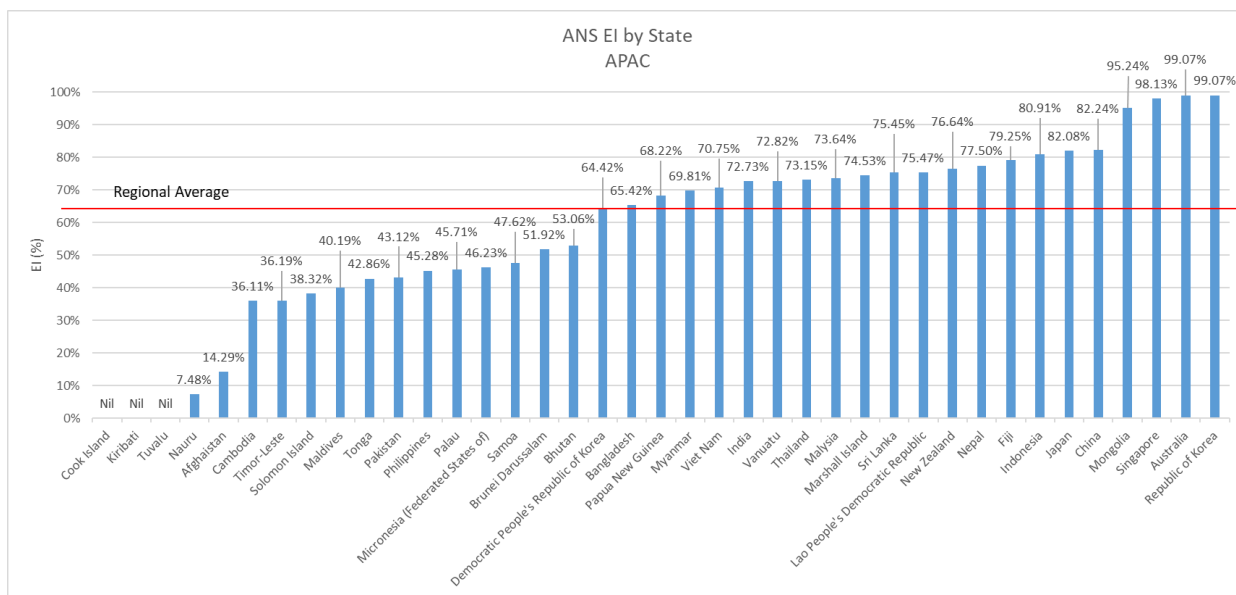


Figure 1: USOAP EI Comparisons by State (February 2023)

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

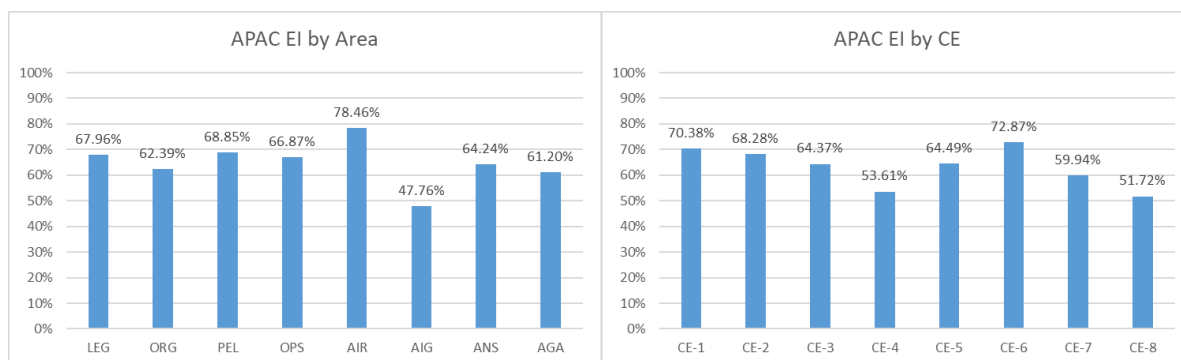


Figure 2: APAC EI by Area and Critical Element (February 2023)

Global and Regional Target

2.3 ICAO Doc10004, *Global Aviation Safety Plan (GASP)* presents the global strategy for the continuous improvement of aviation safety. The GASP contains an aspirational safety goal to achieve and maintain zero fatalities in commercial operations by 2030 and beyond. This goal is deemed "aspirational" as it represents an ambition of achieving an even safer aviation system.

2.4 A series of goals support the aspirational safety goal. The 2023-2025 edition of the GASP contains six goals, one of which is Goal 2 for all States to strengthen their safety oversight capabilities. (Table 1)

Goal	Target	
Goal 2: Strengthen State’s safety oversight capabilities	2.1	All States to improve their score for the effective implementation (EI) of the critical elements (CEs) of the State’s safety oversight system (with focus on Priority PQs ³) as follows: a) by 2024 – 75 percent EI score b) by 2026 – 85 percent EI score c) by 2030 – 95 percent EI score

Table 1: An extract from the Global Aviation Safety Plan’s Goal

2.5 Based on the GASP, ICAO APAC published Asia-Pacific Regional Aviation Safety Plan 2023-2025, including regional goals, one of which is Improvements to safety oversight and compliance. (Table 2)

Regional Goal II: Improvements to safety oversight and compliance	
T10	States to progressively enhance safety oversight capability to achieve at least 75% EI in USOAP CMA, and to achieve an APAC average overall USOAP EI score higher or equal to the global average [by 2024]

Table 2: An extract from the Regional Aviation Safety Plan’s Goal

2.6 **Figure 3** provides information on comparing the Global EI and Asia/Pacific Region’s EI.

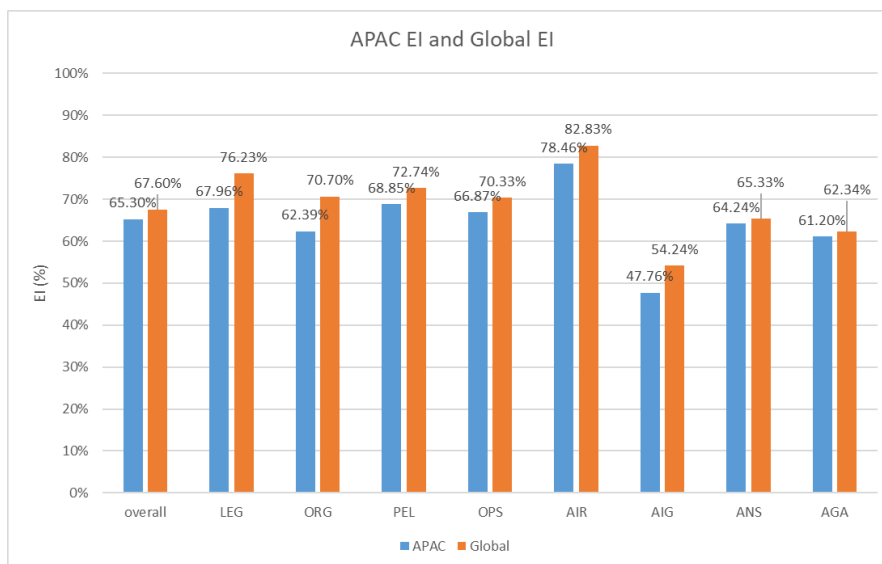


Figure 3: APAC EI and Global EI (February 2023)

³ A subset of PQs is classified as Priority PQs or PPQs, which, if found not satisfactory, may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively.

Developing Corrective Action Plans (CAPs)

2.7 As per the signed MOU between the Member State and ICAO, 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.

2.8 To develop effective CAPs, initial proposed CAPs and subsequent CAP updates should meet the following six criteria.

- 1) *Relevant* — CAPs should address the issues and requirements related to the finding and corresponding PQ and Critical Element (CE).
- 2) *Comprehensive* — CAPs should be complete; including all elements or aspects associated with the finding.
- 3) *Detailed* — CAPs should be laid out in a step-by-step approach, as required, to outline the implementation process.
- 4) *Specific* — CAPs should identify who will do what, when, in coordination with the responsible office or entity.
- 5) *Realistic* — CAPs should be realistic in terms of contents and implementation timelines.
- 6) *Consistent* — CAPs should be consistent in relation to other CAPs and with the State self-assessment.

Updating Corrective Action Plans (CAPs)

2.9 As per the signed MOU between the Member State and ICAO, ensure continuous updating of CAPs by indicating all of the following:

- a) a progress level (in percentage %) for each action item as it is implemented; and
- b) the date of completion for each completed action item.

2.10 If the initial estimated implementation date of an action item has passed and the action has not been completed (or not fully implemented yet), provide a revised implementation date.

3. ACTION BY THE MEETING

3.1 The meeting is invited to:

- a) note the information contained in this paper;
- b) urge States developing and updating of CAPs; and
- c) discuss any relevant matters as appropriate.

.....