



ICAO

*International Civil Aviation Organization*

**The Third Meeting of the South Asia, Indian Ocean and Southeast Asia ATM Coordination Group (SAIOSEACG/3)**

Bangkok, Thailand, 16 – 19 April 2024

## **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 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.

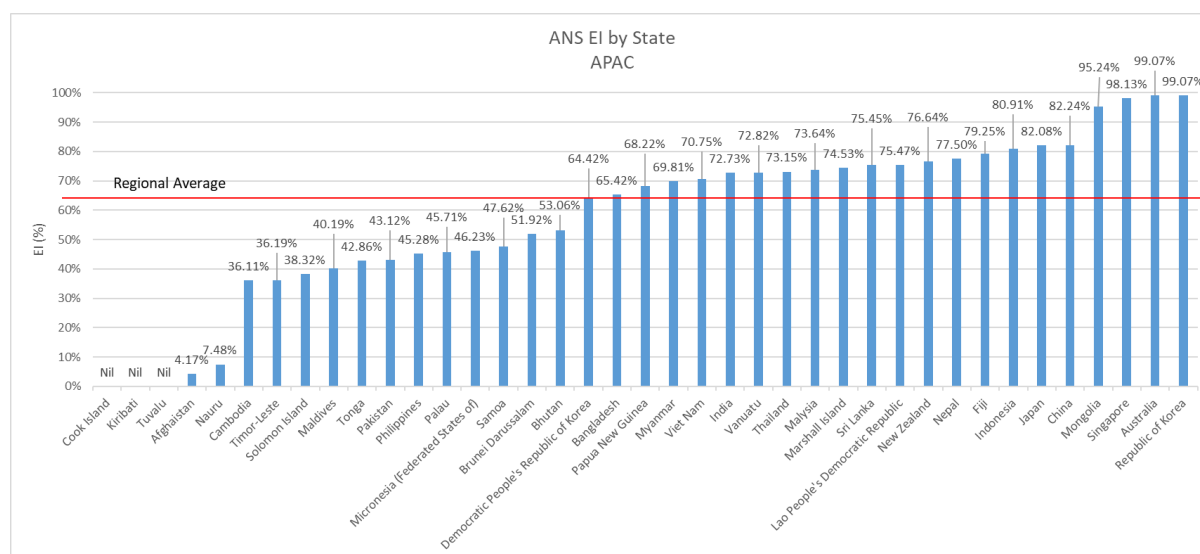
## **2. DISCUSSION**

### Regional USOAP ANS Implementation Status

2.1 **Figure 1** provides an average level of Effective Implementation (EI) for the 37 States<sup>1</sup> 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% (September 2023). The data source was the USOAP

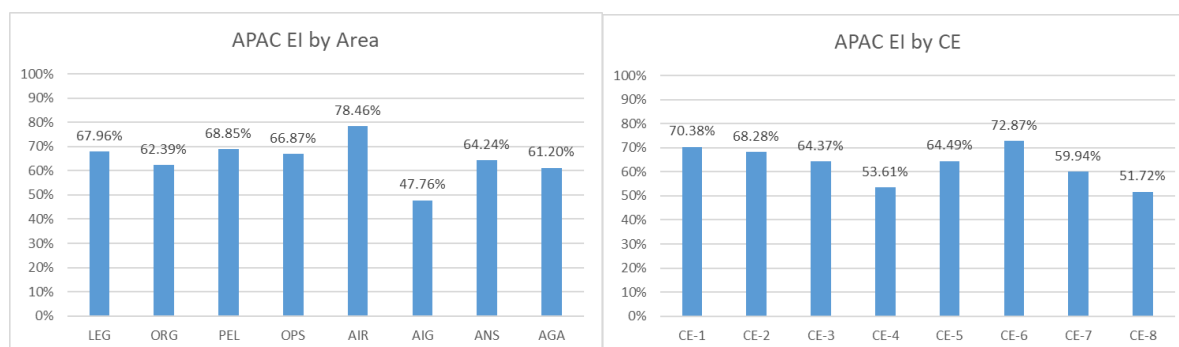
<sup>1</sup> Cook Island, Kiribati and Tuvalu have not yet been audited ANS area.

Continuous Monitoring Approach (CMA) Online Framework (OLF)<sup>2</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 EI Comparisons by State (September 2023)**

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



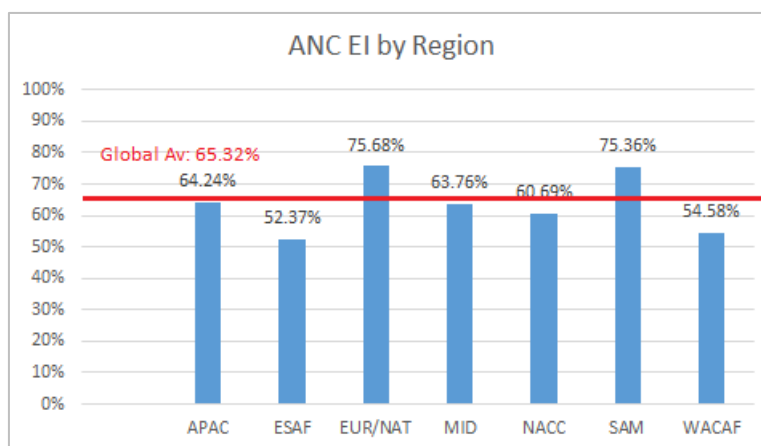
**Figure 2: APAC EI by Area and Critical Element (September 2023)**

### USOAP activities in 2024

2.3 For 2024, four USOAP CMA activities have been scheduled in the APAC Region: three CMA audits, one ICVM.

2.4 **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.

<sup>2</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.



**Figure 3:** ANS EI by Region (September 2023)

#### Developing Corrective Action Plans (CAPs)

2.5 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.

2.6 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)

2.7 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.

2.8 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.

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