

**58<sup>th</sup> CONFERENCE OF  
DIRECTORS GENERAL OF CIVIL AVIATION  
ASIA AND PACIFIC REGIONS**

*Dhaka, People's Republic of Bangladesh  
15 to 19 October 2023*

**AGENDA ITEM 8: CAPACITY DEVELOPMENT  
AND IMPLEMENTATION**

**REGIONAL CAPACITY BUILDING EFFORT FOR APAC**

(Presented by ICAO)

**SUMMARY**

This paper intends to discuss the Capacity Building Effort for the APAC States, mainly focused on CE-4. AP-RASP 23-25 has identified a very important Safety Goal to achieve a 75% regional average EI Level by 2024, in line with GASP Goal 2. Hence, ICAO APAC, in line with the revised ICAO Safety Implementation support policy, has engaged with an initiative to work together with APAC States and Partner Organizations in achieving the goal by executing the support mission to the required states whose EI level is below 75% and to support those States comparing the growth potentials with their size and complexity struggling to implement the SARPs.

Attached to this DP, SISRM 2023-25 is a well-developed implementation roadmap to utilise the resources offered by all APAC and Partner states, International Organizations, Industry Partners and Donors, all working towards one common goal primarily to augment the EI of CE-4 by developing qualified instructors for APAC through 'Train the Trainer' concept. In addition, States may support ICAO efforts on CAT and CATIIC missions by providing appropriate experts.

## REGIONAL CAPACITY BUILDING EFFORT FOR APAC

### 1. INTRODUCTION

1.1 Asia & Pacific (APAC), one of the fastest growing regions, requires robust and effective safety oversight systems to be established by the States/Administrations. States should identify and enhance their safety oversight capability as a high priority, and such capacity-building effort is primarily dependent on the qualified human resources development under Critical Element 4 (CE-4).

1.2 The gap between the growth potential and placement of sufficient qualified human resources in a civil aviation regulatory body is always there, and the ICAO APAC Regional Office took the initiative for such a study since the Asia Pacific Regional Aviation Safety Team (APRAST) and Regional Aviation Safety Group (RASG) was introduced. Since APRAST/5 and RASG-APAC/4 in 2014, some Working Papers were presented, including forming a Task Force to develop an action plan on capacity building called Standardized Capacity Building Programme (SCBP). In addition, APAC RO launched Combined Action Team (CAT) Missions to know the actual picture in the field and recommended many action items to the States. Later this year, in 2023, APAC RO also introduced the Safety Implementation Support Policy, Procedure, and Implementation Road Map (SISRM) for capacity building and Combined Action Team - Implementation of Inspector Competencies (CATIIC) Missions to grow the Inspectors Competency practically by providing OJTs on-site.

### 2. DISCUSSION

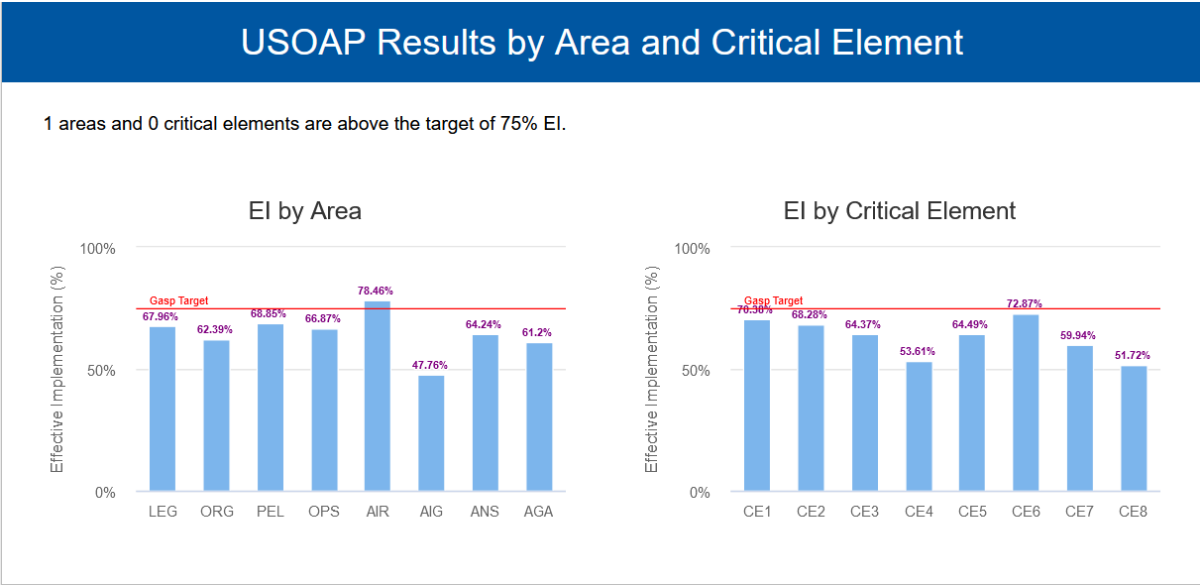
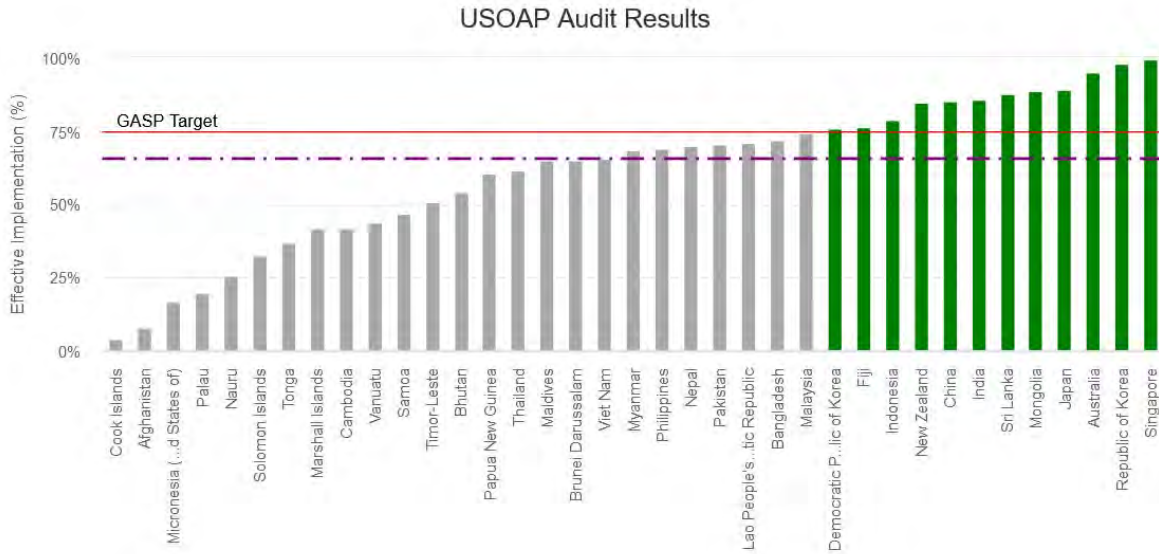
2.1 Since March 2016 (APRAST/8), the Task Force led by Singapore, with the support of the ICAO APAC Regional Office, developed a regional capacity-building action plan. Accordingly, CE-4 gap analysis was done, and a Standardized Capacity Building Programme (SCBP) was developed, including the Safety Inspector Training Roadmaps (TRMs) that could help APAC Member States/Administrations raise the effective implementation of CE-4 which were presented at the 52<sup>nd</sup> and 53<sup>rd</sup> DGCA Conference.

2.2 Since 2016, ICAO APAC has introduced an implementation support policy through **Combined Action Team (CAT) Missions** on-site, which has been very effective as it directly identifies the deficiencies from a group of Protocol Questions that should be addressed systematically as a part of capacity building for long term and assist States for building their USOAP CMA Self-Assessment. Further, in 2023, ICAO APAC also came up with the **Combined Action Team - Implementation of Inspector Competencies (CATIIC)** with the objectives of augmenting CE-4 EI scores:

- a) Evaluate the CAA Inspector's Competencies and prepare an action plan for the prioritised On the Job Training (OJT) to be imparted.
- b) Deploy relevant experts to conduct OJT on-site according to the action plan.

2.3 All these efforts are objected basically for the gain in two aspects: firstly, is to identify the needs of a State through a comprehensive analysis by an expert team, which is the CAT Mission, and secondly, to recommend an Action Plan for the State to augment the Effective Implementation (EI) percentage of the State which is the yardstick of ICAO USOAP CMA.

2.4 The current APAC EI for CE-4 is only 53.61%, and the APAC Regional EI is 65.31% compared to the Global Average of 68.90%. Only 33% of the States in RASG-APAC have achieved the target of 75% EI, as suggested by the Global Aviation Safety Plan (GASP). Almost 10% EI we have to cover up by 2024 (the next 01 year). As such, **the** APAC region requires more aggressive, effective, and collaborative safety implementation policy and procedures. We have also added the same in our Asia Pacific Regional Aviation Safety Plan (AP-RASP), Target 'T10: States to progressively enhance safety oversight capability to achieve at least 75% EI in USOAP CMA.'



2.5 ICAO APAC has further investigated and identified the root causes of low EI in the APAC Region and started addressing those areas.

- a) The low EI of Pacific Small Islands Developing States progress needs further attention. EI Levels for the Pacific Island States are well below the Global Average: Overall, 13 States are below 60% EI, out of which 09 States are from the Pacific Islands, starting from only 4.00% of EI with an average of 29.68%.
- b) Only five States completed 100% SSP Implementation (Australia, India, Singapore, Sri Lanka, Vietnam), and SSPA has been formally launched already.
- c) Only 40% of APAC States established an independent Accident Investigation Authority, and Regional EI for AIG is only 47.76%.

2.6 To address those challenges faced by the States, APAC RO prepared another document

called Safety Implementation Support Policy, Procedure and Implementation Road Map (SISRM) for the APAC Region for the Triennium 2023-2025, an outline of which is enclosed as **Attachment-1**.

2.7 As an endeavour to the SISRM Action Plan, APAC RO started the collaborative effort with FAA and Boeing while conducting a few Government Safety Inspectors Courses in the APAC regions with selected States on the ‘Train the Trainer concept’ in 2023 and 2024, which will undoubtedly augment the Inspectors Competency for those States in PEL, OPS and AIR area.

2.8 Beijing Declaration Commitments are also in line to build the capacity for the APAC Region in most of those identified areas, but the progress is very slow. As such, the DGCA forum may consider supporting the ICAO APAC RO effort in planning comprehensive Action Items as follows:

- a) Development of a State Specific Action Plan (SSAP).
- b) Organise the funding sources and donors, coordinating the possible ventures to execute the yearly Plan as far as possible through different projects and programs, including COSCAPs, as a coordinated effort.
- c) Coordinate the State/Administrations with higher EI to provide more experts for the support of the low EI States as a part of a collaboration effort on capacity building for the APAC Region, primarily through CAT and CATIIC Missions.
- d) Support the Pacific Small Island States in building their capacity and augment the EI level.
- e) Bring all the APAC Training Organizations (including Trainair Plus Institutes), Aviation Colleges and Universities specialising in Aviation matters under one umbrella and recognise their training efforts in coordination with ICAO GAT and APAC RO.

### **3. ACTION BY THE MEETING**

3.1 The Meeting is invited to:

- a) Encourage APAC States/Administrations to support the initiative of ICAO APAC RO on APAC SISRM 2023-2025 as attached to this paper;
- b) Encourage APAC States/Administrations to develop their State Specific Action Plan (SSAP) focusing on the CE-4 Elements and share with ICAO APAC RO;
- c) Encourage APAC States/Administrations to develop more OJT Instructors for the GSI Courses and assist in capacity-building efforts for the APAC Region on the ‘Train the Trainer’ concept;
- d) Propose the organisation of a regional aviation training symposium of all APAC Training Organizations (including Trainair Plus Institutes), Aviation Colleges and Universities specialising in Aviation matters under the auspices of ICAO APAC RO and ICAO GAT;
- e) Encourage States/Administrations to support APAC RO by providing qualified experts on implementing the CAT and CATIIC Missions;

**ATTACHMENT-1**

**Safety Implementation Support Policy, Procedure and Implementation Road Map (SISRM)  
for APAC Region for the Triennium 2023-2025**

**Safety Implementation Support Policy for APAC RO.**

Since 2016, APAC RO implementation support has been performed through implementation of Combined Action Team Missions (CATM), which has been viewed as a very successful policy since then. CATM has been accountable for the increase of Average APAC EI Level effectively about 10% increase over the last few years.

**EI Level enhancement**

However, with the introduction of ICAO new policy on Safety Implementation, APAC RO reviewed critically the existing APAC policy and potential of such missions in order to enhance effective implementation over and above 10% increase within two years regionally. The current EI Level in APAC region is 65.31 is below the Global average of 68.90% (October 2023). When analysed critically, it is revealed that CATMs Reports address the deficiencies broadly, but States need more practical and specific OJT where states are struggling for effective implementation of SARPs. The recommendation from CAT Missions needs a more specific action plan for implementing on-site.

**Development of a NASP by every State**

Further, Assembly A41 mandates all states to develop their own individual National Aviation Safety Plan (NASP) and implementation of the same aligned with AP-RASP 23-25 and GASP 23-25. Current progress in APAC region, number of States who have completed this task is about 15 out of 39 APAC States.

**Revised Policy Attributes and Objectives**

Based on foregoing facts, figures and justifications, APAC RO had amended Safety Implementation Support Policy essentially having the following attributes and objectives:

**Attributes:**

1. Support Missions would have pre-agreed progressive phase-wise implementation,
2. Support Mission would commence only with strong commitments from all partners, The State, ICAO RO and ICAO HQ.
3. Implementation is through collaboration and joint efforts, as planned and agreed before implementation,
4. Monitoring agreed frequencies and bringing adjustments to resolve unforeseen challenges.
5. Organising a USOAP activity by ICAO to bring expected outcomes of EI level when agreed by the State.

**Objectives**

1. Common objective of improving Safety Oversight Competency in the State,
2. Improvement of EI level by each State on an agreed value by 2025,
3. APAC Average EI Level increasing to 75% by 2025,
4. Development and implementation of a NASP by 50% of APAC States,
5. Development of a NASP at least by 75% of APAC States.

Based on the above newly developed ICAO APAC RO Safety Implementation Support Policy a revised Implementation procedure has been developed as:

1. **Systemic Assistance Programme (SAP)**; and additionally, an Implementation Road Map has been introduced as:
2. **Safety Implementation Support Road Map (SISRM)** identifying for implementation for the Triennium 2023-2025.

### **Revised Safety Implementation Support Procedure; Systemic Assistance Programme (SAP)**

SAP is an initiative introduced by the ICAO APAC RO through an integrated system of a collection of support missions, based on a model introduced by ICAO NACC colleagues. Most importantly support Missions are co-developed and co-implemented by the two partners; ICAO RO and the State, collaboratively to benefit over an identified period of time. Implementation is also envisaged to be steered by both partners as per the Plan when developed and agreed on the feasibility by both parties. Following Revised ICAO APAC Implementation support policy described earlier, implementation is based on successful outcomes of each phase or year supported with very strong commitment by the State.

### **Systemic Assistance Programme (SAP) Procedure in details**

Implementation of the SAP for the State, following important steps and actions have been identified as essential elements of a typical SAP and would be implemented when agreed by both parties prior to implementation:

- 1) Initial agreement of steps based on a high-level mission with a very strong commitment to implement as a joint venture project,
- 2) Conducting a CAT Mission or at least a virtual CAT Mission (VFCATM) on identified Audit Areas by RO experts.
- 3) Development of a **State Specific Action Plan (SSAP)** or a comprehensive **National Aviation Safety (NASP)**, based on the recommendation of the CATM/VFCATM report in each Audit Area, collaboratively with APAC RO.
- 4) Implementation of **SSAP/NASP** by the State and continued collaborative efforts for resource mobilisation by ICAO.
- 5) Bi-Annual monitoring by APAC RO and more frequent monitoring by the State,
- 6) Improvement to the amended Plan resolving the challenges revealed during monitoring,
- 7) Agree on a date and type of USOAP activity by the State and ICAO RO/HQ,
- 8) Completion of the USOAP activity and completion of the SAP programme for the State.

Based on the above Procedure a detailed and descriptive Road Map has been developed; Safety Implementation Support Road Map (SISRM) 2023-2025. Implementation would require a well-developed implementation Road Map, identifying time lines, Action Items and custodians for those Action Items, applicable for the whole region for twenty four (24) states whose EI Level is below 75%.

### **Safety Implementation Support Road Map or Triennium 2023-2025 for the ICAO APAC Region (APAC-SISRM 2023-25)**

With the Introduction of revised policy for Technical Assistance and support for the States by ICAO, APAC Safety team essentially reviewed the support missions already deployed in the past few years. Such critical reviews revealed that development and implementation of a holistic Plan for the whole APAC Region may be the way forward in achieving better results improving Safety Oversight Capabilities of States in APAC region. Main advantage of having such a Plan is the ability to continue with the Plan irrespective of budgetary allocations for each year as a continuation of the Plan.

Additionally, having such a plan certainly would help TCB to join few donors contributing to one Plan, rather than having different Plans developed to satisfy each donor's requirements. Moreover, States may have enhanced confidence with ICAO sustaining improvements continuously on the desired priorities.

Further, APAC-SISRM has been developed keeping in line with the AP-RASP 23-25 Goals and Targets as well as GASP 23-25 Editions. AP-RASP 23-25 has identified Goals of improvement of APAC Average EI Level over 75% by end 2024 and number of States over the 75% EI Level as 60% from the region. Hence SISRM may be considered as ICAO Implementation Road Map for AP-RASP 23-25 for achieving the Goal of 75% average EI Score.

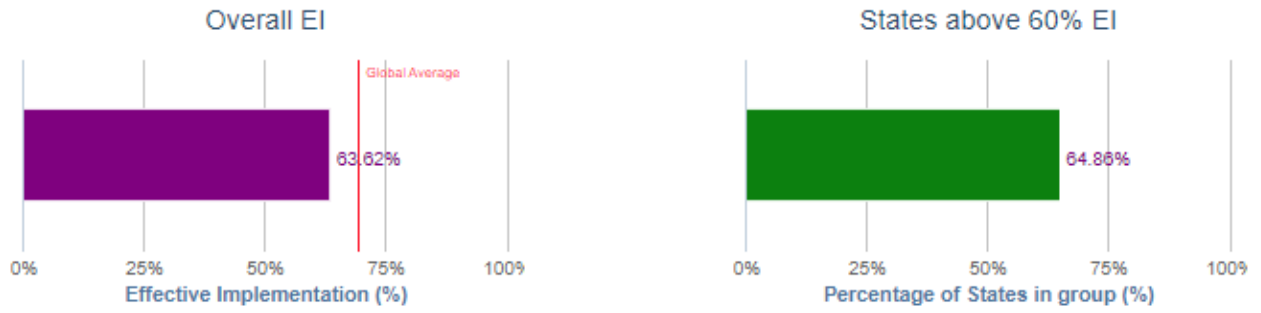
In the considerations of a development of a holistic Plan, corroborating the fact; One size does not fit all, different ideas were assessed and found probably the best way to proceed is to categorisation of the states in different groups and determine the best way forward for each group. Such categorisation may be focused based on the EI Level as the Safety Oversight Capacity is supposed to be reflected directly by the EI Score of a State. For this purpose of implementation of Safety in the APAC region, Sates have been identified and categorised in three different groups mainly based on the USOAP EI score maintained in USOAP OLF.

The Three Groups have been considered and identified for the Plan are as follows

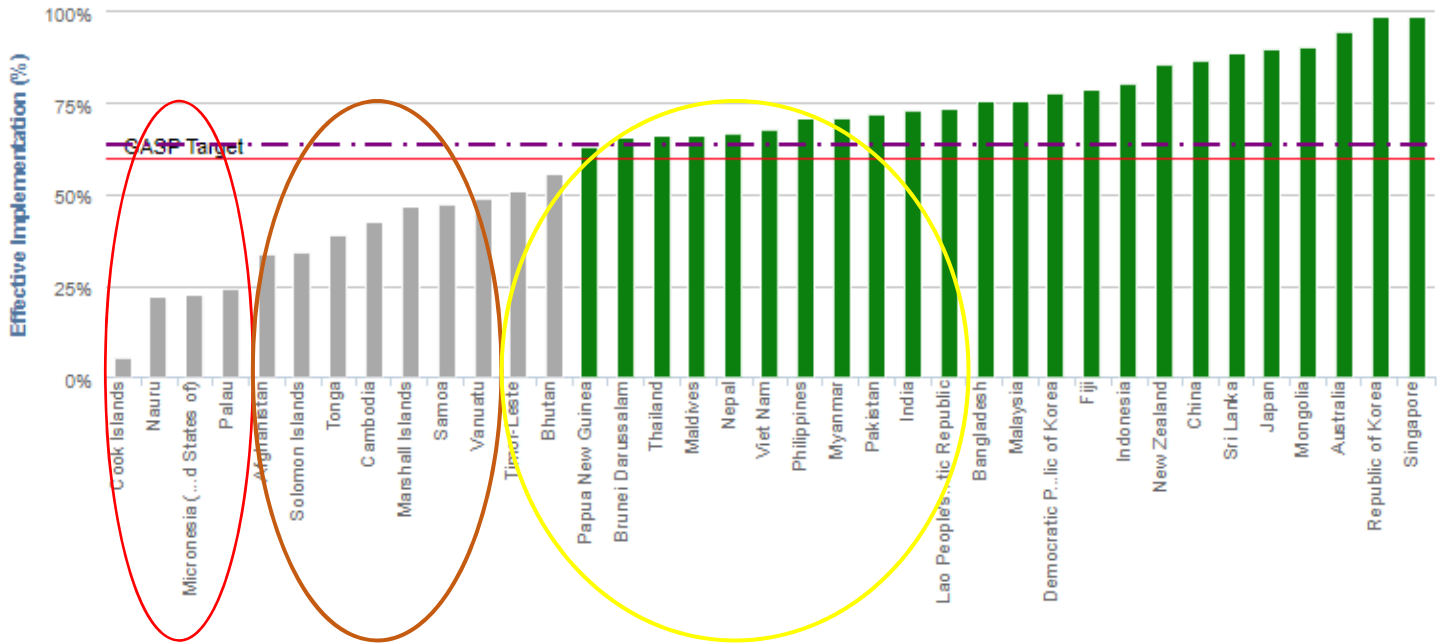
1. States who have an EI Level Below 25%; Code **Red** Sates
2. States who have an EI Level Below 50%; Code **Amber** States,
3. States who have an EI Level Below 75%; Code **Yellow** States,

Categorisation of States is done based on above EI Level and first segment is considered and color coded as Red identifying all the states below 25% level of EI as per the score on January 2023. Similarly for other codes of Amber and Yellow for those states having EI level of 25%-50% and 50%-75% respectively. APAC RO has considered the current EI value of States for Color Coding applicable for the Triennium 2023-2025 for Safety Implementation Support. Purpose of above categorisation is to collaborate with internal and external partners of ICAO to seek donors and offer support to Sates considered.

Safety Performance based on the EI Level indicated on OLF as reflected on beginning January 2023 is depicted below graphically.



USOAP Audit Results



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