

**CNS/SG/2, Dakar, 22-25 May 2007**

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**WP/27**

**CNS Aspects of ICAO Universal Safety Oversight Audit Programme (USOAP)**

**Audit Protocol – AIR NAVIGATION SERVICES  
(ANS)**

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  - **EXAMPLE OF EVIDENCES WHICH MAY BE REQUIRED**

## ICAO reference material related to the ANS protocol

- ❑ **Convention on International Civil Aviation- Doc 7300**
- ❑ **Annex 1, 2, 3, 4, 5, 10, 11, 12, 13, 15**
- ❑ **Manual on the Implementation of a 300 m (1 000 ft) Vertical Separation Minimum Between FL 290 and FL 410 Inclusive - Doc 9574**
- ❑ **Regional Supplementary Procedures-SUPPS (Doc 7030)**
- ❑ **Air Traffic Services Planning Manual (Doc 9426)**
- ❑ **RNP Manual**
- ❑ **PANS-OPS Manual**
- ❑ **AIS Manual**
- ❑ **RMA Manual**
- ❑ **Handbook on Radiofrequency Spectrum (Doc 9718)**

# COMPONENTS OF ANS

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- ANS-LEGISLATION AND REGULATIONS
- ANS-GENERAL
- ATM
- PANS-OPS
- AIS
- AERONAUTICAL CHARTS
- CNS**
- MET
- SAR

# COMPONENTS OF ANS

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- ❑ **ANS-LEGISLATION AND REGULATIONS**
  - **ARTICLE 28 OF THE CHICAGO CONVENTION**
    - ❑ **PROVISION OF FACILITIES AND SERVICES**
  - **ARTICLE 25 OF THE CHICAGO CONVENTION**
    - ❑ **ASSISTANCE TO AIRCRAFT IN DISTRESS**
  - **INTERCEPTION PROCEDURES**
  - **REGULATIONS FOR IMPLEMENTATION OF ICAO PROVISIONS**
  - **AMENDMENT PROCESS/ NOTIFICATION OF DIFFERENCES**
  - **DISSEMINATION OF SAFETY CRITICAL INFORMATION**

# COMPONENTS OF ANS

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- ANS-GENERAL
- ORGANIZATIONAL STRUCTURE OF ANS
  - ACCOUNTABILITY
- ESTABLISHMENT OF SAFETY OVERSIGHT SYSTEM
- DEVELOPMENT OF HANDBOOK/MANUAL FOR INSPECTORATE STAFF
- AVAILABILITY OF LATEST DOCUMENTS
- HUMAN FACTORS PRINCIPLES
- MECHANISM FOR ELIMINATION OF DEFICIENCIES

# COMMON CONCERNS

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- ❑ SAFETY OVERSIGHT MECHANISM TO OVERSEE SERVICE PROVISION FUNCTIONS
- ❑ AN INSPECTORATE DIVISION
- ❑ TRAINING/STAFFING ISSUES
- ❑ AVAILABILITY OF PROCEDURES/ DOCUMENTS/ AMENDMENT PROCESS ETC...
- ❑ ESTABLISHMENT OF A SAFETY PROGRAMME AND SAFETY MANAGEMENT SYSTEM (SMS) AT LEVEL OF SERVICE PROVIDER(S)
- ❑ QUALITY SYSTEM

# ATM

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## AIR TRAFFIC MANAGEMENT- OPERATIONAL

- PERSONNEL
- IMPLEMENTATION
- REQUIREMENTS FOR CO-ORDINATION, COMMUNICATION AND INFORMATION
- EMERGENCY EVENTS AND CONTINGENCY PLANNING
- SAFETY MANAGEMENT

# PANS-OPS

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- CONSTRUCTION OF VISUAL AND INSTRUMENT FLIGHT PROCEDURES
  - OPERATIONAL ISSUES
    - TRAINING PROGRAMME
    - FLIGHT INSPECTIONS

# AIS

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- ❑ CAA- OVERSIGHT
  - INSPECTORATE DIVISION
- ❑ OPERATIONAL
  - STAFFING, TRAINING
  - AIP CONTENTS
  - QUALITY REQUIREMENTS

# CNS

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- ❑ CAA OVERSIGHT
  - ORGANIZATION
  - INSPECTORATE DIVISION
  - STAFFING
  - TRAINING
- ❑ OPERATIONAL
  - STAFFING
  - TRAINING

# EXAMPLES OF EVIDENCES TO BE REVIEWED

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- ❑ CONFIRM AVAILABILITY OF:
  - REGULATIONS
  - MANUAL
  - HANDBOOK
  - PROCEDURES
  - ETC...
- ❑ REMEMBER: **SHOW ME AND I OWE YOU (IOU) PRINCIPLES. NO EVIDENCE PROVIDED WILL RESULT IN A FINDING**

# EXAMPLES OF EVIDENCES TO BE REVIEWED

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- ❑ **ANS 7.030: Has the State established a procedure for formulation and distribution of guidance material on civil air navigation regulation to ANS providers and operators?**
- ❑ **Evidence to be reviewed:**
  - **Verify procedures have been established for the formulation and distribution of guidance material on civil air navigation regulations to ANS providers and operators**
  - **Review effectiveness of its implementation and its application**
- ❑ **REMEMBER: SHOW ME AND I OWE YOU (IOU) PRINCIPLES. NO EVIDENCE PROVIDED WILL RESULT IN A FINDING**

# ACTION BY THE CNS SUB-GROUP

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- ❑ **TO INVITE STATES TO FULLY COOPERATE IN THE IMPLEMENTATION OF USOAP AUDITS BY:**
  - **SUBMITTING**
    - ❑ State Aviation Activity Questionnaire (SAAQ)
    - ❑ Compliance Check Lists
  - **PREPARING ON-SITE AUDIT MISSIONS**
- ❑ **TO REQUEST STATES TO ANTICIPATE REQUIRED ENHANCEMENTS TO CAAs SAFETY OVERSIGHT CAPABILITIES, INCLUDING ESTABLISHMENT OF MECHANISMS TO RESOLVE DEFICIENCIES IN THE ANS/CNS FIELD.**



**Thank you!**