



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

**REPORT OF THE THIRD MEETING OF THE  
ASIA/PACIFIC DEFICIENCY REVIEW TASK FORCE  
(DRTF/3)**

BANGKOK, THAILAND - 23 – 24 JULY 2007

The views expressed in this Report should be taken as those of the DRTF and not of the Organisation.  
This Report will be presented to the APANPIRG.

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## HISTORY OF THE MEETING

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### HISTORY OF THE MEETING

#### 1.1 Introduction

1.1.1 The Third Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/3) was held in Bangkok, Thailand from 23 to 24 July 2007 at the ICAO Asia and Pacific Office.

#### 1.2 Attendance

1.2.1 The meeting was attended by 5 participants from 4 Member States (Australia, Singapore, Hong Kong-China and Malaysia), 7 Regional Officers from ICAO Regional Office and 1 Technical Officer from ICAO HQ (Part Time). In light of the high priority assigned to the rectification of deficiencies by ICAO, APANPIRG Conclusion 17/54 and the Directors General Conference Action Item 43/1, the meeting expressed regret at the poor attendance by States and non attendance by international organisations.

1.2.2 A list of participants is given at Attachment 1 to the Report.

#### 1.3 Opening of the meeting

1.3.1 The meeting was opened by Mr. Rod Graff, Deputy Regional Director, ICAO Asia and Pacific Office

1.3.2 In welcoming the members, Mr. Graff stated that the first two Deficiency Review Task Force (DRTF) meetings have been instrumental in developing the Asia Pacific supplement to the uniform methodology and the regional procedures for the identification, assessment and reporting of air navigation deficiencies. DRTF/3 was tasked to review the regional on-line data base of the air navigation deficiencies and the implementation aspects of the regional supplement to the uniform methodology.

1.3.3 In his opening remarks, the Chairman impressed upon the good work done by the Group so far. He pointed out the tasks formulated by APANPIRG/17 for the third meeting of the task force and the post implementation review of the regional supplement to the uniform methodology and the procedures. He expected that the regional on-line deficiency data base would be an effective tool in the management of deficiencies.

#### 1.4 Officers and Secretariat

1.4.1 The meeting was chaired by Mr. Jeff Bollard, Chief Engineer, GNSS Program & GRAS Project Manager, Air Services Australia.

1.4.2 Mr. N.C. Sekhar, Regional Officer/ AGA from the ICAO Asia and Pacific Office was the secretary for the meeting. He was assisted by Officers from ATM, CNS, MET and FS.

## HISTORY OF THE MEETING

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### 1.5 **Agenda of the Meeting**

1.5.1 The Agenda adopted by the meeting was as follows:

Agenda Item 1: Review and finalize the regional data base of air navigation deficiencies.

Agenda Item 2: Review the APANPIRG list of deficiencies and the status of States action plans for their resolution.

Agenda Item 3: Review the implementation aspects of the Regional supplement to the Uniform Methodology including an assessment of the current list of deficiencies.

Agenda Item 4: Any other Business

### 1.6 **List of Draft Conclusions and Decisions**

A List of Draft Conclusions and Decisions is given on page i-3.

## HISTORY OF THE MEETING

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### **List of Draft Conclusions and Decisions**

- Draft Conclusion 18/x      Adoption of APANPIRG On-line Deficiency Data Base
- That,
- a) the APANPIRG Deficiency Data Base be adopted and linked to the ICAO APAC web site; and
- b) the Regional Office provide secure access to the on-line Deficiency Data Base to all CAAs and other authorities concerned within the ASIA/PAC States.
- Draft Conclusion 18/x      Resolution of ATM and OPS Deficiencies in the South-West Pacific Small Island Developing States (SIDS).
- That,
- in recognizing the safety implications of the long-standing ATM and OPS deficiencies in the South-West Pacific SIDS included in the APANPIRG Deficiency Data Base, ICAO, in coordination with the international organizations and regional bodies concerned, considers providing urgent assistance to these States in order to build their capacity to provide the required services in a sustainable and cost-efficient manner.
- Draft Conclusion 18/x      Implementation aspects of the Regional Supplement to the Uniform Methodology for resolution of deficiencies
- That, the Regional Office promulgates the amended Supplement to the Uniform Methodology as shown in Attachment 3 to the Report and draws attention to the need to comply with the Supplement, in particular, with the following key implementation requirements:
- Designation of a contact officer by all States to coordinate with the Regional Office matters related to deficiencies (p. 5.15 refers);
  - Timely provision of corrective action plans by the States for all identified deficiencies (p. 5.9 refers);
  - User organizations obligation to provide periodically information on identified or resolved deficiencies.
- Draft Decision 18/x      Dissolution of DRTF.
- That, the DRTF, having completed its task of developing procedures and guidelines in the management of air navigation deficiencies according to its Terms of Reference, be dissolved.

## SUMMARY OF DISCUSSION

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### **Agenda Item 1: Review and finalise the regional data base of air navigation deficiencies**

1.1 The Secretariat presented the activities leading to the formation of DRTF and its outcomes and the new format of the deficiency list generated through the deficiency data base.

1.2 The meeting recalled APANPIRG Decision 13/46 on the establishment of a task force to develop detailed regional procedures for identification, assessment, reporting and monitoring of the status of air navigation deficiencies as a supplement to the uniform methodology. The Task force established by APANPIRG/13 held two meetings in July 2003 and May 2004. The DRTF developed the regional procedures and finalised the Asia/Pacific Supplement to the uniform methodology. This was adopted by APANPIRG/15 and circulated to States and international organisations.

1.3 The meeting noted the developments that took place after DRTF/2 mainly on the outcome of the ALLPIRG/5 and APANPIRG/17. ALPIRG/5 acknowledged the development of a regional online database of deficiencies which in addition to providing transparency enables information in the database to be current and adopted the resolution that the Planning and implementation Groups (PIRGs) consider establishing and maintaining a regional on-line database of air navigation deficiencies.

1.4 Following this APANPIRG/17 in its conclusion 17/53 adopted the resolution to establish a regional on-line database of air navigation deficiencies and to provide secure access to States and other users. Further APANPIRG/17, in Decision 17/55, agreed that the DRTF established by APANPIRG Conclusion 13/46, conduct a meeting in early 2007 with the task to develop appropriate follow up action to ALLPIRG conclusions 5/14 and 5/15 and review the implementation aspects of the regional supplement to the uniform methodology. The DRTF/3 met on 23 and 24<sup>th</sup> July to undertake the task defined by APANPIRG Decision 17/55.

1.5 The meeting was informed that in accordance with ALLPIRG conclusion 5/14 and APANPIRG Conclusion 17/53 the regional office has prepared the database in MS Access format. It is designed to provide more structured information on deficiencies by clearly outlining the following elements:

- Unique deficiency ID (e.g. AP-MET-05)
- State (“owner”)
- Deficiencies related to more than one State have been recorded as a separate data base entries for each of the participating States
- Air Navigation field (AOP, ATM, CNS, MET)
- The non-compliance with ICAO provisions is clearly indicated with reference to ICAO document and specific requirement
- Notifying body
- Deficiency Filing Date
- ICAO Recommended Action
- Corrective Action by the State
  - Responsible Body
  - Action Plan
  - Target Date

## SUMMARY OF DISCUSSION

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1.6 The data base allows search by State or by Air Navigation field. It will be available through the ICAO APAC website via secure access provided by the regional office to States and administrations concerned. The aim of the database is to contribute to information sharing and encourage the States concerned to expedite the resolution of the deficiencies. This is fully in line with the principle of transparency in the Global Safety Roadmap and the ICAO Global Aviation Safety Plan (GASP).

1.7 The data base will generate a single data sheet for each deficiency which will be sent to the State concerned for formulation of the corrective action plan. It is expected that this will improve the current practice of receiving only general comments from the States expressing intention to resolve deficiencies but not a firm commitment with specified target date, etc. It will also help States to identify the assistance they will need to resolve the identified deficiencies if their own resources are not sufficient.

1.8 The Chairman, while appreciating the good work done by the regional office in developing the data base, expressed concern about future sustainability and maintenance. The Secretariat clarified that the database will be maintained by resources within the regional office. This will include updating the database from information supplied by States and international organisations. A member suggested that the Regional Office and States should use e mail for communications about deficiencies including provision of deficiency data sheets to States and corresponding corrective action plans.

1.9 Future development of the database could enable States to interact with the database to provide direct updates. However, the meeting was informed that this development work would require additional resources and expenditure.

1.10 The meeting considered the advantages in establishing and maintaining a regional online database of air navigation deficiencies that ensures transparency and provides a secure access to authorised users and formulated the following draft conclusion:

**Draft Conclusion 18/xx – Adoption of APANPIRG On-line Deficiency Data Base**

That,

- a) the APANPIRG Deficiency Data Base be adopted and linked to the ICAO APAC web site; and
- b) the Regional Office provide secure access to the on-line Deficiency Data Base to all Civil Aviation Authorities and other authorities concerned within the ASIA/PAC States.

## SUMMARY OF DISCUSSION

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### **Agenda Item 2: Review the APANPIRG list of deficiencies and the status of States action plans for their resolution.**

2.1 The Secretariat presented the APANPIRG/17 list of deficiencies and the action reported by States on resolution of deficiencies.

2.2 The meeting noted the follow up action taken by ICAO on the APANPIRG/17 Conclusions under Agenda item 4- Deficiencies in the Air Navigation Field. A mission to Nepal was completed by an ICAO CNS expert and a joint mission to Bangladesh was undertaken by the ICAO CNS and ATM experts under the special implementation project approved by the Council, in response to APANPIRG Conclusion 17/51. ICAO has also established coordination with WMO to provide special assistance to South-west Pacific Small Island Developing States (SIDS) for resolution of MET deficiencies in response to APANPIRG 17/52.

2.3 The meeting further noted that APANPIRG/17 placed highest priority in its future work programme on the urgent elimination of the safety related deficiencies in the Region. To realise this objective APANPIRG Conclusion 17/54 urged all ASIA/PAC States listed in the APANPIRG list of deficiencies to establish action plans with fixed target dates for resolution of all safety related deficiencies and inform ICAO Regional office by mid 2007 of their plans. The meeting was informed that the Regional Office as a follow up to the conclusion had circulated a State Letter last November (Ref: T 4/3.1: AP0110/06(MET) drawing attention to the APANPIRG Conclusion and the action to be taken by the States. In view of the poor response from States to this new initiative on resolving deficiencies, the meeting considered the following measures will assist in follow up and removal of deficiencies:

- The ICAO Universal Safety Oversight Audit Programme (USOAP) was established by the Council to monitor the implementation of Safety related Standards and Recommended Practices (SARPS). This program allows for the identification of deficiencies and assistance to States to implement remedial actions. The meeting was of the view that the APANPIRG list of deficiencies should be provided to USOAP to be used in the preparation of safety oversight audits.
- The DGCA Conference conducted every year should continue to highlight the deficiencies and urge states to resolve the deficiencies within the accepted time frame.
- Adopting the regional on-line Database and linking it to ICAO web site.
- Use of electronic means to remind States of providing inputs to deficiency database including periodic automatic reminders generated by the database.
- Providing the list of APANPIRG deficiencies to COSCAP experts visiting States for validation
- Special Implementation Projects to assist States in rectification of deficiencies.

2.4 A member pointed out that in Appendix B to the APANPIRG/17 report on agenda item 4 contains much data on non implementation of ATS routes. Many of these long standing deficiencies assigned priority status B are not likely to be resolved in the short term. He suggested it will be useful if these items are transferred to in a separate route catalogue. ICAO ATM secretariat clarified that while

## SUMMARY OF DISCUSSION

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these items do not impair the safety or regularity of aircraft operations, if implemented they will improve efficiency in terms of fuel saving and emissions. As the definition of a deficiency also includes consideration of efficiency, IATA had clearly indicated the wish to retain these items in the deficiency list as the implementation of the deficiencies listed under ATS routes would benefit the airlines commercially by way of fuel savings etc.

2.5 A member pointed out that the assessment/prioritization of deficiencies as U, A or B does not provide enough indication of the seriousness of deficiencies. A more rational approach is needed in identification of the risk associated with the deficiencies, possibly using the approach in the Safety Management Manual Document 9859, followed by an assessment on its priority for resolution. Guidance will be required from ICAO HQ to ensure a consistent global approach.

2.6 The meeting recognised the long standing ATM & OPS deficiencies in many developing States. The meeting agreed to the suggestion that broadly identifying two groups require assistance to be extended. Group 1 would comprise States such as Myanmar, Cambodia, Laos, and Vietnam etc to which the regional office can provide assistance in view of its closeness. Group 2 would comprise States which are located in the Pacific such as Cook Island, Vanuatu, Nauru, Kiribati, Marshall Islands etc. for which a different mechanism for resolving deficiencies through TCB is proposed. The mechanism will be same as the one used to resolve MET deficiencies in the SIDS region (APANPIRG Conclusion 17/52).

2.7 After reviewing the list of deficiencies the meeting was of the view that most of the measures suggested should be coordinated by the Regional Office with States and users. Considering the long felt need for the resolution of ATM/OPS deficiencies in the SIDS area the meeting formulated the following draft conclusion:

**Draft Conclusion 18/xx – Resolution of ATM and OPS Deficiencies in the South-West Pacific Small Island Developing States (SIDS)**

That, in recognizing the safety implications of the long-standing ATM and OPS deficiencies in the South-West Pacific SIDS included in the APANPIRG Deficiency Data Base, ICAO, in coordination with the international organizations and regional bodies concerned, considers providing urgent assistance to these States in order to build their capacity to provide the required services in a sustainable and cost-efficient manner

*Note: It is suggested that the appropriate form of providing assistance to the South-Pacific SIDS would include establishment of an ICAO technical cooperation project for the sub-region and an extended SIP.*

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### **Agenda Item 3: Review the implementation aspects of the Regional supplement to the Uniform Methodology including an assessment of the current list of deficiencies.**

3.1 The Secretariat presented the uniform methodology approved by the ICAO Council in 1998 and the Asia/ Pacific supplement to the uniform methodology.

3.2 The main objectives of the supplement to the uniform methodology are to i) provide for a systematic approach to the management of deficiencies by detailing the procedures to be followed by the users, States and the Regional Office in implementing the uniform methodology and ii) provide clear definitions of responsibilities and obligations of the parties involved in the management of the deficiencies.

3.3 The meeting noted that under Article 28 of the Convention on International Civil Aviation, States in recognition of their responsibilities for the provision of safe air navigation services undertake to increase their efforts in the rectification and elimination of air navigation deficiencies identified by the various users.

3.3.1 The ICAO Regional Office maintains a list of deficiencies, adopts the necessary procedure for the collection of information in order to identify, evaluate and classify deficiencies and priorities in accordance with the uniform methodology. The purpose of the list of deficiencies is to assist States to define their implementation priorities and to indicate remedial action required.

3.3.2 The States under the corrective action plan are required to provide an action plan to rectify deficiencies in consultation with appropriate bodies with defined target dates based on the prioritization determined by the Regional office.

3.3.3 Appropriate international organizations in their capacity as users of air navigation facilities should provide and update the list of deficiencies on a regular basis to the Regional Office. Users should also notify the Regional Office as soon as a new deficiency is identified. The Secretariat appreciated the efforts made by IFALPA in providing the list of deficiencies to the Regional Office. The Hong Kong , China representative informed the meeting that he is also a member of IFATCA and that IFATCA has done lot of work in identification and reporting of deficiencies. These reports have been forwarded to ICAO Montreal

3.4 The meeting reviewed the regional supplement and made the following observations:

- To ensure that a support mechanism is in place to deal with the deficiencies States must be fully committed to taking follow up actions. To this end a contact person should be nominated to oversee the States action plan for the elimination of deficiencies {Para 5.15 of supplement}.
- Monitoring and reporting of corrective actions and progress towards the elimination of deficiencies forms an important part of the management of deficiencies. Responses from the States are not forthcoming in providing a corrective action plan to the Regional Office, for the elimination of deficiencies {Para 5.9}.
- Appropriate user international organizations should continue to provide and update the list of deficiencies on regular basis to the regional office for validation and action {Para 5.12}.

## SUMMARY OF DISCUSSION

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- Resource constraints are limiting missions of Regional Office staff or appointed experts, to provide on site assistance to States {Para 5.3}.
- DGCA Conferences should continue to highlight the deficiencies and urge States to resolve the deficiencies within the accepted time frame {Para 6.3}.
- The Regional Office should coordinate with COSCAP to provide a list of deficiencies to the COSCAP experts visiting the State {Para 6.5}.
- Special Implementation Projects are useful mechanisms to resolve deficiencies {Para 6.2}.
- The Regional Asia/Pacific supplement should be updated to include the provision of regional online database for elimination of deficiencies {Attachment 3}.

3.5 After review of the implementations aspects of the regional supplement the meeting formulated the following conclusion:

**Draft Conclusion 18/xx – Implementation aspects of the Regional Supplement to the Uniform Methodology for resolution of deficiencies.**

That, the Regional Office promulgates the amended Supplement to the Uniform Methodology as shown in Attachment 3 to the Report and draws attention to the need to comply with the Supplement, in particular, with the following key implementation requirements:

- Designation of a contact officer by all States to coordinate with the Regional Office matters related to deficiencies (p. 5.15 refers);
- Timely provision of corrective action plans by the States for all identified deficiencies (p. 5.9 refers);
- User organizations obligation to provide periodically information on identified or resolved deficiencies.

3.6 Last resort action to resolve regional air navigation deficiencies

3.6.1 The Task force was also assigned the task to develop appropriate follow up action to ALLPIRG Conclusion 5/15. The meeting therefore reviewed this ALLPIRG/5 conclusion which states that, when efforts to eliminate deficiencies prove unsuccessful after exhausting all alternatives, PIRGs should propose the inclusion of an alternate facility/procedure in the ANP; or when a corrective action as above cannot be recommended, provide the States/territories/users and ICAO with an analysis concerning risk associated with such deficiency.

3.6.2 The meeting agreed that, as yet, all alternatives have not been exhausted for eliminating long overdue deficiencies in ATS routes, WGS -84, airspace classification, AIP, and the development of SAR capability. In light of this, the meeting agreed that there is no need to implement last resort action in this region. As such, the meeting did not consider that follow-up of ALLPIRG Conclusion was warranted

## SUMMARY OF DISCUSSION

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### **Agenda Item 4: Any other Business**

4.1 A member expressed concern that out of the 7 States invited only 4 states were represented and that the International organizations (IATA, IFALPA) were not represented. In response, Secretariat clarified that DRTF is a small task force. The Group does not make decisions but makes recommendations for APANPIRG's resolution. The outcome of the meeting will be sent to the States and international organizations representatives for their information.

4.2 The Chairman considered that the task force has completed the task given by APANPIRG Conclusion 17/55 and recommended dissolution of the task force. This was endorsed by the meeting.

4.3 Having completed the task assigned to the DRTF, the meeting formulated the following draft decision.

#### **Draft Decision 18/xx – Dissolution of DRTF.**

That, the DRTF, having completed its task of developing procedures and guidelines in the management of air navigation deficiencies according to its Terms of Reference, be dissolved.

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Third Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/3)  
(Bangkok, Thailand, 23 and 24 July 2007)

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Third Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/3)  
(Bangkok, Thailand, 23 and 24 July 2007)

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Third Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/3)  
(Bangkok, Thailand, 23 and 24 July 2007)

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INTERNATIONAL CIVIL AVIATION ORGANIZATION

**THIRD MEETING OF THE DEFICIENCY REVIEW TASK FORCE  
(DRTF/3)**

Bangkok, Thailand, 23–24 July 2007

**LIST OF WORKING AND INFORMATION PAPERS**
**A) Working Papers**

<u>Paper No.</u>	<u>Agenda Item</u>	<u>Title</u>	<u>Presented by</u>
WP/1	-	Provisional Agenda	Secretariat
WP/2	2	Review the list of deficiencies as contained in Appendix B to the Report on Agenda Item 4 APANPIRG/17.	Secretariat
WP/3	1&2	Status of MET Deficiencies	Secretariat

**B) Information Papers**

<u>Paper No.</u>	<u>Agenda Item</u>	<u>Title</u>	<u>Presented by</u>
IP/1	3	Review of Deficiency Review Task Force Activities	Secretariat
IP/2	2	Deficiencies in the Air Navigation Field	Secretariat
IP/3	3	Fifth Meeting of the ALLPIRG/Advisory Group	Secretariat

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**ASIA/PACIFIC SUPPLEMENT  
TO THE UNIFORM METHODOLOGY FOR THE IDENTIFICATION,  
ASSESSMENT AND REPORTING OF AIR NAVIGATION DEFICIENCIES**

**1. INTRODUCTION**

1.1. Considerable attention is being given by ICAO to eradicate deficiencies in the air navigation field. On 30 November 2001, the Council of ICAO approved the *Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies* (hereinafter referred to as “Uniform Methodology”) for the efficient identification, assessment and clear reporting of air navigation deficiencies. A copy of the Uniform Methodology contained in the APANPIRG Procedural Handbook is available on the ICAO website: [http://www.bangkok.icao.int/edocs/procedural\\_1998.pdf](http://www.bangkok.icao.int/edocs/procedural_1998.pdf). This Asia/Pacific Supplement to the Uniform Methodology provides more detailed procedures and a management tool to assist the APANPIRG in applying the Methodology.

1.2. The Uniform Methodology contains the following definition of a deficiency.

A deficiency is a situation where a facility, service or procedure does not comply with a regional air navigation plan approved by the Council, or with related ICAO Standards and Recommended Practices (SARPs), and which situation has a negative impact on safety, regularity and/or efficiency of international civil aviation.

1.3. The first edition (2006) of the restructured Asia/Pacific Air Navigation Plan (ASIA/PAC ANP, Doc 9673), which is in two volumes: Volume I, Basic Air Navigation Plan (BANP), and Volume II, Facilities and Services Implementation Document (FASID) was published and circulated to States in 2006. An electronic version of the ANP is available on the ICAONET website. Access to ICAONET through username and password has been provided to all civil aviation administrations in the Region.

1.4. In certain areas, there may be deficiencies related to the organization, management and institutional aspects which affect the operation of civil aviation organizations. This could have a direct impact on the provision of air navigation facilities, services and procedures, which are elements listed in the ICAO Regional Plan. Deficiencies related to the primary national legislation and regulations and related to States’ safety oversight functions are dealt with by the ICAO Universal Safety Oversight Audit Programme (USOAP).

**2. BACKGROUND**

2.1 States, in recognition of their responsibilities under Article 28 of the Convention on International Civil Aviation for the provision of safe air navigation services, undertake to accord highest priority to the rectification and elimination of all identified air navigation deficiencies.

2.2 As required by APANPIRG, the ICAO Asia/Pacific Regional Office maintains an on-line database of deficiencies that exist in the Asia/Pacific Region and adopts the necessary procedures for the collection of information in order to identify, evaluate and classify deficiencies and priorities in accordance with the Uniform Methodology.

2.3 The purpose of this database of deficiencies is to share among States information about deficiencies in a transparent manner, to assist States to define their implementation priorities and to indicate remedial action required. Information on deficiencies from the database is provided to APANPIRG meetings for review under its terms of reference, *inter alia*, make detailed assessment of the safety impact of the deficiencies as shown and propose remedial action required by States for subsequent review by the Air Navigation Commission and Council.

2.4 The format of reporting of resolution of deficiencies by provider States is in accordance with the Uniform Methodology. States are required to provide to the Regional Office, in a timely manner, an action plan comprising a detailed description of the actions to be taken for the expeditious rectification of the listed deficiencies.

2.5 The Regional Office submits the updated information to APANPIRG for further actions as deemed necessary, and coordinates with the provider States concerned on decisions taken by APANPIRG, the Council and Air Navigation Commission on the deficiencies.

2.6 APANPIRG and its respective Sub-Groups, as part of their TORs and Subject Tasks Lists, are intensifying their efforts in dealing with deficiencies, with a greater focus on prioritization and monitoring of corrective action taken by States and other responsible bodies.

### **3. OBJECTIVE**

3.1 The main objective of this Supplement to the Uniform Methodology is to provide for a systematic approach to the management of deficiencies in the Asia/Pacific Region by detailing the procedures to be followed by the Users, States and the Asia/Pacific Regional Office in implementing the Uniform Methodology.

3.2 In addition, an objective of this Supplement is to provide clear definition of the responsibilities and obligations of the parties involved in the management of the deficiencies.

### **4. REGIONAL PROCEDURES**

4.1 The process of dealing with deficiencies involves a number of stages as follows:

- Identification
- Assessment, prioritization and verification against ICAO documents
- States' validation of deficiencies reported
- Development of action plans for rectification and elimination
- Monitoring of follow-up actions
- Rectification of deficiency and removal from the list of Open deficiencies

4.2 The purpose of this section is to outline the procedures to be followed by the parties involved at each of the above stages to deal with the deficiencies. These procedures are presented in the form of a structured flow chart attached to this Supplement aimed at facilitating the actions required to eliminate the deficiencies.

#### Identification

4.3 In Appendix M to Assembly Resolution A35-14, Users of air navigation facilities and services are urged to report any serious problems encountered due to lack of implementation

or unsatisfactory operation of air navigation facilities or services required by the air navigation plans. States should act on such reports to resolve the problem and when remedial action is not taken, Users should inform ICAO, through the medium of an international organization where appropriate.

#### Notification/Sources

- Users
- States
- Regional Office (information from missions, meetings, accident/incident reports)

4.4 The deficiencies identified shall follow the SMART concept where the description of a deficiency will be:

- Specific – clear task on what needs to be done
- Measurable – precise requirements
- Achievable – task sensible in scope
- Realistic – task has deadlines and completion requirements
- Time-bounded – sensible guide for completion and imposes a schedule

#### Assessment, Prioritization and Verification against ICAO documents

4.5 An assessment is made by the Regional Office to determine whether the reported deficiency is non-compliant with the ASIA/PAC ANP or relevant SARPs. If a deficiency exists, it is evaluated as to its effect on safety, efficiency and regularity, and under the Uniform Methodology, prioritized as follows:

- U - Urgent requirements having a direct impact on safety and requiring immediate corrective actions
- A - Top priority requirements necessary for air navigation safety
- B - Intermediate requirements necessary for air navigation regularity and efficiency

4.6 To facilitate the prioritization process, the Regional Office is guided by the principal that a deficiency with respect to an ICAO Standard is accorded a “U” status, while a non-compliance with a Recommended Practice or a PANS is considered as “A” or “B” subject to additional expert evaluation. The final prioritization of the deficiencies is the prerogative of APANPIRG.

#### Validation by States

4.7 The Regional Office, on determining that a reported deficiency exists and after initial assessment and prioritization, informs the State(s) concerned of the full details of the report and results of the assessment and advises that the deficiency will be recorded in the APANPIRG Deficiencies Database. The State(s) are requested to acknowledge and validate the deficiency, and to develop a Corrective Action Plan (CAP) to resolve the deficiency.

4.8 In the event of deficiencies which impose immediate large scale safety risks and their resolution by the State(s) concerned is not feasible in an acceptable timeframe, the Regional Office will notify the Air Navigation Commission as a matter of priority.

#### Development of CAPs

4.9 States are required to develop CAPs to rectify deficiencies in consultation with appropriate bodies with defined target dates based on the prioritization determined by the Regional Office. The following factors should be taken into account:

- deficiencies with “U” priority must be dealt with on a high priority basis;
- in developing the CAP, advice may be sought from the Regional Office, in particular, when international assistance (via the ICAO Technical Cooperation Programme or other means) is required;
- the CAP should be submitted to the Regional Office not later than one month after receiving the notification from the Regional Office;
- CAPs should in a concise and concrete format for inclusion in the Deficiency Database; if more detailed information is necessary, it should be provided as an Attachment;
- The CAPs are reviewed by the relevant APANPIRG contributing bodies where an assessment of the Plan is done at expert level and, if necessary, feed-back is provided to the State(s) concerned to optimize the Plan.
- APANPIRG at its regular meetings reviews the status of progress of all CAPs and provides advice to States as necessary.

#### Monitoring of follow-up actions

4.10 States should keep the Regional Office informed on progress with action taken to rectify deficiencies. The Regional Office may request updates as necessary to keep APANPIRG and its contributory bodies informed. Periodic annual updates should be made to the Regional Office no later than April each year.

4.11 The Regional Office will maintain regular contact with States and before the holding of APANPIRG and Sub-Group meetings, updates will be requested. An agenda item on deficiencies will be included on the Agenda of APANPIRG Sub-Groups and afforded a high priority by the meetings.

4.12 Users who reported deficiencies will be kept informed of progress and contacted before APANPIRG and Sub-Group meetings to seek their views on the status of deficiencies and any changes in circumstances.

#### Rectification of Deficiency & Removal from the Open List

4.13 States, on reporting that a deficiency recorded on the APANPIRG Deficiency Database has been rectified, will submit in writing an official report to the Regional Office providing full details of the action taken. On receipt of a report, the Regional Office will validate the action taken with the User who made the report. In the event that the User does not agree with the action taken, the deficiency will remain open until confirmation has been gained by all concerned. Once confirmation is made, APANPIRG will be informed, the status of the deficiency reviewed and removed from the Open List.

## **5. RESPONSIBILITIES**

### Regional Office

5.1 The Regional Office, as a primary party in the management of deficiencies, will keep under review and record the implementation by States of the requirements of the ASIA/PAC Basic ANP and FASID. This information will also be used to identify possible non-compliance that should be further assessed against the definition of deficiency. Records will also be kept on the differences to SARPs filed by States and follow-up actions taken as appropriate.

5.2 The main tool for managing the deficiency identification and resolution process is the APANPIRG Deficiency Database established and maintained by the Regional Office. Secure access to the database is controlled by the Regional Office through a username and password.

5.3 When missions to States are conducted by the Officers, the mission reports should include a section on the status of existing deficiencies and identification of new deficiencies.

5.4 In line with its primary function of assisting States to which it is accredited to implement SARPs and Regional procedures, the Regional Office provides assistance to States in developing adequate remedial actions to correct air navigation deficiencies. This is done through regular correspondence and, when necessary, through missions to States for on-site evaluation and assistance in the development and implementation of CAPs.

### States

5.5 For each deficiency that has been identified, evaluated and prioritized, the State(s) concerned need to establish a CAP for resolving the deficiency. Normally, a recommended action concerning the implementation of the respective ICAO SARP or regional procedure for which the deficiency is filed would be provided by the APANPIRG or the Regional Office. States are required to allocate sufficient resources for the timely elimination of deficiencies in order to reduce the negative impact on safety and/or efficiency.

5.6 Sufficient notification will be provided to States regarding the deficiencies as a first step towards establishing the corresponding CAP. This will be achieved primarily through such mechanisms as correspondence, review by APANPIRG sub-groups, working groups, task forces and other regional and sub-regional meetings. The Regional Office and States should use email where available for communications about deficiencies, including the provision of datasheets to States and corresponding CAPs from States.

5.7 States, upon receipt of the notification of identified deficiencies, should review, validate and comment upon the deficiency. Where actions have already been taken, the State should provide detailed information to the Regional Office in order to evaluate whether the deficiency has already been resolved.

5.8 States are required to keep deficiencies confirmed and included in the Database under review through the on-line facilities and provide updates as necessary to identify the progress on the action plan. The Regional Office may use periodic automated messages generated by the database to remind States to provide input to the Database.

5.9 States are required to respond promptly to regular correspondence sent by the Regional Office with an attached list of deficiencies as retrieved from the Database for each individual State. States should fill-in the necessary details in the datasheet forms in order to provide APANPIRG and its sub-groups, working groups and task forces with up-to-date material for review and consideration of the status of deficiencies and any further actions necessary to be taken by States to expedite eliminate the deficiencies. An updated Status of deficiencies working document will be presented as core material to every APANPIRG meeting in accordance with the Terms of Reference of APANPIRG.

5.10 States' CAPs should include the corrective measures to be taken by the State and a target date by which the identified deficiencies will be resolved. The information provided through this formal coordination process will include:

- a description of the deficiency
- risk assessment
- evaluation of possible solutions and selection of the optimum solution
- Description of agreed action to be taken
- time-line including a firm target date for completion of the planned action
- responsible body in the State to undertake the corrective action including contact details of a designated person/position
- financing source (if applicable) or an indication of the international assistance required if the State is unable to resolve the deficiency on its own due to a lack of resources
- progress report as per the established timeline.

5.11 In accordance with the 11<sup>th</sup> Air Navigation Conference Recommendation 4/8, States are urged to identify areas of air navigation facilities and services where the establishment of multinational agreements or informal coordination groups may contribute to the resolution of deficiencies. This may be especially applicable to deficiencies which are region wide in nature and affecting a group of States, thus leading to general resolution at a regional or wider level.

#### Users

5.12 Appropriate international organizations, in their capacity as Users of air navigation facilities, should provide and update information on deficiencies on a regular basis to the Regional Office for validation and action in accordance with Assembly Resolution A35-14 Appendix M. In addition to this, the Users should notify the Regional Office as soon as a new deficiency is identified.

5.13 International Organizations should provide assistance in the independent verification of remedial actions taken by State(s). The 11<sup>th</sup> Air Navigation Conference Recommendation 4/8 encouraged Users of air navigation facilities and services to report to the Regional Office once they note that the remedial action on the deficiency they had reported has been taken.

#### APANPIRG

5.14 APANPIRG, as the primary coordinating body in the Asia/Pacific Region for all activities conducted within ICAO concerning the planning and implementation of the regional air

navigation systems, meets at regular intervals. Its terms of reference includes *inter alia*, to identify specific problems in the air navigation field and propose in appropriate form, actions aimed at solving these problems. The List of Deficiencies in the air navigation field form part of the core material reviewed by APANPIRG meetings and recommendations for remedial actions are developed.

5.15 In order to ensure that a support mechanism is in place to deal with deficiencies, States must be fully committed to taking follow-up actions on the outcome of APANPIRG meetings. A person or position should be nominated with sufficient decision-making authority to coordinate and oversee the States' CAP for the elimination of deficiencies.

## **6. OTHER MECHANISMS**

6.1 The Regional Office, in coordination with States, will utilize other mechanisms for establishing measures for the resolution of deficiencies.

6.2 The various APANPIRG sub-groups, working groups, task forces and other regional and sub-regional meetings and special implementation projects (SIPs) will be utilized to discuss the implementation of ICAO SARPs and the requirements of the ASIA/PAC ANP in order to eliminate deficiencies.

6.3 The Annual Conference of Directors General of Civil Aviation is attended by State representatives in civil aviation at the highest level. Every opportunity should be taken at these conferences to address the need for political will to instill awareness and allocate appropriate and sufficient resources through effective plans of action that will eliminate deficiencies in a timely manner.

6.4 The International Financial Facility for Aviation Safety (IFFAS) has been established by the ICAO Council to assist States in financing aviation safety-related projects identified primarily through the ICAO Universal Safety Oversight Audit Programme (USOAP). The purpose of IFFAS is to provide financial assistance to States that need to apply corrective measures flowing from the USOAP audits but are unable to obtain the necessary funding through traditional means of financing. IFFAS will be operated in complete independence from ICAO's programme budget and is to be funded through voluntary contributions. The IFFAS mechanism will complement existing ICAO fund-raising mechanisms.

6.5 Other ICAO tools that may be used to address deficiencies include ICAO technical cooperation programmes (including COSCAPs), special implementation projects (SIP), seminars, workshops and training programmes.

6.6 Deficiencies identified during the USOAP audits will be dealt with under a separate programme in accordance with the Memorandum of Understanding between the Contracting State and ICAO. Until such time an appropriate mechanism is developed for the management of such deficiencies by the planning body, they shall not be included in this procedure.

— END —

PHASES

ROLES

IDENTIFICATION

International Orgs,  
User/Provider States,  
Regional Office

ASSESSMENT

Regional Office

ACTION PLAN & VALIDATION

State

MONITORING & VALIDATION

International Orgs,  
Users,  
Regional Office

ELIMINATION & REMOVAL

Regional Office

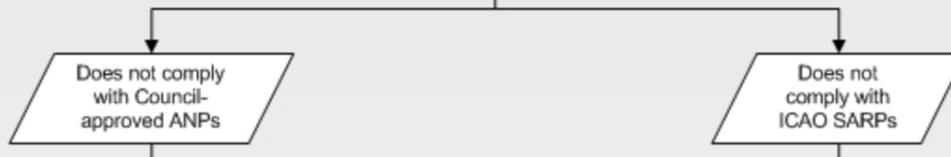
NOTIFY DEFICIENCY

A33-14 APPENDIX M

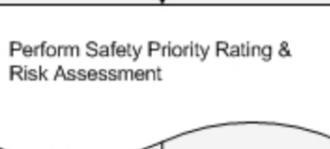
Definition

Deficiency : A situation where a facility, service or procedure does not comply with a regional air navigation plan approved by the Council, or with related ICAO Standards and Recommended Practices (SARPs), and which situation has a negative impact on the safety, regularity and/or efficiency of international civil aviation

ICAO Council  
30 November 2001

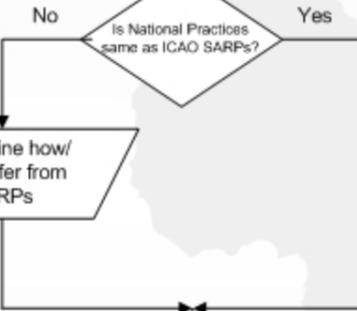
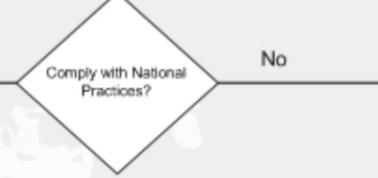
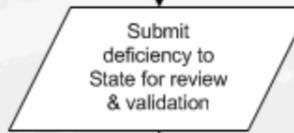


Serious cases to be notified immediately to Air Navigation Commission and Council



Uniform Methodology:

- U = Urgent requirements having direct impact on safety, requiring immediate corrective actions
- A = Top priority requirements necessary for air navigation safety
- B = Intermediate requirements necessary for air navigation regularity and efficiency

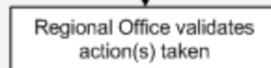
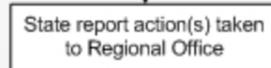
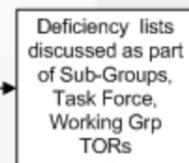
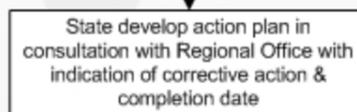


If a difference has not been filed, see Note A on filing of difference

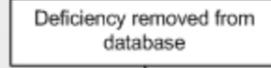
See ANC Notes



# A FLOW CHART TO ASIA PACIFIC SUPPLEMENT TO UNIFORM METHODOLOGY FOR IDENTIFICATION, ASSESSMENT & REPORTING OF AIR NAVIGATION DEFICIENCIES



11<sup>th</sup> Air Navigation Conf - Rec 4/8



Listing of Deficiency with respect to a difference filed

ANC Notes:

- a) Deficiencies regarding compliance with particular Standards should be listed even if the State would have filed a related difference
- b) Even if a State is under obligation to promptly notify ICAO of differences from SARPs, the lack of implementation should not be considered or listed as a deficiency when there is no negative impact on safety, regularity and/or efficiency as assessed by a planning and implementation group (PIRG)

(Excerpts from a paper presented to the Air Navigation Commission AN-WP/7568 dated 9/11/00)