



International Civil Aviation Organization

**Fourteenth Meeting of the APANPIRG ATM/AIS/SAR Sub-Group
(ATM/AIS/SAR/SG/14)**

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(Presented by the Secretariat)

**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. At the thirteenth meeting of the Asia/Pacific Air Navigation Planning and Implementation Group (APANPIRG/13) held on September 2002, it was decided to establish a Deficiency Review Task Force to prepare an Asia/Pacific Supplement to the *Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies* (hereinafter referred to as “Uniform Methodology”) approved by the Council of ICAO on 30 November 2001. The Uniform Methodology was developed by ICAO for the efficient identification, assessment and clear reporting of air navigation deficiencies. The Asia/Pacific Supplement provides more detailed procedures and a management tool to assist the APANPIRG in applying the Uniform Methodology (a copy of the Uniform Methodology contained in the APANPIRG Procedural Handbook is available on the ICAO website: www.icao.int/apac under the heading “E-documents”).

1.2. The ICAO Council in 2001 approved the following unified definition of a deficiency within the context of the Uniform Methodology, which replaces the previous term “shortcomings and deficiencies:”

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 Asia/Pacific Air Navigation Plan (ASIA/PAC ANP, Doc 9763) has been revised in the new ICAO format for regional plans, which is in two documents: the Basic Air Navigation Plan (Basic ANP) and the Facilities and Services Implementation Document (FASID). The first edition (2001) of the revised ASIA/PAC ANP is expected to be published by 2005 (an electronic copy is available on the ICAO secured website: www.icao.int/icaonet)

1.4. It should be noted that in certain areas, there may be deficiencies related to the organization, management and institutional aspects which affect the operation of civil aviation organizations. This has could have a direct impact on the provision of air navigation facilities, services and procedures, which are elements listed in the ICAO Regional Plans.

2.0 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 increase their efforts in the rectification and elimination of air navigation deficiencies identified by the various Users.

2.2 As required by APANPIRG, the ICAO Asia/Pacific Regional Office maintains a list 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 list of deficiencies is to assist States to define their implementation priorities and to indicate remedial action required. This information 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 listed 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. Under the Corrective Action column, States are required to provide to the Regional Office, in a timely manner, an action plan comprising a detailed description of the actions 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 higher focus on prioritization and monitoring of corrective action taken by States and other responsible bodies.

3.0 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 It is also the objective of this Supplement to provide clear definition of the responsibilities and obligations of the parties involved in the management of the deficiencies.

4.0 REGIONAL PROCEDURES

4.1 It has been recognized that 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 list

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 A33-14, 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 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, to a Recommended Practice an “A” and to PANS as “B”.

Validation by States

4.7 The Regional Office, on determining that a reported deficiency exists and after assessment and prioritization, will inform the State involved of the full details of the report and results of the assessment. The State involved will be requested to acknowledge and validate the deficiency, and be informed that the deficiency will be recorded in the APANPIRG List of Deficiencies. States will be requested to develop an Action Plan with timelines based on the prioritization of the deficiency determined by the Regional Office.

4.8 In the event of serious cases of deficiencies, the Regional Office will notify the Air Navigation Commission as a matter of priority.

Development of action plans

4.9 States are required to develop action plans 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 action plan, advice may be sought from the Regional Office
- on completion, the action plan to be submitted to the Regional Office for review and recording
- APANPIRG to be informed of the action plans which will be reviewed by the contributing bodies to APANPIRG

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 List

4.13 States, on reporting that a deficiency recorded on the APANPIRG List of Deficiency 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 List.

5.0 **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 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 All mission reports should include a section on identification of new deficiencies, actions taken on and status of existing deficiencies.

5.3 One of the primary functions of the Regional Office is to assist States to which it is accredited to comply with SARPs and implement the requirements of the ASIA/PAC ANP. Where deficiencies exist, all possible assistance should be provided to States to assist them to take remedial actions to correct air navigation deficiencies. In this regard Regional Office will, to the extent practicable, establish regular correspondences with and perform regular visits/missions to States to assist in the implementation of action plans for the rectification of deficiencies. These visits/missions would be results-oriented, and also used to identify other deficiencies.

States

5.4 Once deficiencies have been identified, evaluated and prioritized, the Regional Office will commence coordination with States in order to allow States to establish an action plan for resolving the deficiency

5.5 Sufficient notification will be provided to States regarding the deficiencies as a first step towards establishing the corresponding coordinated action plan. This will be achieved primarily through such mechanisms as correspondences, review by APANPIRG sub-groups, working groups, task forces and other regional and sub-regional meetings.

5.6 States, upon receipt of the list of deficiencies, will review, validate and comment on, and where actions have already been taken, and provide the necessary details on the list of identified deficiencies, assessed and prioritized by the Regional Office for further action.

5.7 States are required to review and maintain their respective list of deficiencies and identify those that have not been resolved, formulate and forward an action plan to ICAO for review and allocate sufficient resources as required for elimination.

5.8 States are required to respond promptly to the list of deficiencies identified so that the necessary details can be provided to APANPIRG and its sub-groups, working groups and task forces for review and consideration of the necessary actions to be taken by States to eliminate the deficiencies. The final list of deficiencies will be presented as core material to every APANPIRG meeting in accordance with the Terms of Reference of APANPIRG.

5.9 Monitoring and reporting of corrective actions and progress towards the elimination of deficiencies forms an important part of the management of deficiencies. In this regard, it is vital that a reliable monitoring system exists to ensure a true reflection of those deficiencies that have been resolved.

5.10 States' action plans should include the corrective measures to be taken by the State and a date by which it is anticipated that the identified deficiencies will be eliminated. The information provided through this formal coordination process will include:

- a description of the deficiency
- risk assessment
- possible solutions
- time-lines
- responsible party including contact details of designated person/position
- financing source
- agreed action to be taken,
- report on actions already taken.

5.11 In accordance with the 11th 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 lending themselves 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 a list of deficiencies on a regular basis to the Regional Office for validation and action in accordance with Assembly Resolution A33-14 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, as one of the user sources in highlighting deficiencies, should provide assistance in the independent verification of remedial actions taken by State(s). The 11th 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 only coordinating body in the Asia/Pacific Region for all activities conducted within ICAO concerning the 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 to with sufficient decision-making authority to coordinate and oversee the States' action plan 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, are 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 recently 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, special implementation projects, 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.

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