



**WORKING PAPER**

**TWELFTH AIR NAVIGATION CONFERENCE**

**Agenda Item 6: Future direction**

**6.2: Standardization – approach to SARPs development in support of One Sky**

**STANDARDIZATION – IN SUPPORT OF ONE SKY**

(Presented by Canada)

**SUMMARY**

Continually improving the process for the approval and adoption of Standards and Recommended Practices (SARPs) and Procedures for Air Navigation Services (PANS) has always been part of the work of ICAO.

The organization has always sought to improve the process of SARPs and PANS development in response to changes in the world, always seeking to retain the strengths of proven methods. In recent years, there has been an increase in the kinds of expert groups being formed, making it very difficult to accommodate the growing complexity within State planning processes. We have also seen that the definition of the word “standard” at ICAO presents a special challenge by combining rules of conduct with technical specifications. We support the establishing of principles for the structuring of expert groups and suggest adding two others that are important in the UN system. Finally, recognizing that transparency begins with clear and documented procedures to direct the work of expert groups, we request that ICAO update the Directives for Panels of the Air Navigation Commission (Doc 7984) and establish documented policies and procedures for other expert groups developing ICAO provisions.

**Action:** The Conference is invited to agree on the recommendation in paragraph 6.

**References:**

Doc 7300 – Convention on International Civil Aviation

Doc 9958 – Assembly Resolutions in Force – A37-15

Doc 8143 – Directives to Divisional-type Air Navigation Meetings and Rules of Procedures for their Conduct

Doc 7984 – Directives for Panels of the Air Navigation Commission

Air Navigation Commission Procedural Guidebook – 2011

AN-Conf/12-WP/23 – Standardization – in Support of One Sky

**1. INTRODUCTION**

1.1 Continually improving the process for the approval and adoption of Standards and Recommended Practices (SARPs) and Procedures for Air Navigation Services (PANS) has always been part of the work of ICAO. The first assembly in 1947 talked about this in a discussion about representation at divisional meetings. The seventh assembly in 1953 examined the “Procedure for Amendment of International Standards, Recommended Practices and Procedures”. The twelfth assembly in 1959 discussed Panels of the Air Navigation Commission. The thirty-first assembly in 1995 discussed “Increasing the effectiveness of ICAO”. The

thirty-second assembly returned to this subject in 1998. The thirty-third assembly in 2001 called on the Council to “seek ways to shorten the process for the approval and adoption of SARPs considered of key importance for the safety and security of civil aviation.” That Assembly clearly saw a difference among SARPs, with some being more critical than others. The thirty-seventh assembly in 2010 addressed the “Formulation of Standards and Recommended Practices (SARPs) and Procedures for Air Navigation Services (PANS)”.

## 2. CURRENT METHODS

2.1 The process of setting an ICAO standard is well-established and addresses the balance between State rulemaking processes and implementation. As noted above, the thirty-third assembly in 2001 called for ways to shorten the process for the approval and adoption of those SARPs considered of key importance for the safety and security of civil aviation. It was recognized that many SARPs can be developed through a careful and deliberate process but some SARPs are needed more urgently. This has always been true and ICAO has been able to respond by setting priorities and allocating the resources to support this work.

2.2 The methods that have been used to bring 18 annexes into being have served aviation well and, with continued improvement, including improved planning, can continue to do so. Contracting States must continue to collaborate in support of Article 37 of the Convention – Adoption of international standards and procedures. States and international organizations will have to work together closely, to collaborate more fully in the work that lies ahead. ICAO should be commended for the work it has done in setting standards since the adoption of the first annexes. Soon, thanks to the hard work of the Safety Management Panel, Annex 19 will be ready for adoption by the Council. The panel first met in November, 2011, and, subject to recommendation by the ANC and approval by the Council, a new annex is planned to come into effect in November, 2013. This was accomplished using the existing structures for SARPs development.

2.3 At the same time, we have seen in recent years an increase in the kinds of expert groups being formed. It has been very difficult to accommodate this proliferation within our State planning processes. Accordingly, we welcome efforts to address this and recommend the development of documented procedures for other expert groups involved in building provisions related to annexes to the Convention.

## 3. DEFINITION

3.1 In considering changes to the system of expert groups engaged in the development of ICAO provisions, one difficulty lies in the definition of a standard. This definition is given in the foreword to each annex: “Any specification for physical characteristics, configuration, matériel, performance, personnel or procedure, the uniform application of which is recognized as necessary for the safety or regularity of international air navigation and to which Contracting States will conform in accordance with the Convention.” This combines in one definition two distinct types of standard. It combines those standards related to rules of conduct, which apply to individuals and service providers and even States, with those standards that are technical specifications, which apply to objects. The manner in which technical specifications are developed might need to follow a different path from rules of conduct, possibly involving greater use of other standard-setting bodies. Another challenge is the fact that this definition works well for traditional, prescriptive standards, but it does not work well for standards that are performance, goal, or management-based, the kinds of standard we are going to need increasingly in the future.

3.2 The Air Navigation Commission Procedural Guidebook recognizes the first difficulty in Chapter 4, Attachment 1, Guidelines for the Development of SARPs Material for Complex Systems. It recognizes this by distinguishing what it calls “core” SARPs from technical specifications. Many annexes consist

almost entirely of rules of conduct. Some of our annexes consist almost entirely of technical specifications. Annex 10, which consists of more than 1 200 pages in five volumes, is an example.

#### 4. **PRINCIPLES**

4.1 It is good to set out principles for the structuring of expert groups. Two more principles should be added to those outlined in WP/23, principles that are important in the UN system. These are accountability and geographical representation. Accountability refers to the obligation to report on the usage of resources, including resources provided by States and international organizations, and answerability for failing to meet stated performance objectives. States and organizations that contribute to the expert groups must have confidence that the people they provide are engaged in work that is well-planned and managed. Geographical representation means including States from the main geographical areas of the world.

4.2 Regarding transparency, the most transparent of our expert groups have always been panels of the Air Navigation Commission. These are governed by the Directives for Panels of the Air Navigation Commission (Doc 7984). First issued by authority of the Council in 1959, the directives were updated in 1962, in 1970 and again in 1980. It has been thirty-two years since these were last updated. It is time to review and update them once again. We would encourage ICAO to seek comparable transparency by developing and publishing the policies and procedures that govern other expert groups. This could be done under the authority of the Secretary General.

#### 5. **PLANNING**

5.1 While implementation of the aviation system block upgrades (ASBUs) will require changes to ICAO provisions, what new SARPs are needed and what existing SARPs require amendment have yet to be identified. It is urgent that ICAO identify what SARPs, PANS and supporting guidance information will be needed for implementation of the ASBUs. The methodology used to do this work must be systematic and it must respect the principles that will be used to guide the expert groups.

#### 6. **RECOMMENDATIONS**

6.1 The Conference is invited, with respect to expert groups developing air navigation provisions, to request ICAO to:

- a) include accountability and geographical representation in the principles to be used for improving the system of expert groups;
- b) distinguish between rules of conduct and technical specifications in the methods of SARPs development;
- c) provide better structures for SARPs that are performance-, goal- or management-based;
- d) update the Directives for Panels of the Air Navigation Commission (Doc 7984); and
- e) develop documented procedures for other expert groups involved in the development of provisions related to annexes to the Convention.