



*International Civil Aviation Organization*

**FIFTEENTH MEETING OF THE  
ASIA/PACIFIC AIR NAVIGATION PLANNING AND  
IMPLEMENTATION REGIONAL GROUP (APANPIRG/15)  
Bangkok, Thailand, 23 – 27 August 2004**

**Agenda Item 4: Deficiencies in the Air Navigation Fields**

**REPORT OF THE SECOND MEETING OF THE  
DEFICIENCY REVIEW TASK FORCE  
(DRTF/2)**

(Presented by the Chairman, Task Force)

**SUMMARY**

This paper reviews the work accomplished by the Second Meeting of Deficiency Review Task Force (DRTF/2) Meeting held in Bangkok, Thailand from 13 to 14 May 2004 and presents the Supplement to the Uniform Methodology of Identification, Assessment and Reporting of Air Navigation Deficiencies developed by the Task Force for review, comments and adoption by APANPIRG/15

**1. INTRODUCTION**

1.1 The Second Deficiency Review Task Force (DRTF/2) meeting of APANPIRG was held from 13 to 14 May 2004 at the “ Kotaite Wing ” of the ICAO Asia and Pacific Office in Bangkok, Thailand. The meeting was attended by 10 participants from 6 States and 3 International Organizations. The Report of DRTF/2 including the Asia/Pacific Supplement to the Uniform Methodology developed by the Task Force is provided in Attachment for detailed review.

**2. DISCUSSION**

2.1 The DRTF/1 meeting, Bangkok, 22 to 23 July 2003, developed the first draft of the Supplement to the Uniform Methodology, which was presented to APANPIRG/14 meeting, Bangkok, 4 to 8 August 2003. APANPIRG/14 adopted Conclusion 14/50 requesting that the draft Asia/Pacific Supplement to the Uniform Methodology be circulated to States in the Asia/Pacific region for comments. APANPIRG/14 decided also that the DRTF should conduct a second meeting in order to finalize the regional procedures regarding the identification, assessment and reporting of air navigation deficiencies and to develop further guidelines to be included in the Asia/Pacific Supplement to the Uniform Methodology, taking into account comments received from States and Organizations concerned.

2.2 The draft Supplement has been circulated to all ASIA/PAC States and to the international organizations concerned for comments. DRTF/2 meeting noted the responses from ten (10) States who generally indicated no comment or agreement with the draft Supplement. IFALPA, in particular, expressed full agreement with the draft Supplement and offered to assist ICAO in identifying air navigation deficiencies and reporting when the deficiency is resolved.

2.3 After discussing in detail the regional procedures DRTF/2 prepared the final draft of the Supplement that included also a detailed flow-chart of the whole process of dealing with the air navigation deficiencies from their identification to the final elimination and removal from the APANPIRG List of Deficiencies.

2.4 The meeting formulated one draft conclusion and one draft decision for consideration by APANPIRG/15 as follows:

**Draft Conclusion 15/x - Adoption of Asia/Pacific Supplement to the Uniform Methodology**

That,

the Asia/Pacific Supplement to the Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies be circulated to States and International Organizations and the procedures contained therein be adopted in the management of deficiencies.

**Draft Decision 15/x - Dissolution of the 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.

2.5 The Report of DRTF/2 including the Asia/Pacific Supplement were discussed during the ATM/AIS/SAR SG/14 and CNS/MET SG/8 meetings held from 28 June – 02 July 2004 and 12 – 16 July 2004 respectively, and both the SGs were in general agreement with the Asia/Pacific Supplement.

**3. ACTION BY THE APANPIRG/15**

The meeting is invited to:

- a) review the report the DRTF/2 Meeting including the draft Supplement to the Uniform Methodology; and
- b) take actions on the draft Conclusion and draft Decision above.

- END -



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

**REPORT OF THE SECOND MEETING OF THE  
ASIA/PACIFIC DEFICIENCY REVIEW TASK FORCE  
(DRTF/2)**

**BANGKOK, THAILAND - 13 – 14 MAY 2004**

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Attachment 1 - List of Participants

Attachment 2 - List of Papers

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Attachment 4 - Note on the Notification of Differences

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## HISTORY OF THE MEETING

### 1.1 Introduction

1.1.1 The Second Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/2) was held in Bangkok, Thailand from 13 to 14 May 2004 at Kotaite Wing of the ICAO Asia and Pacific Office.

### 1.2 Attendance

1.2.1 The meeting was attended by 10 participants from 6 Member States and 3 International Organizations.

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. Lalit B. Shah, Regional Director, ICAO Asia and Pacific Office.

1.3.2 In welcoming members of the Task Force to the newly commissioned Kotaite Wing, Mr. Shah noted that the good work done by the DRTF/1 was acknowledged by both the Air Navigation Commission (ANC) and ICAO Council. The Secretary General was requested by the ANC and ICAO Council to monitor and evaluate the development of the Asia/Pacific Supplement and to consider extending its application to other regions.

1.3.3 Mr. Shah recalled the issue of deficiency had always been accorded very high priority by ICAO. In this regard, the revised Terms of Reference of APANPIRG proposed by APANPIRG/14 and approved by the Council in February 2004 had included the identification and addressing of specific deficiencies as one of the three core objectives. He drew the attention of the Task Force to the guidance materials on safety management systems contained in the draft Safety Management System (SMS) Manual for Air Traffic Services and Aerodromes pertaining to hazards and risks management, performance monitoring, safety assessment, auditing and training; all of which provided useful guidance materials to States in the implementation of a safety management system. The Manual also contains guidance regarding the priority classification of hazards which may be useful in classifying deficiencies.

### 1.4 Officers and Secretariat

1.4.1 The meeting was chaired by Mr. Jeff Bollard, Chief Engineer, Technical Standards, Standards and Environment Branch, Safety and Environment Assurance, Airservices Australia.

1.4.2 Mr. K. W. Cheong, Regional Officer/AGA from the ICAO Asia and Pacific Office was the Secretary of the meeting. He was assisted by Mr. David Moores, Mr. Andrew Tiede, Regional Officers/ATM, Mr. K.P. Rimal, Regional Officer/CNS and Mr. D. Ivanov, Regional Officer/MET from the ICAO Asia and Pacific Office.

**1.5 Agenda of the Meeting**

1.5.1 The Agenda adopted by the meeting was as follows:

Agenda Item 1: Review Report of DRTF/1

Agenda Item 2: Review results of 11<sup>th</sup> Air Navigation Conference on the subject of Deficiencies

Agenda Item 3: Review APANPIRG/14 discussions on the subject of Deficiencies

Agenda Item 4: Review and finalize the Asia/Pacific Supplement to the Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies

Agenda Item 5: Any other Business

**1.6 Working Arrangements, Language and Documentation**

1.6.1 The Task Force met as a single body throughout the meeting. The working language of the meeting was English inclusive of all documentation and this Report. Working Papers (WPs) and Information Paper (IP) presented at the meeting are listed in the Attachment 2 to this Report.

**1.7 Decisions**

A List of Draft Conclusion and Decision is given on page i-3.

**List of Draft Conclusion and Decision**

Draft Conclusion 1/2    -    Adoption of Asia/Pacific Supplement to the Uniform Methodology

Decision 2/2            -    Dissolution of the Deficiency Review Task Force



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**Agenda Item 1: Review Report of DRTF/1**

1.1 The Secretariat provided an overview of the report of DRTF/1, drawing the attention of the meeting to salient points of the report.

1.2 On DRTF/1 request for guidance materials on the definition of “regularity” and “efficiency” which, hitherto, were considered to be lacking, arbitrary and ambiguous, the meeting was advised that appropriate guidelines, including criteria for its measurement, had been provided in the working paper WP/50 entitled “The Concept and Performance Targets for RTSP in Air Traffic Management” presented during the 11<sup>th</sup> Air Navigation Conference held in September 2003.

1.3 The meeting was briefed on the development of the ICAO Manual on Safety Management for Air Traffic Services and a similar manual for Aerodromes containing, inter alia, guidelines on risk and hazard measurements, performance monitoring, safety assessment, auditing and training. The SMS, when properly implemented, required that systems were in place to ensure that all hazards and deficiencies were reported in a timely manner and corrective actions taken.

1.4 As a follow-up to the Secretary General’s State Letter on deficiencies ref M6/1-02/79 dated 27 September 2002 addressed to State Ministers responsible for aviation, the meeting was informed that a second letter requesting that the subject of deficiency be accorded very high priority will be issued shortly by the Secretary General.

1.5 The meeting was informed that a number of key recommendations contained in the DRTF/1 report had been taken up and incorporated in the draft flowchart to the Asia/Pacific Supplement which will be brought up for discussion under Agenda Item 4.

1.6 IFALPA informed the meeting that the deficiencies contained in IFALPA’s Annex 19 were those of an operational nature observed by pilots when flying into a particular aerodrome. These were essentially operational requirements that in some instances not related to either the ICAO Standards and Recommended Practices (SARPs) or the requirements of the regional air navigation plan.

1.7 The meeting recognized the need for an avenue at the operational level to deal with problems highlighted by IFALPA. The Airport Liaison Representative (ALR) programme had been developed by IFALPA to enhance safety at all airports served by IFALPA pilots by building rapport with airport personnel in order that airport safety issues can be identified and addressed before they become a safety threat. Similarly, local airport groupings such as the Airport Operators Committee (AOC) had been established in Hong Kong and Singapore to provide a forum for the management of identified deficiencies.

1.8 IATA commented that, in their view, there were a number of serious deficiencies that indicated an underlying system or procedural shortcomings that cannot be resolved quickly even if the will to do so was present. Additionally, as a result of cultural sensitivities, the “name and shame” policy that had been successfully used in other regions cannot be applied in the Asia/Pacific region without creating adverse consequences and political ill-will in the resolution of deficiencies. However, as civil aviation authorities in the Asia/Pacific region appeared to be more open, receptive as well as being aware of the seriousness of air navigation deficiencies, IATA was considering the resumption of the publication of its deficiency list for the Asia/Pacific region in accordance with IATA practices in other regions.

1.9 The Secretariat provided an example where the nomination of a designated officer within a State’s administration to be made responsible for issues concerning deficiencies had resulted in the expeditious resolution of a potentially serious deficiency. In this regard, it was proposed that in developing action plans, States should also be required to provide the name of a dedicated officer responsible for follow-up actions.

**Agenda Item 2    Review Results of the 11th Air Navigation Conference on the Subject of Deficiencies**

2.1            In presenting WP/3, attention was drawn to the obligation of Contracting States with respect to Article 28 of the Convention on International Civil Aviation where States undertake, insofar as they may find practicable, to provide air navigation facilities and services necessary to facilitate international air navigation.

2.2            The Secretariat informed the meeting that an ATS Route Network Review Task Force would be convened in October 2004 to conduct a review of the ATS route requirements in the region with a view to amending the Asia/Pacific Basic ANP as appropriate. Upon completion of the work of this Task Force, it was envisaged that a considerable number of routes may be removed from the list of deficiencies contained in the APANPIRG/14 report.

2.3            The meeting was apprised that a significant number of deficiencies in the AGA field reported in the latest IFALPA's Annex 19 in one State were in fact a repetition of the previous year in which the State had reported to APANPIRG/14 as being satisfactorily resolved. This confusion gave rise to a number of possibilities such as a) States had not been reporting truthfully the actions taken or b) deficiencies reported by the pilots had not been updated or c) that the said deficiencies no longer exist. It was manifestly clear therefore that a reliable reporting and monitoring mechanism was required to ensure a true reflection of those deficiencies that had been identified and resolved in addition to encouraging States to take actions to eliminate them.

2.4            In this context, the meeting noted paragraph 4.3.2 of the draft Asia/Pacific Supplement to the Uniform Methodology developed during DRTF/1 requesting International Organizations as users of air navigation facilities to provide assistance in the independent identification of deficiencies and verification of remedial actions taken by States. This suggestion had been incorporated in Recommendation 4/8 para (b) of the Report of the 11<sup>th</sup> Air Navigation Conference.

2.5            In order to expedite the process of verification of actions taken, IFALPA requested that State authorities, when reporting on actions taken to the ICAO Regional Office, provided concurrent notification to the user which originally identified the deficiency.

2.6            The meeting raised the issue of overlapping of deficiencies identified by APANPIRG and those that would be identified during the forthcoming expanded ICAO Universal Safety Oversight Audit Programme (USOAP). It was noted that the terms of reference of regional planning bodies such as APANPIRG did not include matters related to flight operations and that deficiencies identified by APANPIRG traditionally did not include those related to flight operations, hence there was no duplication of list identified during the initial USOAP audits into Annex 1, 6 and 8. However, this was not expected to be the case in the expanded audits where deficiencies related to aerodromes and air traffic services would inevitably be identified during the course of audits and these could potentially overlap or even be in conflict with the list identified by APANPIRG. .

2.7            IATA was of the opinion that while the USOAP audits were essentially to reveal compliance with States' regulatory processes and consequently deficiencies identified were of a structural and/or organizational in nature, deficiencies identified by APANPIRG were, on the other hand, urgent and operational in substance. Additionally, it was to be recognized that USOAP deficiency was a matter between ICAO and the State being audited with only an Executive Summary being distributed to all Contracting States; whereas APANPIRG deficiencies, in a way, were public documents discussed during planning group meetings. The meeting agreed that a statement to the effect that the list of deficiencies identified by APANPIRG did not include those identified during USOAP audits will be added to the Asia/Pacific Supplement.

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2.8 In discussing WP/5 on prioritization of deficiencies, the meeting agreed to endorse the concept as suggested during the 11<sup>th</sup> Air Navigation Conference where deficiencies related to Standards were assigned as a “U” priority, Recommended Practices as an “A” priority and procedures as a “B” priority. This classification would not be in conflict with but rather complement the prioritization procedures contained in the Uniform Methodology since a majority of Standards dealt with safety issues and Recommended Practices, regularity and efficiency issues.

### **Agenda Item 3: Review APANPIRG/14 Discussions on the Subject of Air Navigation Deficiencies**

3.1 The meeting was apprised on the outcome of APANPIRG/14 discussions on the report of DRTF/1 and the subject of deficiencies.

3.2 On the issue of availability of guidelines in the safety assessment of deficiencies identified by APANPIRG/14 as being the most important part in the resolution process, DRTF/2 was informed that the ICAO SMS Manual for ATS and aerodromes contain comprehensive guidance materials for the conduct of safety assessment such as system description, hazard identification, estimation of hazard severity, risk evaluation and mitigation and development of safety assessment documentation.

3.3 The meeting noted APANPIRG/14's advice that in carrying out the commendable work achieved so far, the DRTF should not attempt to change the definition of deficiency nor the Uniform Methodology other than to provide further guidance in its interpretation and implementation. The DRTF was reminded by APANPIRG/14 that one of its prime objectives was to review the long list of deficiencies that had remained outstanding for a long time.

3.4 The meeting considered the advice provided by APANPIRG/14 with respect to the review of the long list of outstanding deficiencies and, after scrutiny of its Terms of Reference, and in consideration of the enormity of the tasks, the various air navigation fields and types of expertise required, felt that the Terms of Reference of the DRTF did not include such an exhaustive activity be carried out under its terms.

3.5 The meeting was advised on the following Conclusion and Decision adopted by APANPIRG/14 arising from its discussion on the report of DRTF/1:

#### **Conclusion 14/50 - Asia/Pacific Supplement to the Uniform Methodology**

That, the concept for the "Asia/Pacific Supplement" to the Uniform Methodology for the identification, assessment and reporting of air navigation deficiencies contained in the attachment to the Report of the 1<sup>st</sup> Meeting of the Task Force be circulated to States for comments and the Task Force finalize the development of the Supplement taking into account comments from States".

#### **Decision 14/51 - 2<sup>nd</sup> Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/2)**

That, a second meeting of the DRTF be convened during early 2004 to finalize the procedures and develop further guidelines to be included in the Asia/Pacific Supplement to the Uniform Methodology, taking into account comments received from States and Organizations concerned.

3.6 The ANC, at the 5<sup>th</sup> Meeting of its 165<sup>th</sup> Session on 27 January 2004, welcomed the initiative of APANPIRG/14 in developing the concept of the Asia/Pacific Supplement to the Uniform Methodology that would provide a safety analysis resulting in allocation of appropriate priority in addressing deficiencies, taking into account associated risk factors. The Commission requested that the Supplement be monitored, evaluated and to consider extending its application to other ICAO

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regions. This position was endorsed by the ICAO Council, at its 6<sup>th</sup> Meeting of its 171<sup>st</sup> Session on 27 February 2004.

3.7 The meeting also noted the responses from twelve (12) States and three (3) International Organizations in connection with Conclusion 14/50 of APANPIRG/14 requesting that the draft Asia/Pacific Supplement to the Uniform Methodology be circulated to States in the Asia/Pacific region for comments. The responses generally indicated no comment or in agreement with the draft Supplement. IFALPA, in particular, expressed full agreement with the draft Supplement and will seek to assist ICAO in identifying air navigation deficiencies and reporting when the deficiency is resolved.

#### **Agenda Item 4: Review and Finalize the Supplement to the Uniform Methodology**

4.1 Arising from the presentation of WP/8 by Australia, the meeting reiterated that the lack of sufficient guidance in assessing deficiencies pertaining to regularity and efficiency could affect the task of prioritizing them. Whilst the concept of “safety at a certain level of risk” can be applied to safety issues, the same cannot be said of efficiency and regularity. However, the meeting recognized that the principles used in the management of safety as contained in the ICAO SMS Manual on ATS could be extrapolated for use in cases affecting efficiency and regularity.

4.2 The Secretariat reminded the meeting to exercise caution in prioritizing deficiencies as some categories of deficiencies, whilst appearing to involve efficiency in fact had safety implications. As an example, taxiways are needed to facilitate movement of aircraft from the runway to the apron and back safely in order to minimize runway occupancy time. On the surface, this would appear to be an efficiency issue to minimize delays and increase capacity but on closer scrutiny this had a positive contribution to the safety of operations at an aerodrome by allowing aircraft to clear the landing runway. In this regard, the meeting was informed that the associated Recommended Practice was in the due process of being upgraded to an ICAO Standard from a safety perspective requirement.

4.3 The Secretariat provided a memorandum on the reporting of deficiencies in the field of aeronautical meteorology dated 15 October 2003. After a review, the meeting agreed to adopt the model using the concept of “**SMART**” targets whereby description of a deficiency should be **S**pecific (clear task on what needs to be done), **M**easurable (precise requirements), **A**chievable (task sensible in scope), **R**ealistic (task has deadlines and completion requirements) and **T**ime-Bounded (sensible guide for completion and imposes a schedule).

4.4 IFALPA gave a power point presentation of its Annex 19 providing information on the identification of deficiencies in aerodromes/airspace and the various classifications used. An “Update of Reported Deficiency” form developed by the Regional Vice-President for Asia East region for use based on personal observation of reported deficiencies by pilots was described.

4.5 Extensive discussions subsequently ensued after the presentation of WP/10 on the draft Asia Pacific Supplement by the Secretariat. With constructive comments and suggestions from members of the DRTF, the “Flow Chart to Asia/Pacific Supplement to the Uniform Methodology for Identification, Assessment and Reporting of Air Navigation Deficiencies” and the accompanying text were finalized and accepted for presentation to APANPIRG/15. The final version is included as Attachment 3 to this report. The meeting suggested that the Asia/Pacific Supplement be tabled for discussion at the upcoming ATM/AIS/SAR SG/14 and CNS/MET SG/8 meetings in order that comments from both the Sub-Groups are incorporated in a paper to be presented to APANPIRG/15.

4.6 The meeting accordingly formulated the following draft conclusion:

#### **Draft Conclusion 1/2 - Adoption of Asia/Pacific Supplement to the Uniform Methodology**

That, the Asia/Pacific Supplement to the Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies be circulated to States and International Organizations and the procedures contained therein be adopted in the management of deficiencies.

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**Agenda Item 5: Any Other Business**

5.1 The meeting was presented with WP/11 and IP/1 detailing the Terms of Reference for the Regional Airspace Monitoring Advisory Group (RASMAG).

5.2 It was proposed that RASMAG be assigned special responsibility to oversight and coordinate the management of the deficiency methodology on behalf of APANPIRG and its sub groups. However, in consideration of its Terms of reference, the meeting recognized that RASMAG currently provided a framework only for the monitoring and review of airspace safety services. Further expansion of RASMAG's TORs to cover other areas of safety interest as required could be determined by APANPIRG after a review of the work of RASMAG. The proposal was not adopted.

5.3 The meeting was presented with WP/12 which provided information on the filing of differences with respect to ICAO SARPs. A simplified flowchart adapted from a paper presented to the 12<sup>th</sup> Session of the ICAO Facilitation Division is included as Attachment 4.

5.4 Having completed the task assigned to the DRTF, the meeting formulated the following decision:

**Decision 2/2 - Dissolution of the 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.

5.5. In closing the Meeting, the Chairman thanked the participants for their support which has contributed to a successful outcome of the Task Force.

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**Second Meeting of the Asia/Pacific Deficiency Review Task Force (DRTF/2)**  
**Bangkok, Thailand, 13 to 14 May 2004**

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*International Civil Aviation Organization*

**SECOND MEETING OF THE  
DEFICIENCY REVIEW TASK FORCE (DRTF/2)  
Bangkok, 13 - 14 May 2004**

**List of Papers**

<u>Paper No</u>	<u>Agenda Item</u>	<u>Title</u>	<u>Presented by</u>
WP/1	-	Provisional Agenda	Secretariat
WP/2	1	Review Report of DRTF/1	Secretariat
WP/3	2	Rectification of Air Navigation Deficiencies (WP/35 of 11 <sup>th</sup> ANConf by ICAO)	Secretariat
WP/4	2	Rectification of Air Navigation Deficiencies (WP/126 of 11 <sup>th</sup> ANConf by Ethiopia)	Secretariat
WP/5	2	Report of 11 <sup>th</sup> ANConf on Agenda Item 4 (Deficiency) (by ICAO)	Secretariat
WP/6	3	Review of APANPIRG/14 discussions on DRTF/1 and associated ANC & Council actions	Secretariat
WP/7	3	States's Responses to Draft Asia Pacific Supplement to the Uniform Methodology	Secretariat
WP/8	4	A Hazard Assessment Procedure	Australia
WP/9	4	IFALPA Annex 19 Part 3	IFALPA
WP/10	4	Finalization of the Draft Asia Pacific Supplement	Secretariat
WP/11	5	Oversight of deficiency management by an APANPIRG	Australia
WP/12	5	SARPs "Notification of Differences" Procedures and PANS Status (WP/142 & WP/142 revised of 11 <sup>th</sup> ANConf by IFALPA)	IFALPA
IP/1	5	RASMAG Terms of Reference	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](http://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](http://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 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 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 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 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 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.

--- END --



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

Does not comply  
with Council-  
approved ANPs

Does not comply  
with ICAO SARPs

Have -ve impact on  
safety, regularity,  
efficiency

No

CLOSED OUT

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

Perform Safety Priority Rating &  
Risk Assessment

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

Submit  
deficiency to  
State for review  
& validation

Yes

Comply with National  
Practices?

No

No

Is National Practices  
same as ICAO SARPs?

Yes

If a  
difference  
has not  
been filed,  
see Atch 4:  
Note on the  
Notification  
of difference

Determine how/  
why differ from  
SARPs

See ANC Notes

Have a -ve  
impact on  
safety,  
regularity &  
efficiency

State develop action plan in  
consultation with Regional Office with  
indication of corrective action &  
completion date

Deficiency lists  
discussed as part  
of Sub-Groups,  
Task Force,  
Working Grp  
TORs

State report action(s) taken  
to Regional Office

Regional Office validates  
action(s) taken

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

Deficiency list updated

APANPIRG reviews lists

Deficiency removed from list

CLOSED OUT

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

Listing of Deficiency with respect to a difference filed

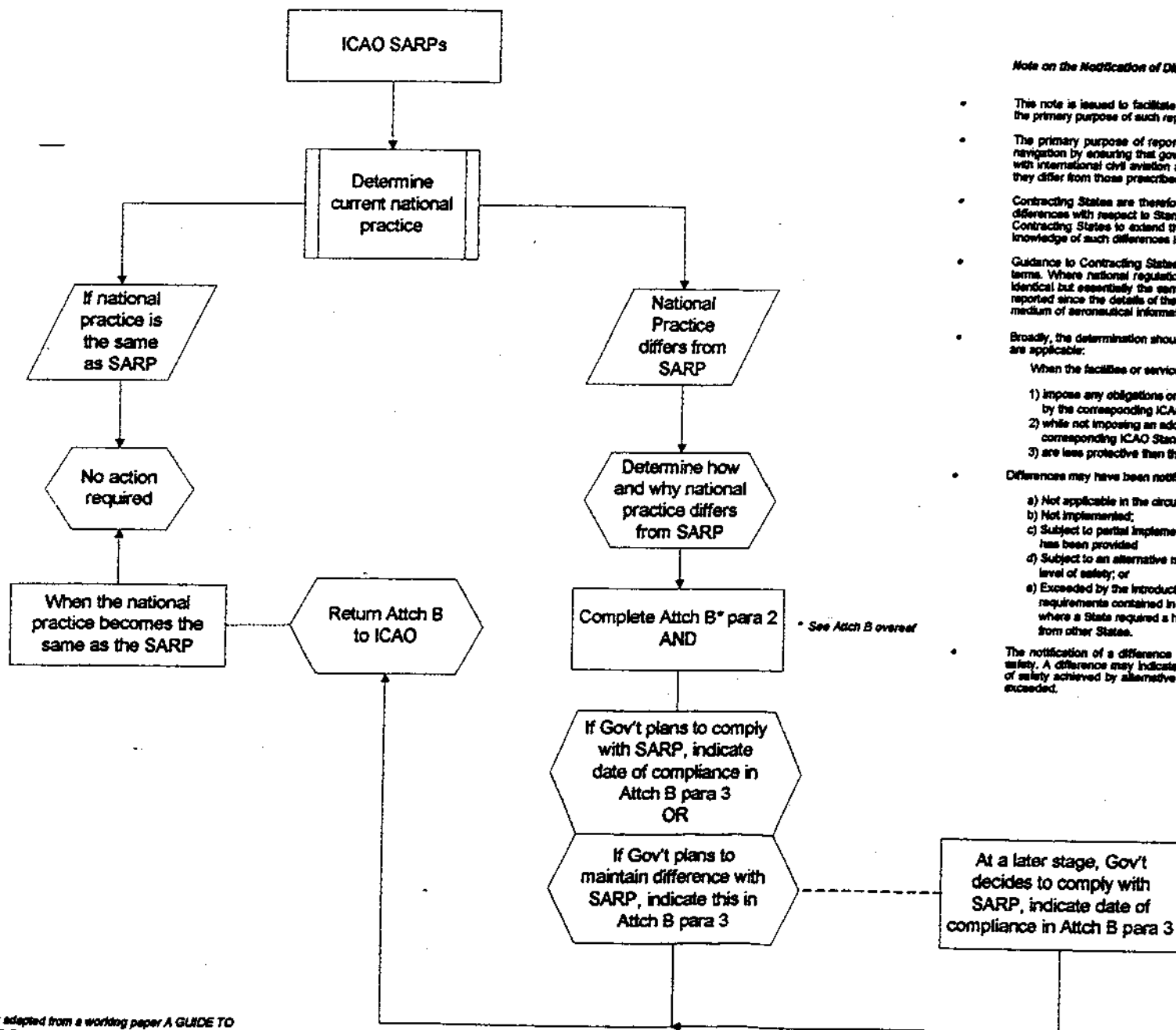
ANC Notes:

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)

# A GUIDE TO SUBMITTING DIFFERENCES TO ANNEXES



## Note on the Notification of Differences

- This note is issued to facilitate the determination and reporting of such differences and state the primary purpose of such reporting.
- The primary purpose of reporting of differences is to promote safety and efficiency in air navigation by ensuring that governmental and other agencies, including operators, concerned with international civil aviation are made aware of all national rules and practices in so far as they differ from those prescribed in the ICAO Standards.
- Contracting States are therefore requested to give particular attention to the notification of differences with respect to Standards in the various Annexes. The Council has also invited Contracting States to extend the above consideration to Recommended Practices when the knowledge of such differences is important for the safety of air navigation.
- Guidance to Contracting States in reporting of differences can only be given in very general terms. Where national regulations of States call for compliance with procedures that are not identical but essentially the same as those contained in the Annexes, no difference should be reported since the details of the procedures existing are the subject of notification through the medium of aeronautical information publications.
- Broadly, the determination should be based on, *inter alia*, the following criteria in so far as they are applicable:  
When the facilities or services provided by a State for international air navigation:  
  - 1) impose any obligations or requirements for safety additional to any that may be imposed by the corresponding ICAO Standard;
  - 2) while not imposing an additional obligation, differ in principle, type or system from the corresponding ICAO Standard;
  - 3) are less protective than the corresponding ICAO Standard
- Differences may have been notified because the associated Standards were:
  - a) Not applicable in the circumstances of the State concerned;
  - b) Not implemented;
  - c) Subject to partial implementation, where a lower level of requirement has been provided;
  - d) Subject to an alternative means of achieving the same intent and level of safety; or
  - e) Exceeded by the introduction of more stringent State rules than the requirements contained in an ICAO Standard. This is of particular importance where a State required a higher standard and sought to govern operators from other States.
- The notification of a difference does not necessarily indicate operation to a lesser level of safety. A difference may indicate inapplicability of the particular Standard, an equivalent level of safety achieved by alternative means, or that the level of safety implied by the Standard is exceeded.

• See Atch B overleaf

APPENDIX B

[Please use extra sheets as required]

"ATTACHMENT B"

(sent out with State letters notifying adoption of amendments to Annex 9)

"Notification of compliance with or differences from Annex 9  
(including all amendments up to and including Amendment xx)"

Signature

Date

"To: The Secretary General  
International Civil Aviation Organization  
999 University Street  
Montreal, Quebec  
Canada H3C 5H7

"1. No differences will exist on (Date) \_\_\_\_\_ between the national regulations and/or practices of (State) \_\_\_\_\_ and the provisions of Annex 9, including all amendments up to and including Amendment xx.

"2. The following differences will exist on (Date) \_\_\_\_\_ between the regulations and/or practices of (State) \_\_\_\_\_ and the provisions of Annex 9, including Amendment xx. (Please see Note 3) below.)

a) ANNEX PROVISION (Please give exact paragraph reference)	b) DETAILS OF DIFFERENCE (Please describe the difference precisely)	c) REMARKS (Please indicate reasons for the difference)
--	---	--

[Please use extra sheets as required]

"3. By the dates indicated below, (State) \_\_\_\_\_ will have complied with the provisions of Annex 9, including all amendments up to and including Amendment xx for which differences have been notified in 2 above.

ANNEX PROVISION  
(Please give exact  
paragraph reference)

DATE

COMMENTS

- "Notes. -
- 1) If paragraph 1 above is applicable to you, please complete paragraph 1 and return this form to Montreal. If paragraph 2 is applicable to you, please complete paragraphs 2 and 3 and return the form to Montreal.
  - 2) Please dispatch the form to reach Montreal by \_\_\_\_\_.
  - 3) A detailed repetition of previously notified differences, if they continue to apply, may be avoided by stating the current validity of such differences.
  - 4) Guidance on the notification of differences from Annex 9 is provided in the Note on Notification of Differences that is being forwarded with a copy of Amendment xx to Annex 9 under separate cover.
  - 5) Please send a copy of this notification to the ICAO Representative accredited to your Government."

— END —