



ICAO

**TENTH MEETING OF THE REGIONAL AVIATION SAFETY GROUP - ASIA AND PACIFIC REGIONS (RASG-APAC/10)**

*(Bangkok, Thailand, 17-18 December 2020 on Virtual Platform )*

RASG-APAC/10-WP/7

Agenda Item 3

Revision 1

**Agenda Item 3 : RASG consideration and approval**

**AMENDMENT OF RASG-APAC PROCEDURAL HANDBOOK  
(Second Edition)**

*(Presented by Secretariat)*

**SUMMARY**

This paper presents Regional Aviation Safety Group, Asia and Pacific Region (RASG-APAC) Procedural Handbook, 2<sup>nd</sup> Edition after it was approved in 2016 (1<sup>st</sup> edition).

The action by the meeting is listed at Paragraph 3 of this Working Paper

**1. INTRODUCTION**

1.1 At the APRAST/5 Meeting held on 16-19 September 2014, the Secretariat was tasked to develop a Procedures Manual for RASG-APAC. The Procedures Manual would specify the APANPIRG/RASG-APAC coordination mechanism and framework, as well as other areas such as RASG-APAC working procedures and arrangements, terms of reference of the various sub-groups and process for development of safety enhancement initiatives. Finally, a working paper was presented in APRAST/8 (March/April 2016) with those inclusions seeking any final comments to be included before presenting the Handbook to RASG-APAC/6 for comments/adoption and RASG-APAC/6 held in Colombo (1-2 Aug 2016), Sri Lanka approved the RASG-APAC Procedural Handbook.

1.2 Over a period of last five years, there were few changes at the structural level like APAC-AIG now reports directly to RASG. On-line Safety Implementation Monitoring Tools are being introduced. Generic Terms of References (ToRs) for RASG and PIRG was approved by the President of the Council and the Secretary General on 17 April 2020. Asia Pacific Regional Aviation Safety Plan is promulgated for the first time in March 2020 which requires a mapping with GASP and NASP. All these changes are incorporated in the 2<sup>nd</sup> edition of the RASG-APAC Handbook including certain empowerment of APRAST.

**2. DISCUSSION**

2.1 The first draft of the RASG-APAC Draft Procedures Manual was presented at the APRAST/7 Meeting held on 4 September 2015 for discussion. The Meeting noted the comments from various participants, and agreed that the content of the Handbook should also cover the following areas:

- a) Terms of Reference of RASG-APAC and various sub-bodies

- b) Working arrangements and procedures between APRAST and RASG-APAC; within APRAST and its working groups and; between RASG-APAC and other ICAO bodies
- c) Procedures for safety enhancement review and development, approval and coordination, and development of detailed implementation plans.
- d) Procedures (including process diagrams and templates) for:
  - reporting of work done by working groups to APRAST
  - submission of SEI outputs to RASG-APAC
- e) Procedures on the publication and distribution of the APAC Annual Safety Report
- f) Appointment and roles of facilitators and champions
- g) Meeting arrangements, including submission and posting of papers
- h) Glossary of terms used

2.2 On 9 September 2015, a State Letter was sent to all APAC States along with the Draft RASG-APAC Procedural Handbook of April 2015 according to the Decision of APRAST 7/21 and 7/22 for the State comments with a deadline of 20 September 2015. There were comments from Hong Kong, China, Singapore, AAPA and Boeing. After these comments were consolidated the contents now cover the following areas.

- a) Background
- b) Terms of reference for RASG-APAC
- c) RASG-APAC working arrangements
- d) Roles and responsibilities
- e) Meeting documentation
- f) RASG-APAC organizational structure
- g) Glossary

2.3 The updated Draft RASG-APAC Procedural Handbook, 2<sup>nd</sup> Edition, March 2016 was presented in APRAST/8 where the meeting outcomes were as follows;

**Conclusion APRAST 8/1:**

That, States/Administrations provide comments on the draft RASG-APAC Procedural Handbook by 30 April 2016, and thereafter the Secretariat submit the second edition of the Handbook to RASG-APAC/6 for approval.

**Decision APRAST 8/17:**

That, SEI WG provide the process to ensure the currency of SEI outputs to Secretariat for incorporation into the RASG-APAC Procedural Handbook.

2.4 Accordingly, a State Letter was sent and feedback given by Macao, China, Singapore and SEI WG was inserted to the Procedures Manual. The latest amended RASG-APAC Procedure Handbook is at **Annex A**.

2.5 RASG-APAC/6 held in Colombo (1-2 Aug 2016), Sri Lanka finally approved the RASG-APAC Procedural Handbook, the 1<sup>st</sup> Edition.

2.6 The APANPIRG and RASG-APAC Regional Coordination Meeting held in Bangkok on 06 Jul 2017, which was attended by APANPIRG Chair, RASG-APAC Chair and Vice-Chair, APRAST Co-Chair (States) and senior officials from ICAO HQ, agreed that APAC-AIG should report directly to RASG-APAC instead of to APRAST, given the independence of accident investigation work from other safety management issues focused under APRAST. Subsequently, the proposal for APAC-AIG direct reporting to RASG-APAC was discussed and adopted Conclusion APRAST 11/3, *That, the APRAST Secretariat continue coordination with APAC-AIG to develop and propose the necessary changes to the existing documents to reflect the direct reporting of APAC-AIG to RASG-APAC.* It was endorsed in RASG-APAC/8 through the WP-08 held in September 2018.

2.7 The Generic Terms of Reference (ToR) for PIRG and RASG was approved by the President of the Council and the Secretary General on 16 April 2020. The Generic Terms of Reference (ToR) for PIRG and RASG was presented during the Thirtieth Meeting of the Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG/30) and Ninth Regional Aviation Safety Group – Asia Pacific (RASG-APAC/9) Meetings and adopted in the 2<sup>nd</sup> edition. APRAST Decision 15/5, 15/6, 15/9 and 15/10 to establish an effective Online Monitoring Tools to monitor the progress of SEI implementation status and NASP implementation status was emphasised. A guideline for the Monitoring Tool has been developed accordingly and placed as **Attachment-3** of the Procedure Handbook.

2.8 RASG-APAC Decision 8/6 and 9/5 tasked APRAST Co-Chairs to work out detailed framework for empowerment of APRAST and its Working groups to adopt Decisions and Conclusions mainly on technical/operational matters to enhance efficiency and effectiveness of APRAST processes and table it on RASG/10 for approval. Accordingly, APRAST Co-Chairs presented WP-19 was presented and APRAST 15/12 Decision was made to present the same at RASG/10. The 2<sup>nd</sup> Edition of RASG-APAC Procedure Handbook is in **Attachment A**.

2.9 Hence, those empowerment conditions of APRAST/15 WP-19 are incorporated in Appendix A of the RASG-APAC Procedure Handbook. The objective of empowering APRAST and its Subgroups to adopt certain Decisions and Conclusions is to simplify the processes and shorten development time for all of APRAST work outputs. The outcomes of the review conducted by APRAST are summarised as follows:

- 1) APRAST Subgroups should adopt Conclusions/Decisions related to:
  - a) any amendment to TORs, including an extension of time of Working Group/Taskforce formed under the relevant Subgroup; and
  - b) all technical and operational aspects of Subgroup's work within its TORs.
- 2) APRAST Subgroups should formulate Draft Conclusions/ Draft Decisions and submit to RASG-APAC for adoption:
  - a) any amendment to TORs, including an extension of time of Working Group/Taskforce formed under TORs approved by RASG-APAC;
  - b) slow progress by States in implementation aspects.
- 3) ICAO Secretariat would indicate clearly in the report of the Sub-groups meeting on how the cross Sub-Group Conclusions/Decisions are to be coordinated and endorsed; and

- 4) As per empowerment principle, APRAST Subgroups or Taskforce/Working Groups are empowered to make Conclusions/Decisions related to regional guidance material for publication in ICAO APAC website. APRAST Co-Chairs to work out a detailed framework for the empowerment of APRAST and its Sub Groups to adopt Conclusions and Decisions mainly on technical/operational matters for the effectiveness of the RASG work plans.

### **3. ACTION BY THE MEETING**

- 3.1 The Meeting is invited to review and approve the RASG-APAC Procedural Handbook, 2<sup>nd</sup> edition as in **Attachment A** to the paper.

-----

**RASG-APAC/10-WP/7  
ATTACHMENT A**

**INTERNATIONAL CIVIL AVIATION ORGANIZATION**



**REGIONAL AVIATION SAFETY GROUP  
ASIA AND PACIFIC REGIONS  
(RASG-APAC)**

**PROCEDURAL HANDBOOK**

**Second Edition – December 2020**

**DRAFT**

**(Yellow Highlighted Texts are the updates in 2<sup>nd</sup> Edition)**

INTENTIONALLY LEFT BLANK



INTENTIONALLY LEFT BLANK

## **RASG-APAC PROCEDURAL HANDBOOK – GENERAL**

### **INTRODUCTION**

#### **FOREWORD**

1.1 The Regional Aviation Safety Group–Asia Pacific (RASG-APAC) Procedural Handbook is a publication prepared by the ICAO Secretariat and adopted by the RASG-APAC. Its purpose is to provide, for easy reference, a consolidation of material, particularly of a procedural nature, about the work of the RASG-APAC. It contains the Terms of Reference (TOR) of the Group, the working arrangements and other internal procedures and practices governing the conduct of business.

1.2 The Handbook is organized in Section headings. A Table of Contents is provided which serves also as a subject index and as a checklist for the current pages.

1.3 Replacement pages and/or updated editions will be issued as necessary. Additional material will be incorporated in the existing Sections or will be the subject of new Sections, as required.

1.4 The Procedural Handbook will be distributed to Members and Observers of the Group, the ICAO Secretariat, and to other States, international organizations and stakeholders participating in Meetings, contributing to, or having interest in the work of the Group and/or its Contributory Bodies.

**1.5** The Generic Terms of Reference (ToR) for PIRG and RASG was approved by the President of the Council and the Secretary General on 16 April 2020 and RASG portion is incorporated in the 2<sup>nd</sup> edition (Appendix F) as a guidance. All those ToRs are inserted in appropriate places of the original (1<sup>st</sup> Edition) Hand Book. In addition, the APAC-AIG shall report to RASG directly instead of APRAST and ToRs are revised accordingly. APRAST is empowered to decide on certain matters with the objectives to adopt certain Decisions and Conclusions which will simplify the processes and shorten the development time for all of APRAST work outputs.

1.6 An electronic copy of the Procedural Handbook will also be available in PDF format, on the ICAO Asia and Pacific Regional Office website: <http://www.icao.int/apac>; under RASG-APAC.

INTENTIONALLY LEFT BLANK

**TABLE OF CONTENTS**

	<b>Page</b>
<b>INTRODUCTION</b>	
Foreword .....	ii
1. GLOSSARY .....	1
2. BACKGROUND .....	2
3. TERMS OF REFERENCE FOR RASG-APAC .....	3
4. RASG-APAC WORKING ARRANGEMENTS .....	10
5. ROLES AND RESPONSIBILITIES .....	13
6. MEETING DOCUMENTATION.....	16
7. RASG-APAC ORGANIZATIONAL STRUCTURE .....	18
8. GLOBAL PLANS .....	18
9. REGIONAL ACTIVITIES.....	19
10. RASG COORDINATION .....	19
11. INTER-REGIONAL COORDINATION .....	20
12. EXPANSION OF TERMS OF REFERENCE .....	20

**Appendices**

- Appendix A — Terms-of-reference for the Asia Pacific Regional Aviation Safety Team (APRAST) Sub-Group
- Appendix B — Terms-of-Reference for the Asia Pacific–Accident Investigation Group (APAC-AIG)
- Appendix C — Terms-of-Reference of the Asia Pacific–Safety Reporting and Programme Working Group (AP-SRP WG)
- Appendix D — Terms-of-Reference for the AP-SRP WG Information Analysis Team (IAT)
- Appendix E — Terms-of-Reference of the Asia Pacific Regional Aviation Safety Team Safety Enhancement Initiative Working Group (APRAST SEI WG)
- Appendix F — Generic Terms-of-Reference of Regional Aviation Safety Groups (RASGs)

**Attachments**

RASG-APAC — Procedural Handbook

---

Attachment 1 — Process for the publication and distribution of the APAC Annual Safety Report

Attachment 2 — Process for the development and distribution of APAC SEIs

INTENTIONALLY LEFT BLANK

**1. GLOSSARY**

<b>AGA</b>	Aerodrome Ground Aids
<b>ANC</b>	Air Navigation Commission of ICAO
<b>ANS</b>	Air Navigation Service
<b>APRAST</b>	Asia Pacific Regional Aviation Safety Team
<b>ASBU</b>	Aviation System Block Upgrades
<b>ATM</b>	Air Traffic Management
<b>ATS</b>	Air Traffic Services
<b>CAST</b>	Commercial Aviation Safety Team of USA
<b>CFIT</b>	Controlled Flight into Terrain
<b>Champions</b>	Any Country or Organization volunteered to developed a Safety Enhancement Initiatives
<b>COSCAP</b>	Co-operative Development of Operational Safety and Continuing Airworthiness Programme
<b>DIP</b>	Detail Implementation Plan of Safety Enhancement Initiatives
<b>EASA</b>	European Aviation Safety Agency
<b>EMA</b>	En-route Monitoring Agency
<b>ESSI</b>	European Strategic Safety Initiative
<b>FAA</b>	Federal Aviation Administration
<b>Facilitator</b>	Someone who engages in the activity of facilitation. Facilitator will help sub-groups understand their common objectives and assists them to plan how to achieve these objectives
<b>FOD</b>	Foreign Object Debris
<b>FSF</b>	Flight Safety Foundation
<b>GANP</b>	Global Air Navigation Plan
<b>GASP</b>	Global Aviation Safety Plan
<b>GASR</b>	Global Aviation Safety Roadmap
<b>GO Team</b>	A group of personnel in different areas (SME) such as runway safety, Safety Management System, State Safety Programme and different CMA Protocol Areas which will support member states/industry/agencies, if requested, to address these issues.
<b>GSI</b>	Global Safety Initiatives
<b>ICAO</b>	International Civil Aviation Organization
<b>ICAO APAC RO</b>	International Civil Aviation Organization, Asia Pacific Regional Office
<b>LHD</b>	Large Height Deviation

<b>LOC-I</b>	Loss of Control in Flight
<b>Model AC</b>	Model Advisory Circular as developed by APRAST
<b>NASP</b>	National Aviation Safety Plan
<b>Performance Based Safety system</b>	A safety system which focuses on desired, measurable safety outcomes
<b>PIRGs</b>	Planning and Implementation Regional Groups
<b>RASG</b>	Regional Aviation Safety Group
<b>RASMAG</b>	Regional Airspace Safety Monitoring Advisory Group
<b>RASP</b>	Regional Aviation Safety Plan
<b>RMA</b>	Regional Monitoring Agency related to RVSM
<b>RSOO</b>	Regional Safety Oversight Organizations
<b>RVSM</b>	Reduced Vertical Separation Minimum
<b>SAR</b>	Search and Rescue
<b>SME</b>	Subject matter expert.
<b>USOAP CMA</b>	Continuous Monitoring Approach of ICAO Universal Safety Oversight Audit Programme

## 2. BACKGROUND

**2.1.** On 6 October 2009, the ICAO Air Navigation Commission reviewed a proposal for the establishment of Regional Aviation Safety Groups (RASGs) and decided that the concept of RASGs be transmitted to States and appropriate international organizations for comments before a recommendation was made to the Council. It was highlighted during the discussions that the proposal for RASGs would not fundamentally change the efforts that are presently underway in several ICAO regions. A State letter dated 16 December 2009 sought comments from States and selected international organizations on the need for uniform establishment of RASGs in all regions, and provided suggested Terms-of-Reference and work programme of the RASGs. The comments by States were very supportive of the establishment of RASGs. Consequently, the ICAO Council at the fourth meeting of its 190<sup>th</sup> Session held on 25 May 2010:

- a) approved the establishment of the following RASGs: RASG-PA for the Caribbean, South American, and North American regions (including Central America); RASG-EUR for the European region; RASG-APAC for the Asia Pacific regions; RASG-AFI for the African region and RASG-MID for the Middle East region, with the aim of supporting a regional performance framework for the management of safety;
- b) agreed to the Terms-of-Reference of the RASGs as detailed in the Appendix to the paper;
- c) agreed that the report of RASG meetings, similar to reports of planning and implementation regional groups (PIRGs), would be reviewed by the ANC on a regular basis and by the Council as deemed necessary;
- d) approved the inclusion of the sentence “coordinate with respective RASG on safety issues” in the Terms-of-Reference of all PIRGs, viz APANPIRG, APIRG, EANPG, GREPECAS, MIDANPIRG and NAT SPG; and

- e) requested the ANC to report to the Council any duplication in the activities of the PIRGs and the RASGs.
- f) The Generic Terms of Reference (ToR) for PIRG and RASG was approved by the President of the Council and the Secretary General on 16 April 2020. The Generic Terms of Reference (ToR) for PIRG and RASG was presented during the Thirtieth Meeting of the Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG/30) and Ninth Regional Aviation Safety Group – Asia Pacific (RASG-APAC/9) Meetings and incorporated the same in the 2<sup>nd</sup> edition under Appendix F as a guidance material and ready reference of any future amendments.

**2.2.** The main purpose of the Regional Aviation Safety Group–Asia Pacific (RASG-APAC) would be to develop an integrated, data-driven strategy and implement a work programme that supports a regional performance framework for the management of safety. This approach is designed to reduce the commercial aviation fatality risk in the APAC Region and promote States and industry safety initiatives in harmony with the ICAO Global Aviation Safety Plan (GASP) and Global Aviation Safety Roadmap (GASR).

**2.3.** Further, the 37<sup>th</sup> Session of the ICAO General Assembly, Montreal 28 September to 8 October 2010 agreed to Assembly Resolution A37-4.

Quote from Assembly Resolution **A37-4: ICAO global planning for safety:**

***Recognized** that safety is a shared responsibility involving ICAO, Contracting States and all other stakeholders;*

***Recognized** that regional aviation safety groups should be implemented by ICAO, taking into account the needs of the various regions and building on the already existing structures and forms of cooperation;*

***Stressed** the need for continuous improvement of aviation safety through a reduction in the number of accidents and related fatalities in air transport operations in all parts of the world, particularly in States where safety records are significantly worse than the worldwide average;*

***Urged** Contracting States, regional safety oversight organizations and international organizations concerned to work with all stakeholders to implement the GASP objectives and GASR methodology objectives and to implement these methodologies to reduce the number and rate of aircraft accidents.*

### **3. TERMS OF REFERENCE FOR RASG-APAC**

#### **3.1. ESTABLISHMENT**

3.1.1. Consistent with the Planning and Implementation Regional Group (PIRG) mechanism, the RASG-APAC was established in the Asia/Pacific region by the Council of ICAO. The meeting(s) of the RASG-APAC will be convened as required/ concurrent with the Conference of Directors General of Civil Aviation, Asia and Pacific Regions.

### 3.2. MEMBERSHIP

3.2.1. Contracting States entitled to participate as members in a RASG–APAC Meeting are:

- a) all ICAO Contracting States, and Territories recognized by ICAO, within the area of accreditation of the ICAO Regional Office(s) concerned shall be members of the regional aviation safety group (RASG) established for that (these) region(s).
- b) those whose territories or dependencies are located partially or wholly within the geographical area of the Asia and Pacific regions;
- c) those located outside the area:
  - 1) which have notified ICAO that aircraft on their register or aircraft operated by an operator whose principal place of business or permanent residence is located in such States, operate or expect to operate into the area; or
  - 2) who provide facilities and services affecting the area.

3.2.2. Contracting States not meeting the above criteria and non-Contracting States are entitled to participate in RASG-APAC meetings as non-member. The aircraft operators, international organizations, maintenance and repair organizations, regional organizations, training organizations, aircraft manufactures, airport and air navigation service providers and any other allied organizations/representatives will be invited to attend RASG-APAC meetings as observer. States and industry will serve as partners in the RASG-APAC and their joint commitment is fundamental for success in improving aviation safety worldwide. The Regional Director, ICAO Asia Pacific Office will serve as the Secretary of the RASG-APAC.

### 3.3. RESOURCES

3.3.1. Implementation and Support Section – Safety (IMP-SAF) in Air Navigation Bureau (ANB) ICAO Headquarters will provide support to the APAC Regional Office in conducting the RASG-APAC meetings and taking follow up actions. The IMP-SAF section will serve as the interface between the RASG-APAC and the Air Navigation Commission (ANC) and present the reports of RASG-APAC meetings to the ANC/Council for review and harmonization.

3.3.2. The Regional Officer, Flight Safety, ICAO APAC Office will be the designated officer (Focal Point) to conduct and coordinate the day to day affairs of the RASG–APAC matter.

### 3.4. WORK PROGRAMME

3.4.1. The RASG–APAC will develop and implement a work programme that supports a regional performance framework for the management of safety on the basis of the Global Aviation Safety Plan (GASP), Global Aviation Safety Roadmap (GASR) and Asia Pacific Regional Aviation Safety Plan (AP-RASP). The reports of RASG–APAC meetings will be reviewed by the ANC on a regular basis and by the Council as deemed necessary.

3.4.2. Using the GASP, GASR and AP-RASP the RASG-APAC will build on the work done by States implementing their National Aviation Safety Plan (NASP) monitored by the sub regional organizations such as the Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) and/or Regional Safety Oversight Organizations (RSOOs) and support the establishment and operation of a performance-based safety system for the region by:

- a) analyzing safety information and hazards to civil aviation at the regional level and reviewing the action plans developed within the region to address identified hazards;
- b) facilitating the sharing of safety information and experiences among all stakeholders;
- c) ensuring that all safety activities at the regional and sub-regional level are properly coordinated to avoid duplication of efforts;
- d) avoiding duplication of efforts by encouraging collaboration, cooperation and resource sharing;
- e) conducting follow-up to GASP/GASR, AP-RASP and NASP implementation activities as required;
- f) coordinating with APANPIRG on safety issues;
- g) providing feedback to ICAO to continually improve and ensure an up-to-date global safety framework; and
- h) regularly reviewing its subordinate structure to align their functions with current developments within the Region.
- i) produce the progress report to be presented at the Ministerial Conferences on their commitments.

3.4.3. RASG-APAC will approve the RASG-APAC Standing Work programme based on the recommendations presented by the APRAST at each RASG meeting. The Standing Work Programme is the comprehensive list of APRAST recommendations that have been approved by RASG-APAC for implementation.

3.4.4. The approved RASG-APAC Year/Standing Working Programmes will remain in force until such time as there is a proposed addition to or deletion from the Standing Work Programme at which time the amended Standing Work Programme will require further approval by the RASG-APAC.

3.4.5. RASG-APAC will separately approve the RASG-APAC Yearly Work programme based on the recommendations presented by the APRAST at each RASG meeting. The Yearly Work Programme is the list of recommendations by APRAST and RASG-APAC selected for implementation in the current year.

3.4.6. The RASG-APAC Yearly Work Programme must be approved at each meeting of the RASG-APAC.

### **3.5. ADMINISTRATION OF THE RASG-APAC**

3.5.1. The RASG-APAC shall be administered as follow:

- a) by a Chairperson elected from the Representatives designated by member States of the RASG-APAC. A Vice-Chairperson shall be elected from the said Representatives;
- b) the Regional Director, ICAO Asia and Pacific Office will officiate as the Secretary to the RASG-APAC. In the execution of his duties the Secretary will be supported by the Asia and Pacific Office; and
- c) the term of office for the Chairperson/Vice-Chairperson will be for three years.

3.5.2. The Chairperson, in close cooperation with the Secretary, shall arrange for the most efficient working of the RASG-APAC. The RASG-APAC shall always work with a minimum of formality and paperwork.

3.5.3. Between meetings of the RASG-APAC or its contributory bodies, some subjects may be dealt with by correspondence among appointed members through the Secretary of the RASG-APAC or of the sub-group concerned. However, if States are to be consulted this should be done through the ICAO Regional Director, Asia and Pacific Office.

### **3.6. MEETING OF THE GROUP**

3.6.1. Based on the advice of the members of the RASG-APAC and of the Secretary, the Chairperson shall decide the date and duration of meetings of the RASG-APAC.

3.6.2. All efforts should be made to hold at least one annual meeting of the RASG-APAC concurrent with the Conference of the Directors General of Asia and Pacific Regions.

3.6.3. If a State offers to host a meeting it shall be responsible for providing a venue, services and all costs of travel and subsistence allowance for Secretariat attendees. The ICAO Regional Office in Bangkok shall normally provide the requisite secretariat services to the Group.

3.6.4. Members may be accompanied by advisers. Total attendance should be kept to a minimum consistent with the topics to be discussed to maintain the desired informality of proceedings.

### **3.7. ESTABLISHMENT OF SUB-GROUPS**

3.7.1. To assist it in its work, the RASG-APAC may create sub-groups, charged with preparatory work on specific problems requiring expert advice for their resolution.

3.7.2. The establishment and the work of sub-groups shall be governed by the procedures outlined below:

- a) participation in sub-groups should be by specialists in the subjects under consideration. Such specialists should be provided by States (whether or not they are designated as members of the RASG-APAC itself), international organizations and/or Asia/Pacific bodies, Organizations and industries having relevant experience in the field concerned; and
- b) Secretaries of sub-groups established by the RASG-APAC will be appointed by the Chairperson of the sub-group, in consultation with the Chairperson of RASG-APAC.

3.7.3. Sub-groups report to the RASG-APAC. Coordination among sub-groups will primarily be ensured by the RASG-APAC when establishing their Terms-of-Reference and work programme or taking action on their reports. In addition, the work of the contributory bodies should be coordinated through their respective Chairperson and Secretaries, assisted, as required, by the ICAO Secretariat, in the Asia and Pacific Office. Terms-of-Reference for the Asia Pacific Regional Aviation Safety Team (APRAST) is at **Appendix A**.

### 3.8. WORKING GROUPS

3.8.1. The RASG-APAC or its sub-groups may appoint Working Groups composed of experts either from within and/or outside the RASG-APAC or the sub-group to perform studies or prepare supporting documentation on defined subjects for consideration by the RASG-APAC or sub-groups as a whole. Other States, international organizations and industries may be invited to provide experts to participate in these Working Groups, as required. A Working Group shall be dissolved when it has either completed its assigned task or it has become apparent that work on the subject in question cannot be usefully continued.

3.8.2. **The Working Groups report to the RASG-APAC directly.** The Terms-of-Reference for the Asia Pacific – Accident Investigation Group (APAC-AIG) are at **Appendix B**.

3.8.3. The Terms-of-Reference of the Asia Pacific Regional Aviation Safety Team Safety Reporting and Programme Working Group (AP–SRP WG) are at **Appendix C**.

3.8.3.1. The process for the publication and distribution of the APAC Annual Safety Report is at **Attachment 1**.

3.8.4. The Terms-of-Reference of the SRP WG Information Analysis Team (IAT) are at **Appendix D**.

3.8.5. The Terms-of-Reference of the Asia Pacific Regional Aviation Safety Team Safety Enhancement Initiative Working Group (SEI WG) are at **Appendix E**.

3.8.5.1. The process for the development and distribution of APAC SEIs are at **Attachment 2**.

3.8.6. **The Generic Terms-of-Reference of Regional Aviation Safety Groups (RASGs) are at Appendix F.**

3.8.7. The RASG-APAC and its subsidiary bodies will use a data driven approach as the means to determine its work programme. Safety issues will be identified through a risk analysis process and reported to the RASG-APAC on an annual basis. In turn, the RASG-APAC will determine the priorities for its work programme based upon the identified safety risks.

### 3.9. ROLE OF DESIGNATED MEMBERS

3.9.1. Designated members of the RASG-APAC shall assume the duties and responsibilities of ensuring the normal conduct of business of the RASG-APAC. Members should attend regularly all the meetings of the RASG-APAC and maintain the continuity of the RASG-APAC's work in the interval between meetings. This may take the form of assignment of specific tasks to selected individual members and/or participation in Working Groups as referred to in paragraph 8.

### 3.10. COORDINATION AND REPORTING

3.10.1. **The RASG reports outcomes to the ICAO Council through the Air Navigation Commission (ANC) as facilitated by the ICAO Secretariat.**

3.10.2. Routine relations between the RASG-APAC or its contributory bodies and other ICAO groups and meetings concerning the Asia and Pacific Regions shall be conducted through the respective Secretaries and/or the ICAO Regional Director of the Asia and Pacific Office.

3.10.3. Relations with representatives of designated members of the RASG-APAC and representatives of International Organizations regularly attending the meetings of the RASG-APAC shall be conducted through the Secretary of the RASG-APAC. Other ICAO Regional Offices shall be kept informed of correspondence whenever it may have an impact on their work.

3.10.4. Relations with States and International Organizations whether represented in the RASG-APAC, and relations with Asia or Pacific bodies and Organizations will normally be conducted through the ICAO Regional Director, Asia and Pacific Office.

3.10.5. Relations with the experts provided by members of RASG-APAC sub-groups shall be conducted by the Secretary of the sub-group concerned.

3.10.6. RASG meeting reports should reflect the structure of the GASP (organizational challenges, operational safety risks, infrastructure and safety performance measurement) and RASG deliverables should map the expected GASP goals and targets.

3.10.7. RASG meeting reports should be provided in a standardized format to the governing bodies of ICAO to identify regional and emerging challenges, and shall include as a minimum:

- a brief history of the meeting (duration and agenda);
- a list of meeting participants, affiliation and number of attendees;
- a list of conclusions and decisions with a description of their rationale (what, when, why and how);
- a list of safety enhancement initiatives (SEIs) linked to the associated GASP targets and indicators, and the appropriate mechanism used to measure their effectiveness;
- common implementation challenges identified amongst RASG members and possible solutions, assistance required and estimated timelines to resolve, if applicable, by sub-region;
- identification of and recommendations on particular actions or enhancements that would require consideration by the ANC and Council to address particular challenges;
- a list of issues cross-referenced to actions to be taken by ICAO Headquarters and/or Regional Offices;
- based on the GASP, and associated SPIs and tools, report to the extent possible on the status of implementation of safety goals, targets and indicators, including the priorities set by the region in their regional safety plans exploring the use of regional dashboards to facilitate monitoring regional progress being made;
- a list of items for coordination with the PIRG and a concise summary of the outcome of related discussions;
- feedback on implementation issues and actionable recommendations to the ICAO Council to continually improve future editions of the GASP that identify regional safety objectives and priorities to ensure proper focus on emerging safety concerns; and
- the work programme and future actions to be taken by the RASG.

3.10.8 A technical officer from Headquarters (Air Navigation Bureau) will participate and provide support to the meeting and subsequently arrange for the presentation of reports, in coordination with the Regional Office(s) and chairpersons of the RASG, to the ANC and Council for review and harmonization.

3.10.9 The final RASG report will be approved at the end of the meeting. Where the report requires translation, it will be made available within fifteen working days of the meeting closure.

3.10.10 Headquarters will provide feedback to the RASGs highlighting the actions taken by the ANC and Council related to their previous meeting outcomes.

3.10.11 When a RASG does not meet during the annual reporting cycle of the consolidated report on PIRGs and RASGs to the Council, the Secretary of the regional group must, nevertheless, report implementation progress, as well as difficulties experienced, for inclusion in the report.

### **3.11. MONITORING STATUS OF IMPLEMENTATION OF SAFETY INITIATIVES**

3.11.1. States and Service Providers/Industry should take full responsibility to implement safety initiatives developed by RASG-APAC and its subsidiary bodies within their respective purview, as practicable as possible.

3.11.2. States and Service Providers/Industry should provide updates to the status of the implementation of the safety initiatives to the Secretariat upon request. The updates can be provided through electronic means.

3.11.3. The Secretariat would present the updates on the status of implementation of the safety initiatives to RASG-APAC and APRAST periodically.

3.11.4. The States are responsible for forwarding periodic status reports to ICAO APAC Office in respect of all implementation activities.

3.11.5. ICAO APAC Office is responsible for compiling and presenting all Status reports to APRAST for deliberation.

### **3.12. (RASG-APAC) / ASIA PACIFIC AVIATION SAFETY TEAM (APRAST) / WORKING GROUP COMMUNICATION PROTOCOL**

3.12.1. The APRAST may establish working groups APAC to support the continuing and coherent development and implementation of the RASG-APAC Work Programmes in accordance with the objectives of GASP and AP-RASP. The working groups shall:

- a) Review and identify deficiencies and develop mitigating action plans for review by APRAST membership for comments and final consideration by RASG-APAC for implementation;
- b) Consider all comments by the APRAST on recommendations unless editorial in nature before forwarding to RASG-APAC through APRAST for consideration;

3.12.2. The working groups are considered specialist's groups and any major revision of a working group report or outright rejection of conclusions or major recommendations from working groups to the APRAST plenary should have a referral process (in or out of session) before adoption by the APRAST for on-forwarding to RASG-APAC.

3.12.3. Any disagreement between the working group and APRAST shall be forwarded to RASG-APAC for a decision.

3.12.4. In rare situations where adoption by APRAST may result in delays which may not be in the interest of aviation safety or the timely completion of work undertaken by the sub-groups, the working groups may request the RASG-APAC through the APRAST Co-chairs for a quick decision.

## **4. RASG-APAC WORKING ARRANGEMENTS**

### **4.1. STRUCTURE**

4.1.1 RASGs have the obligation to apply the most effective and efficient organizational structure and meeting modalities that best suit the characteristics of each region's implementation work programme while maintaining to the extent possible, alignment with these Terms of Reference, the regional work programme and the Global Aviation Safety Plan (GASP).

4.1.2 The ICAO Regional Director(s) will serve as the Secretary of the RASG. Wherever two Regional Directors are involved, they will periodically rotate between serving as Secretary of the RASG and planning and implementation regional group (PIRG) to balance the Secretariat responsibilities between these two regional groups. The Secretary of the RASG, in coordination with the Secretary of the PIRG, will establish the date, methodology and the procedure to be applied for the rotation.

4.1.3 The organization of the RASG should address global and region-specific safety-related matters, and meetings should be closely coordinated between the RASG and PIRG chairpersons and the Secretariat. RASG and PIRG meetings should be held back-to-back or combined to facilitate coordination and to ensure the efficient use of resources.

4.1.4 The RASGs shall be administered by a chairperson and one or two vice-chairpersons elected from the State-nominated delegates present. The RASGs will establish the cycle of elections. Exceptionally, at the discretion of each RASG, vice-chairpersons or a co-chairperson may be elected from the international and regional organizations, and/or industry present.

4.1.5 The RASG will build on the work already done by States, ICAO Regional Offices and existing regional and sub-regional organizations (such as the cooperative development of operational safety and continuing airworthiness programmes, regional safety oversight organizations (RSOOs), regional accident and incident investigation organizations (RAIOs) and industry) to support the establishment and operation of safety management processes for the region(s).

4.1.6 RASGs contributory bodies may be created by the RASG to discharge the RASG work programme by working on defined subjects requiring detailed technical expertise. A contributory body shall only be formed when it has been clearly established that it is able to make a substantial contribution to the required work. A contributory body will be dissolved by the RASG when it has completed its assigned tasks or if the tasks cannot be usefully continued.

4.1.7 Invitations to RASG meetings must be issued at least three months in advance of the meeting to assist States to plan participation.

4.1.8 The Secretariat will review and update the RASG Handbook periodically, and as required, to ensure a result-oriented approach.

4.1.9 Where the meeting is held in more than one ICAO working language, interpretation services shall be made available to facilitate participation in the deliberations and adoption of the report by all participants.

4.1.10 States, international organizations and industry are invited to submit working papers, research works, etc. in order to enhance the work of the RASG and its contributory bodies. To ensure proper time for consideration and good decision-making, the Secretary should ensure that all working papers are available at least fourteen days prior to the start of the meeting for consideration.

## **4.2. PARTICIPATION**

4.2.1. In addition to States, the importance of a collaborative and proactive role by airspace users, international and regional organizations, and industry should be recognized due to their involvement in the rapid pace of technological development, expertise and other opportunities for sharing of resources.

4.2.2. RASG meetings are open to all members. Each State/Territory member should be represented by a senior-level delegate nominated by the State/Territory, preferably from the civil aviation authority (CAA) in order to support related policy-making within the State. A delegate may be supported by an alternate delegate and/or advisers with the requisite technical knowledge in the subject matters under consideration.

4.2.3. The CAAs should be supported by representatives from service providers and industry.

4.2.4. States located outside the area of accreditation of the ICAO Regional Offices concerned can be invited on a case-by-case basis and in accordance with the *Regional Office Manual* to attend as observers.

4.2.5. International organizations recognized by the ICAO Council to participate in ICAO meetings should participate, as observers, in the RASG meetings, and be encouraged to do so. Other stakeholders may be invited as observers, when required, to contribute to the work of the RASG.

4.2.6. The participation of industry stakeholders should take into account relevant capabilities such as an involvement in the rapid pace of technological development, specific knowledge and expertise, and other opportunities including sharing of resources.

4.2.7. Civil aviation commissions/conferences in particular the Arab Civil Aviation Organization, African Civil Aviation Commission, European Civil Aviation Conference and Latin American Civil Aviation Commission, may be invited to participate in the work of the RASGs.

4.2.8. The members and observers will serve as partners in RASGs, and their joint commitment is fundamental for success in improving safety worldwide.

4.2.9. RASG meetings should be live-streamed, to the extent possible, to enable additional State participants to follow the proceedings.

4.2.10.

### **4.3. RELATIONS WITH STATES**

4.3.1. States located geographically in the APAC Region and States having aircraft on their register, which operate in the APAC Region, shall be kept fully informed of activities of the RASG-APAC. To achieve this objective, States should receive, on a regular basis:

- a) The proposed agenda for meetings of the Group;
- b) the reports on meetings of the Group as appropriate; and
- c) the summaries or reports on meetings of its contributory bodies.

4.3.2. States should ensure necessary co-ordination and follow-up of the Group's activities within their Administrations.

4.3.3. The Group may obtain information from APAC States on specific questions and offer them advice in the form of specific proposals for action.

### **4.4 RELATIONS WITH OTHER BODIES AND ORGANIZATIONS**

4.4.1 The Group shall keep itself informed of the activities of other aviation bodies and organizations to the extent that such activities are likely to be of interest to the Group.

4.4.2 When necessary, the Group shall provide information and advice to such bodies and organizations, if this is required, in order to:

- a) avoid duplication of studies and/or effort; and
- b) engage their assistance in matters which, while having a bearing on aviation safety, are outside the competence of ICAO and/or the Terms-of-Reference of the RASG-APAC.

### **4.5 CONVENING AND CONDUCT OF MEETINGS OF RASG-APAC**

4.5.1 At each of its meetings, RASG-APAC should agree on the date, duration and venue of its next Meeting.

4.5.2 A convening letter for a meeting shall be issued by the Secretary of RASG-APAC, normally 60 days prior to the meeting. The convening letter should include the draft agenda, together with explanatory notes prepared by the Secretary in order to assist participants in preparing for the meeting.

4.5.3 The Secretary, in consultation with the Chairperson of RASG-APAC shall establish a draft agenda on the basis of the work programme adopted and the documentation available. At the opening of the meeting, any State, international/regional organization or a stakeholder may propose the inclusion of additional items on the agenda, and this shall be accepted if the majority of States attending the meeting so agree.

4.5.4 The meetings of the RASG-APAC shall be conducted by the Chairperson or, in his absence, by the Vice-Chairperson of the Group.

4.5.5 At the first sitting of each meeting, following the opening by the Chairperson, the Secretary shall inform participants of the arrangements made for the conduct of the meeting, its organization and of the documentation available for consideration of the different items on the agenda.

4.5.6 The Group shall at each of its meetings review outstanding Conclusions/Decisions and Action Plan in order to keep them current and their number at a minimum consistent with the progress achieved in implementation.

4.5.7 RASG-APAC is expected to conduct its business by consensus of all interested parties, as such there is no procedure for handling motions or voting.

4.5.8 The meetings of the RASG-APAC and its subsidiary bodies shall be conducted in the English language.

## **4.6 VENUE**

4.6.1 RASG meetings will be convened in the Regional Offices, to the extent possible, to facilitate proper access by States. Approval to host RASG meetings outside of the Regional Office must be obtained from the President of the Council.

4.6.2 The Secretary General will ensure the allocation of the necessary financial resources to host RASG meetings.

4.6.3 RASG contributory bodies may be convened at a different location, if required, to be determined by the Secretary and Chairpersons of the RASG, and contributory body. Venues shall be chosen with the primary aim of facilitating maximum State attendance.

## **5 ROLES AND RESPONSIBILITIES**

### **5.4 OFFICERS AND SECRETARIAT OF THE RASG-APAC**

5.4.1 In order to ensure the necessary continuity in the work of the Group and unless otherwise determined by special circumstances, the Chairperson and the Vice-Chairperson of the Group should assume their functions at the end of the meeting at which they are elected and serve for three cycles unless otherwise re-elected.

5.4.2 The Secretary of the Group who is the ICAO Regional Director, Bangkok will also serve as Secretary of the Meetings. He will be assisted by Experts from the ICAO Regional Office and ICAO HQ, as required.

5.4.3 The Secretariat will support the Chairperson by providing administrative, coordination and technical support to the RASG-APAC. In particular, the Secretariat will:

- a) coordinate Meeting logistics with meeting host(s);
- b) develop Meeting Agendas;
- c) ensure Meeting Agendas, documentation and summaries are provided to members;
- d) ensure meeting summaries, notices, and related documents are posted in a timely manner on the RASG-APAC section of the ICAO APAC Regional Office website;
- e) track, monitor and facilitate action items and report status to the Group;
- f) ensure alignment of RASG-APAC activities with the GASP/GASR;
- g) maintain communication with the Co-Chairs, and RASG-APAC Members;

- h) update the Master Safety Enhancement Initiative (SEI) Registry when updates are provided by the SEI WG; and
- i) identify required administrative support.

## **5.5 CHAIRPERSON(S)**

5.5.1 The Chairperson will:

- a) call for RASG-APAC Meetings;
- b) chair the RASG-APAC Meetings;
- c) keep focus on high priority items;
- d) ensure agendas meet objectives to improve safety;
- e) provide leadership for ongoing projects and accomplishments;
- f) promote consensus among the group members;
- g) coordinate RASG-APAC activities closely with the Secretariat and follow-up meeting outcomes and actions;
- h) promote RASG-APAC and lobby for contributors; and
- i) Appoint secretaries for the sub-groups.

## **5.6 STATE ROLE**

5.6.1 State CAAs, supported by service providers as necessary, should participate in the work of the RASG and its contributory bodies to:

- a) ensure the continuous and coherent development and implementation of regional safety plans and report back on the key performance indicators (KPIs);
- b) support the regional work programme with participation from the decision-making authority with the technical expertise necessary for the planning and implementation mechanism, thus supporting policy decisions at the State level;
- c) support the implementation of effective safety management and collaborative decision-making processes to mitigate aviation safety risks, thus supporting policy decisions at the State level;
- d) contribute information on safety risk, including State safety programme (SSP) safety performance indicators (SPIs, in accordance with the GASP as part of their safety risk management activities;
- e) ensure coordination, at the national level, between the CAA, service providers and all other concerned stakeholders, and harmonization of the national plans with the regional and global plans;
- f) facilitate the development and establishment of Letters of Agreement and bilateral or multilateral agreements;

- g) ensure the implementation of the GASP goals and targets; and
- h) embrace a performance-based approach for implementation as highlighted in the Global Plans.

## **5.7 INTERNATIONAL ORGANIZATION AND INDUSTRY ROLE**

5.7.1 Industry stakeholders/partners should participate in the work of the RASG and its contributory bodies in order to support the implementation of safety oversight activities, safety management and collaborative decision-making processes, as well as to identify regional requirements, mitigate aviation safety risks, provide technical expertise, as required, and ensure adequate resources.

5.7.2 Their focus should be on identifying regional requirements and ensuring that their available resources are adequately allocated.

## **5.8 MEMBERS**

5.8.1 Representatives of States designated as Members of the Group shall assume the duties and responsibilities of ensuring the normal conduct of business of the Group. Members should attend regularly all the Meetings of the Group and maintain the continuity of the Group's work in the interval between meetings. This may take the form of assignment of specific tasks to selected individual Members.

5.8.2 Representatives of international/regional organizations and industry (partners) should participate actively in the meetings of the Group activity, provide technical expertise and collaborate in RASG-APAC initiatives.

*Note: a) Each RASG- APAC member State should designate a Member, able to support RASG-APAC goals and objectives. If designated representation changes, any proposed replacement must be submitted to the RASG-APAC Secretary.*

5.8.3 RASG-APAC members/partners will:

- a) come to the RASG-APAC meetings prepared, and provide active support by deliberating and identifying issues;
- b) support goals and objectives by maintaining timely and active communication between administration/organization represented and RASG- APAC; and
- c) share safety improvements with RASG-APAC Members.

## **5.9 NON-MEMBER PARTICIPANT AND GUEST OBSERVERS:**

5.9.1 Non-Member Participant: Individual(s) who would be invited at the discretion of the RASG-APAC Secretary, in collaboration with the Chairperson, to participate in RASG-APAC activities and meetings, without voting authority, to enhance the quality and effectiveness of RASG-APAC.

5.9.2 Guest Observer: An individual or group who is invited at the discretion of the RASG-APAC Secretary, in collaboration with the Chairperson, to strictly observe a RASG-APAC Meeting or activity.

## 6 MEETING DOCUMENTATION

### 6.4 SUPPORTING DOCUMENTATION

6.4.1 Documentation for meetings of the RASG-APAC should be prepared by the Secretariat and the States designated as Members of the Group.

6.4.2 Supporting documentation shall be presented in the form of:

- a) *Information Papers*: are papers prepared on an ad hoc basis in the course of a Meeting with the purpose of assisting participants in their discussions on a specific matter or in the development of conclusions for the draft report of the meeting.
- b) *Working Papers*: constitute the main basis of the discussions on the various items on the agenda.
- c) *PowerPoint Presentations*: may be delivered to support the information and working papers and also to provide additional information and knowledge of certain important issue(s).

6.4.3 Information and working papers shall be presented in a standardized format as prescribed by the Secretariat. Each paper should be limited to one agenda item or sub-item and contain, as appropriate, introduction of the matter, brief discussion and conclusions with specific proposals for action.

### 6.5 CONCLUSIONS AND DECISIONS OF THE MEETINGS

6.5.1 Action taken by the Group shall be recorded in the form of:

- a) Conclusions; and
- b) Decisions.

6.5.2 Each Conclusion and Decision formulated by the Group should respond clearly to the following four questions (4-Ws):

<b>Why</b>	Why this Conclusion or Decision is needed (subject)
<b>What</b>	What action is required (State Letter, survey, proposal for amendment, seminar, etc)
<b>Who</b>	Who is the responsible of the required action (ICAO, States, etc)
<b>When</b>	Target date

6.5.3 *Conclusions* deal with matters which, in accordance with the Group's Terms-of-Reference, merit directly the attention of States, or on which further action is required to be initiated by the Secretary in accordance with established procedures.

6.5.4 *Decisions* relate to the internal working arrangements of the Group and its subsidiary bodies.

**6.6 REPORT**

6.6.1 Reports of meetings shall be simple and concise and shall include:

- a) a brief history of the meeting (duration, attendance, agenda and list of Conclusions and Decisions);
- b) a summary of the discussions by the Group on the different items of the agenda including, for each of them, the relevant Conclusions and/or Decisions; and
- c) the Work Programme and future action by the Group.

6.6.2 Reports of meetings should not include formal statements by members or other participants. However, specific divergent views expressed in relation to decisions taken or conclusions reached should be recorded as an integral part of the report.

6.6.3 The meeting reviewed the template for reporting Conclusions/Decisions and agreed with suggested changes. The updated template is shown below:

<b>Conclusion/Decision RASG-APAC X/XX — TITLE</b>	
<b>What</b>	<b>Expected impact:</b> <input type="checkbox"/> <b>Political / Global</b> <input type="checkbox"/> <b>Economic</b> <input type="checkbox"/> <b>Environmental</b> <input type="checkbox"/> <b>Inter -Regional</b> <input type="checkbox"/> <b>OPS / Technical</b>
<b>Why:</b>	
<b>When:</b>	<b>Status:</b>
<b>Who:</b> <input type="checkbox"/> Sub Groups <input type="checkbox"/> APAC States <input type="checkbox"/> ICAO APAC RO <input type="checkbox"/> ICAO HQ <input type="checkbox"/> Other:	

6.6.4 A draft report written in English will be prepared by the Secretariat for approval by the Group before the closing of each meeting.

6.6.5 The Report shall be posted on the ICAO APAC website and also be circulated, to all Member States, to Permanent Observers and concerned stakeholders.

**6.7 RASG-APAC Activities Monitoring Tools**

6.7.1 An Online Monitoring Tool is introduced linked to the ICAO-APAC Website to monitor the progress of different Work Programs such as Status of SEI Implementation, Status of NASP Implementation, Mapping of GASP and RASP with NASP and so on. The Implementation tool will be

further developed according to the needs of APRAST and RASG activities. A Guideline for the SEI Monitoring Tool is placed at **Attachment-3**.

6.7.2 **RASG-APAC Decisions Status Documents**

6.7.2.1 The Secretariat will update and maintain a spreadsheet indicating the status of all RASG-APAC Decisions.

6.7.3 **RASG-APAC Yearly/Standing Work Programme**

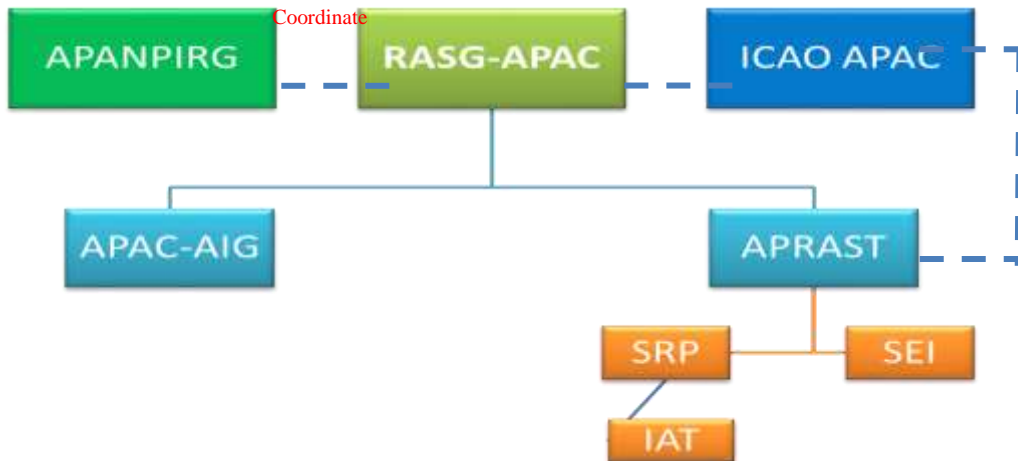
6.7.3.1 Status of each of the activities in the RASG-APAC Yearly/Standing Work Programmes will be provided by Champions, Facilitators and Working Group to the Secretariat for the purpose of maintaining the progress status. The Secretariat will maintain a spreadsheet providing the status of the RASG-APAC Yearly/Standing Work Programmes.

6.7.4 **A Master Safety Enhancement Initiative (SEI) Registry**

6.7.4.1 A Master Safety Enhancement Initiative (SEI) Registry is maintained by the Secretariat for the purpose of monitoring of the status of SEIs. The Master SEI Registry records the DIP and details of SEIs to facilitate effective follow up of SEIs by different parties. SEI Champions should report progress made to working group facilitators who should subsequently provide the latest status of SEIs to the Secretariat for consolidation, update and reporting to RASG-APAC and APRAST. The SEI Process is explained in **Attachment-2**.

**7 RASG-APAC ORGANIZATIONAL STRUCTURE**

7.1.1 The following chart shows the organizational structure of RASG-APAC and its subsidiary bodies, and their coordination with APANPIRG and ICAO APAC Office.



## **8 GLOBAL PLANS**

8.1 In regard to Global Plans, the RASG shall:

- a) support implementation by States of the *Global Aviation Safety Plan* (GASP, Doc 10004) taking into account aspects of the *Global Air Navigation Plan* (GANP, Doc 9750) and Global Aviation Security Plan (GASeP) by ensuring effective coordination and cooperation between all States and stakeholders;
- b) monitor and report the progress on the implementation by States of the GASP and the regional objectives and priorities;
- c) provide feedback on the GASP implementation and propose amendments to the Global Plans as necessary to keep pace with the latest developments and ensure harmonization with regional and national plans;
- d) in line with the GASP and regional priorities, identify specific aviation safety risks and propose mitigating actions using the mechanisms defined by Annex 19 — *Safety Management* and the *Safety Management Manual* (Doc 9859), with timelines to resolve deficiencies; and
- e) verify the provision of services in accordance with global and regional requirements.

## **9 REGIONAL ACTIVITIES**

9.1.1 In regard to regional activities, the RASG shall:

- a) serve as a regional cooperative forum that determines regional priorities, develops and maintains the regional aviation safety plan and associated work programme based on the GASP and relevant ICAO Provisions, integrating global, regional, sub-regional, national and industry efforts in continuing to enhance aviation safety worldwide;
- b) facilitate the development and implementation of safety risk mitigation action plans by States, taking into consideration States' level of effective implementation of the critical elements of safety oversight systems and progress being made to improve the level;
- c) monitor and report, using a data driven approach, the region's main aviation safety risks, and determine regional priorities and associated work programme based on the GASP;
- d) analyze safety information and hazards to civil aviation at the regional level and review the action plans developed within the region to address identified hazards;
- e) identify and report on regional and emerging safety challenges experienced that affect implementation of ICAO global provisions by States and measures undertaken or recommended to effectively address them; and
- f) facilitate the development and implementation of regional and national aviation safety plans by States.

## 10. RASG COORDINATION

10.1.1 In regard to coordination, the RASG shall:

- a) coordinate safety issues with the respective PIRG;
- b) foster cooperation, information exchange, sharing of experiences and best practices among States and stakeholders;
- c) provide a platform for regional coordination and cooperation amongst States and stakeholders for the continuous improvement of safety in the region with due consideration to harmonization of developments and deployments, and intra- and interregional coordination;
- d) ensure that all safety activities at the regional and sub-regional level are properly coordinated amongst role players to avoid duplication of efforts;
- e) identify security, environmental and economic issues that may affect aviation safety, and inform ICAO Secretariat accordingly for action;
- f) identify practical examples and tools to support effective safety management implementation; and
- g) through the RASG Secretary, inform the Directors General of Civil Aviation and related civil aviation commission/conferences of RASG meeting results.

## 10.2 APANPIRG/RASG-APAC COORDINATION MECHANISMS AND FRAMEWORK

10.2.1 In the special case of APANPIRG coordination with the APAC Regional Aviation Safety Group (RASG-APAC), the following principles will apply:

- a) APANPIRG and RASG-APAC should coordinate and provide mutual support with respect to meeting the targets related to the regional priorities and implementation plans endorsed by each group;
- b) APANPIRG and RASG-APAC work programmes should be coordinated specifically to avoid both the duplication of effort and the presence of gaps, as well as to ensure alignment and harmonization of the two groups' priorities, plans and activities;
- c) APANPIRG and RASG-APAC coordination activities should be reported to both the respective plenary meetings as well as to key contributory bodies of the groups, if necessary
- d) APANPIRG and RASG-APAC Coordination Meetings should be conducted annually by the Chairs with supplementary tele- or web- meetings, if necessary;
- e) APANPIRG and RASG-APAC should be mutually responsible for assigning the 'lead' group to work on each of the coordinated activities of the groups and for ensuring that the lead group effectively coordinates with, shares information and cross-reports to the other group, taking special care to identify and highlight any implications of the work on the activities of the other group. The Chairs should

ensure the smooth transition of the assigned ‘lead’ group for a coordinated work activity whenever a change is necessary; and

- f) Details of the coordinated work activities assigned to each group as the ‘lead’ should be reviewed and recorded at the APANPIRG and RASG-APAC Coordination Meetings and reported to the respective plenary meetings of the groups.

## 11. **INTERREGIONAL COORDINATION**

11.1.1 The RASG shall:

- a) ensure interregional coordination through formal and informal mechanisms, including the participation in meetings established for the purpose of coordinating RASG and PIRG activities, the GASP and regional aviation safety plans; and
- b) identify stakeholders that could be impacted by RASG SEIs within and outside the region, and develop an effective communication and coordination strategy with stakeholders.

11.1.2 ICAO Headquarters shall arrange a global coordination meeting between all RASG and PIRG chairpersons and secretaries on a biennial basis.

## 12. **EXPANSION OF TERMS OF REFERENCE**

12.1 The Terms of Reference above serve as a global basis for RASG operations and may be further expanded by each RASG, as required, to maintain the flexibility and efficiency of their work. Additional terms of reference adopted by a RASG must be approved by the President of the Council and be included in the relevant RASG Handbooks as a RASG specific supplement.

-----

**TERMS-OF-REFERENCE FOR  
ASIA PACIFIC REGIONAL AVIATION SAFETY TEAM**  
*(Approved at the RASG-APAC/4)*

## 1.0 Background

1.1 These terms-of-reference outline the concept of operations and modalities for the Asia Pacific Regional Aviation Safety Team [APRAST (Sub-Group)] under the Regional Aviation Safety Group – Asia Pacific (RASG-APAC).

1.2 The ICAO Global Aviation Safety Plan (GASP), which was endorsed by the 33rd Session of the ICAO Assembly in 2001, stressed the need for a reduction in the rate of fatal accidents in air transport operations. The GASP endorses the concept of concentrating the safety-related activities of ICAO on those safety initiatives - planned or currently underway - which offer the best safety dividends in terms of reducing the accident rate. Additionally, the GASP encourages States to foster regional and sub-regional safety groups for the purpose of furthering the global safety effort.

1.3 Two major safety initiatives have been established which are in keeping with the broad objectives of the GASP. The United States, as part of the Federal Aviation Administration's (FAA) Safer Skies agenda, established the Commercial Aviation Safety Team (CAST) in June 1998. Similarly, in 1998 the States represented by the Joint Aviation Authorities (JAA) formed the Joint Strategic Safety Initiative (JSSI). Both initiatives draw upon a broad base of experts from government agencies, airlines, manufacturers, aviation associations, labour unions, and other safety-related organizations. The focus of their efforts resulted from a rigorous analysis of accidents, which occurred over the most recent ten-year period for which significant data was available. Major causes of accidents were identified and categorized, and priorities were assigned to, for the purpose of pursuing remedial actions. Top accident categories being examined by these groups are:

- controlled flight into terrain;
- approach and landing accidents;
- loss of Control;
- uncontained engine failures;
- runway incursions; and
- weather.

The JSSI and the CAST work in close co-operation to analyze significant worldwide accidents/incidents, develop recommendations for improvement actions, and monitor implementation completion. In addition, some members from each group actively participate in the other group on a regular basis. Subsequently the European Aviation Safety Agency (EASA) replaced the JAA and it has established the ESSI to continue the work commenced by the JAA/JSSI.

1.4 The ICAO Global Aviation Safety Plan (GASP) was extensively revised in 2007 and subsequently endorsed by States at the 36<sup>th</sup> Session of the Assembly (Resolution 36-7). It provides a common frame of reference for all stakeholders in order to allow a more proactive approach to aviation safety and to help coordinate and guide safety policies and initiatives worldwide to reduce the accident risk for civil aviation. The GASP is to be used in conjunction with the Global Aviation Safety Roadmap (GASR) developed by aviation industry for ICAO and at its request.

1.5 The objective of the Global Aviation Safety Plan provides a common frame of reference for all stakeholders that support a proactive and systematic approach to aviation safety, and helps coordinate and guide the establishment of safety policies and initiatives worldwide. It will help prioritizing and planning safety initiatives and measuring their impact.

1.6 The GASP is based on the following four principles:

- **Participation of all stakeholders:** to ensure consistency of objectives and to avoid duplication of effort;
- **Defining (twelve) Global Safety Initiatives:** setting best practices, metrics and maturity levels which are defined in the Global Aviation Safety Roadmap to ensure that implementation makes full use of the collective experience of the aviation community and that progress is measured in a transparent and consistent way;
- **Planning process:** for collaborative development of action plans that define the specific activities that should take place in order to improve safety;
- **Consistency with the ICAO Global Planning Process:** GASP follows an approach and philosophy which is consistent with the *Global Air Navigation Plan for CNS/ATM Systems* (Doc 9750). Both were developed with close coordination and participation of industry, and both provide a common framework to ensure that regional, sub-regional, national and individual initiatives are coordinated to deliver a harmonized, safe and efficient international civil aviation system.

## 2.0 Objective

2.1 The objective of the APRAST is to recommend interventions to the RASG-APAC which will reduce aviation risks. The recommendations, once approved by the RASG-APAC, may be implemented through the harmonized efforts of the regulatory authorities, in coordination with service providers, airlines and aircraft manufacturers. When such actions are endorsed by the RASG-APAC, the Team Members will serve as focal points for introducing the interventions within their respective States and for coordinating their government's efforts with industry.

2.2 To accomplish the objectives, the APRAST will:

2.2.1 Review, for application within the Asia and Pacific regions, existing safety interventions which have already been developed through the efforts of well-established, multinational safety initiatives;

2.2.2 Review, for application within the Asia and Pacific regions, the best practices and metrics defined in the GASP/GASR, and

2.2.3 Review regional accidents, significant incident trends and other areas of local concern to determine unique issues which may warrant locally-developed interventions. The focus and priority for APRAST will be to introduce, support, and develop actions, which have the potential to effectively and economically reduce the regional aviation risk.

### 3.0 APRAST Modalities

3.1 The Regional Officer, Flight Safety, ICAO Asia Pacific Office will serve as the Secretary. Membership of the APRAST includes the regulatory authority (flight operations, airworthiness and ATM representatives), air operators, service providers, manufactures and industry organizations. Others may be invited to participate as appropriate to the subjects under consideration. Co-chairs will be elected from the nominated members. One Co-chair will be elected from a Contracting State and the other Co-chair will be elected from industry. The term of office will be for two years.

3.2 The APRAST will accomplish the following:

- review safety interventions which have already been developed by existing safety groups such as ICAO, CAST and ESSI and advise the RASG-APAC which of these are appropriate for implementation within the Asia and Pacific regions;
- review the global safety initiatives as defined in the GASP; and the focus areas, best practices, metrics and maturity levels defined in the GASR; and advise the RASG-APAC which of these are appropriate for implementation in the Asia and Pacific regions;
- identify areas of concern to flight safety that may be unique to the region or require emphasis within the region, and develop data and interventions to address those concerns;
- support implementation of data driven action plans developed using risk analysis by performance-based safety systems; and
- work closely with service providers, airlines, manufacturers, industry and labor associations, and other appropriate organizations to ensure that interventions are implemented through a coordinated effort.

3.3 The APRAST Co-chairs will facilitate the sharing of safety information and experiences among all stakeholders in the region and will develop methods that minimize duplication of safety activities at the regional and sub-regional level.

3.4 The APRAST Co-chairs will maintain close contact with ICAO to benefit from its advice on the subject and to this effect they will provide regular feedback to ICAO on the activities of APRAST through the RASG-APAC and on the emerging intervention proposals. In addition, they will liaise as required with other regional safety teams to benefit from their efforts.

3.5 The APRAST Co-chairs/Secretary will conduct follow-up activities as required.

3.6 APRAST will make recommendations to the RASG-APAC for their review and approval.

3.7 The RASG-APAC will monitor activities of APRAST and promote the implementation of those interventions that are deemed appropriate for the Asia and Pacific regions.

3.8 The APRAST will include representatives of appropriate regulatory agencies, industry organizations and other organizations. The on-going work/coordination may be accomplished through electronic communications and regular teleconferences. The team will normally meet twice each year. Additional meetings may be organized when needed to address pressing safety issues.

**4.0****APRAST Empowerment**

4.1 The objective of empowering APRAST and its Subgroups to adopt certain Decisions and Conclusions is to simplify the processes and shorten development time for all of APRAST work outputs. The outcomes of the review conducted by APRAST are summarised as follows:

- 1) APRAST Subgroups should adopt Conclusions/Decisions related to:
  - a) any amendment to TORs, including an extension of time of Working Group/Taskforce formed under the relevant Subgroup; and
  - b) all technical and operational aspects of Subgroup's work within its TORs.
- 2) APRAST Subgroups should formulate Draft Conclusions/ Draft Decisions and submit to RASG-APAC for adoption:
  - a) any amendment to TORs, including an extension of time of Working Group/Taskforce formed under TORs approved by RASG-APAC;
  - b) slow progress by States in implementation aspects.
- 3) ICAO Secretariat would indicate clearly in the report of the Sub-groups meeting on how the cross Sub-Group Conclusions/Decisions are to be coordinated and endorsed; and
- 4) As per empowerment principle, APRAST Subgroups or Taskforce/Working Groups are empowered to make Conclusions/Decisions related to regional guidance material for publication in ICAO APAC website. APRAST Co-Chairs to work out a detailed framework for the empowerment of APRAST and its Sub Groups to adopt Conclusions and Decisions mainly on technical/operational matters for the effectiveness of the RASG work plans.

-----

**TERMS-OF-REFERENCE**  
**ASIA PACIFIC ACCIDENT INVESTIGATION GROUP**  
**(APAC-AIG)**

**UNDER**

**REGIONAL AVIATION SAFETY GROUP - ASIA PACIFIC (RASG-APAC)**

*(Approved by Decision RASG-APAC 8/8)*

## **1.0 Background**

1.1 These terms-of-reference outline the concept of operations and modalities for the Asia Pacific – Accident Investigation Group (APAC-AIG) as a sub-group under the Regional Aviation Safety Group – Asia Pacific (RASG-APAC).

1.2 Accident/incident investigation is one of the elements of the State Safety Programme (SSP) which is an integrated set of regulations and activities of a State aimed at improving safety. Safety investigation of accidents and incidents is in support of the management of safety in the State’s operation of the SSP and is based on the following principles:

- **Objective of investigation:** The sole objective of investigation is the prevention of accidents and incidents. Investigation is not for the purpose of apportioning blame or liability.
- **Independence of investigation:** The State has established an independent accident and incident investigation process and maintains the independence of the accident and incident investigation authority from other State aviation organizations.
- **Systemic approach:** Accidents and incidents reflect deficiencies in the system as a whole, rather than being due solely to the actions of individuals. Investigations need also to consider broader issues such as organizational and human factors.

## **2.0 Objective**

2.1 The objectives of the APAC-AIG are to:

- Promote the establishment of independent accident/incident investigation authorities in the ICAO States/Administrations of the Asia Pacific region
- Assist States/Administrations to achieve best practice in accident/incident investigation based on a systemic approach to aviation safety;
- Promote the sharing of expertise, experience and information among the accident/incident investigation authorities; and
- Develop and strengthen cooperation among the accident/incident investigation authorities.

2.2 To accomplish the objectives, the APAC-AIG will support the ICAO APAC Office in its efforts to:

- Encourage and assist States/Administrations to establish an independent accident/incident investigation authority as required by paragraph 3.2 of Annex 13 to the Convention on International Civil Aviation;
- Enhance the capabilities and professionalism of the accident/incident investigation authorities;
- Raise the Asia Pacific region's average Effective Implementation rate (EI) in the area of accident/incident investigation;

Enhance the investigation capabilities of the Asia Pacific region by developing training opportunities for investigators in the region.

### 3.0 APAC-AIG Modalities

**3.1** *The Regional Officer, Flight Safety, ICAO APAC Office will serve as the Secretary. Membership of the APAC-AIG will come from accident investigating organizations in the Asia and Pacific Regions. Others may be invited to participate as appropriate. A Chairperson and Vice Chairperson will be elected from the nominated members from the participating States/Administrations' accident investigation organizations.*

3.2 The APAC-AIG will accomplish the following:

- Develop and promote a regional accident/incident investigation cooperative framework in the form of the *Asia Pacific Code of Conduct on Cooperation Relating to Civil Aviation Accident/ Incident Investigation*;
- Develop and maintain a *Database of APAC Accident Investigation Authorities* in order to strengthen coordination between States/Administrations in accident/incident investigation;
- Conduct surveys of accident investigation training needs in the Asia Pacific region and identify States/Administrations and international organizations able to provide that training as required;
- Disseminate accident/incident investigation related communications from ICAO and other regions to States/Administrations in the Asia Pacific region; and
- Support the ICAO APAC Office in its technical assistance to States/Administrations in the area of accident/incident investigation.

3.3 The Chairperson/Secretary will maintain close contact with ICAO to benefit from its advice on the subject and to this effect they/he will provide regular feedback to ICAO on the activities of the APAC-AIG through the RASG-APAC. In addition, they/he will liaise as required with other regional safety teams to benefit from their efforts.

3.4 The APAC-AIG will normally meet once a year. The on-going work/coordination may be accomplished through electronic communications.

3.5 The APAC-AIG may make recommendations for RASG-APAC's consideration.

3.6 The RASG-APAC will monitor activities of the APAC-AIG and promote the implementation of those policies and procedures that are deemed appropriate for the Asia and Pacific Regions.

-----

**REVISED TERMS-OF-REFERENCE  
ASIA PACIFIC – SAFETY REPORTING AND PROGRAMME WORKING GROUP  
(AP-SRP WG)**

*(Approved at RASG-APAC/4)*

**A) Purposes of the AP-SRP WG:**

- Gather safety information from different available sources to determine the main aviation safety risks in the Asia and Pacific Regions, and provide it to the IAT for analysis;
- Develop and organize an Annual Safety Report in three main Sections, one for each safety information category based on analysis provided by IAT:
  - a) Reactive Information;
  - b) Proactive Information; and
  - c) Predictive Information.
- Based on the risk areas identified in the annual report, make recommendations to the RASG-APAC, through the APRAST, for safety enhancement initiatives; and

**B) Membership:**

- RASG-APAC Members and Partners which include States and Industry.

**C) Roles and Responsibilities:**

- ICAO HQ – Support;
- ICAO APAC Regional Office – Support; and
- Working group Partners – Provide technical expertise and collaborate in the development of materials as requested by APRAST.

-----

**TERMS OF REFERENCE (ToRs) OF THE  
ASIA PACIFIC – SRP WG INFORMATION ANALYSIS TEAM (IAT)**  
*(Approved at RASG-APAC/4)*

**A) Purposes of the Asia-Pacific – Information Analysis Team:**

- 1) The IAT will utilize appropriate available data sources to identify and analyse safety information, particularly predictive data relevant to the Asia Pacific Region.
- 2) The IAT will provide results of data analysis to APRAST through the SRP WG to support the development of future Safety Enhancement Initiatives (SEIs) and future Annual Safety Reports.

**B) Membership**

- 1) The IAT will consist of subject matter experts from RASG-APAC member States/Administrations and Industry Partners.
- 2) At a minimum, members will be drawn from stakeholders representing ICAO APAC Regional Office, Member States/Administrations, Industry, and pilot and air traffic control organizations.

**C) Roles and Responsibilities:**

- 1) Roles and responsibilities of the IAT include, but are not limited to:
  - a. Determine appropriate data to be used.
  - b. Develop, implement, and monitor metrics.
  - c. Prepare status reports for stakeholders.
- 2) The IAT will be led jointly by representatives from Member States/Administrations, Industry, and International Organizations.

**D) Data Protection:**

- 1) All safety data utilized by the IAT or safety analysis and information developed by the IAT will be protected from public disclosure.
- 2) All data contributors will execute and be bound by the provisions of the Memorandum of Understanding between that data contributor and RASG-APA
- 3) Any outputs from the IAT will be in a de-identified format.

-----

**PROPOSED TERMS-OF-REFERENCE FOR THE  
SAFETY ENHANCEMENT INITIATIVES WORKING GROUP (SEI WG)**  
*(Approved at RASG-APAC/4)*

**1. Background**

1.1. These terms-of-reference outline the concept and modalities for the Safety Enhancement Initiatives Working Group (SEI WG) working under direction of the RASG-APAC/APRAST.

**2. Objectives of the SEI WG**

2.1. The objective of the SEI WG, which will be established under the RASG-APAC/APRAST, is to assist in the development, implementation and review of SEIs to reduce aviation risks. These SEIs could be established based on the analysis of regional data, based on ICAO initiatives or the initiatives of other relevant organisations or regions or based on the risks and issues identified through the USOAP CMA process. The identified SEIs should be prioritised to ensure that those that have the greatest potential for reducing safety risk are examined first.

2.2. To accomplish the objectives, the SEI WG will:

- 2.2.1. Assist APRAST in the identification and development of SEIs, for application within the Asia and Pacific regions, which are aligned with the regional priorities and targets. The focus of these SEIs is to effectively and economically mitigate regional safety risks identified by the Asia Pacific Safety Reporting and Programme Working Group.
- 2.2.2. Assist APRAST in the provision of generic implementation guidance related to the SEIs to guide members through the SEI implementation process
- 2.2.3. Assist APRAST in the identification of assistance programmes such as, but not limited to, workshops and seminars to improve the level of implementation of developed SEIs, with the support of the Secretariat.
- 2.2.4. Develop and conduct a process to review existing SEIs and provide recommendations to improve the effectiveness and level of implementation.

**3. SEI WG Modalities**

3.1. The SEI WG will work with the ICAO APAC Office to obtain information on the state of implementation of the SEIs. This information is useful for the review of the developed SEIs and the identification of relevant assistance programmes to improve SEI implementation levels.

3.2. Co-chairs will be elected from the nominated members. One Co-chair may be elected from a Contracting State and the other Co-chair may be elected from industry.

3.3. The Regional Officer, Flight Safety, ICAO Asia Pacific Office will serve as the Secretary to the SEI WG. The COSCAP facilitators will support the SEI WG in its activities.

3.4. Membership of the SEI WG includes the regulatory authorities (flight operations, airworthiness and ATM representatives), air operators, service providers, manufacturers and industry organizations. Others may be invited to participate as appropriate to the subjects under consideration.

3.5. The SEI AWG will normally meet twice each year in conjunction with APRAST meetings. Additional meetings may be organized when needed to address pressing safety issues. The on-going work/coordination may be accomplished through electronic communications and regular teleconferences.

-----

**[The Generic ToRs approved by the President of the Council are the guidelines to develop/amend RASG Procedure Hand Book for any changes to be made]**

**GENERIC TERMS OF REFERENCE OF  
REGIONAL AVIATION SAFETY GROUPS (RASGs)**

**1. MEMBERSHIP**

- a. All ICAO Contracting States, and Territories recognized by ICAO, within the area of accreditation of the ICAO Regional Office(s) concerned shall be members of the Regional Aviation Safety Group (RASG) established for that (these) region(s).

**13. PARTICIPATION**

- a. In addition to States, the importance of a collaborative and proactive role by airspace users, international and regional organizations, and industry should be recognized due to their involvement in the rapid pace of technological development, expertise and other opportunities for sharing of resources.
- b. RASG meetings are open to all members. Each State/Territory member should be represented by a senior-level delegate nominated by the State/Territory, preferably from the civil aviation authority (CAA) in order to support related policy-making within the State. A delegate may be supported by an alternate delegate and/or advisers with the requisite technical knowledge in the subject matters under consideration.
- c. The CAAs should be supported by representatives from service providers and industry.
- d. States located outside the area of accreditation of the ICAO Regional Offices concerned can be invited on a case-by-case basis and in accordance with the *Regional Office Manual* to attend as observers.
- e. International organizations recognized by the ICAO Council to participate in ICAO meetings should participate, as observers, in the RASG meetings, and be encouraged to do so. Other stakeholders may be invited as observers, when required, to contribute to the work of the RASG.
- f. The participation of industry stakeholders should take into account relevant capabilities such as an involvement in the rapid pace of technological development, specific knowledge and expertise, and other opportunities including sharing of resources.
- g. Civil aviation commissions/conferences in particular the Arab Civil Aviation Organization, African Civil Aviation Commission, European Civil Aviation Conference and Latin American Civil Aviation Commission, may be invited to participate in the work of the RASGs.
- h. The members and observers will serve as partners in RASGs, and their joint commitment is fundamental for success in improving safety worldwide.
- i. RASG meetings should be live-streamed, to the extent possible, to enable additional State participants to follow the proceedings.

## 14. WORKING ARRANGEMENTS

### a. Structure

- i. RASGs have the obligation to apply the most effective and efficient organizational structure and meeting modalities that best suit the characteristics of each region's implementation work programme while maintaining to the extent possible, alignment with these Terms of Reference, the regional work programme and the Global Aviation Safety Plan (GASP).
- ii. The ICAO Regional Director(s) will serve as the Secretary of the RASG. Wherever two Regional Directors are involved, they will periodically rotate between serving as Secretary of the RASG and planning and implementation regional group (PIRG) to balance the Secretariat responsibilities between these two regional groups. The Secretary of the RASG, in coordination with the Secretary of the PIRG, will establish the date, methodology and the procedure to be applied for the rotation.
- iii. The organization of the RASG should address global and region-specific safety-related matters, and meetings should be closely coordinated between the RASG and PIRG chairpersons and the Secretariat. RASG and PIRG meetings should be held back-to-back or combined to facilitate coordination and to ensure the efficient use of resources.
- iv. The RASGs shall be administered by a chairperson and one or two vice-chairpersons elected from the State-nominated delegates present. The RASGs will establish the cycle of elections. Exceptionally, at the discretion of each RASG, vice-chairpersons or a co-chairperson may be elected from the international and regional organizations, and/or industry present.
- v. The RASG will build on the work already done by States, ICAO Regional Offices and existing regional and sub-regional organizations (such as the cooperative development of operational safety and continuing airworthiness programmes, regional safety oversight organizations (RSOOs), regional accident and incident investigation organizations (RAIOs) and industry) to support the establishment and operation of safety management processes for the region(s).
- vi. RASGs contributory bodies may be created by the RASG to discharge the RASG work programme by working on defined subjects requiring detailed technical expertise. A contributory body shall only be formed when it has been clearly established that it is able to make a substantial contribution to the required work. A contributory body will be dissolved by the RASG when it has completed its assigned tasks or if the tasks cannot be usefully continued.
- vii. Invitations to RASG meetings must be issued at least three months in advance of the meeting to assist States to plan participation.
- viii. The Secretariat will review and update the RASG Handbook periodically, and as required, to ensure a result-oriented approach.

- ix. Where the meeting is held in more than one ICAO working language, interpretation services shall be made available to facilitate participation in the deliberations and adoption of the report by all participants.
- x. States, international organizations and industry are invited to submit working papers, research works, etc. in order to enhance the work of the RASG and its contributory bodies. To ensure proper time for consideration and good decision-making, the Secretary should ensure that all working papers are available at least fourteen days prior to the start of the meeting for consideration.

**b. Venue**

- i. RASG meetings will be convened in the Regional Offices, to the extent possible, to facilitate proper access by States. Approval to host RASG meetings outside of the Regional Office must be obtained from the President of the Council.
- ii. The Secretary General will ensure the allocation of the necessary financial resources to host RASG meetings.
- iii. RASG contributory bodies may be convened at a different location, if required, to be determined by the Secretary and Chairpersons of the RASG, and contributory body. Venues shall be chosen with the primary aim of facilitating maximum State attendance.

**c. State role**

- i. State CAAs, supported by service providers as necessary, should participate in the work of the RASG and its contributory bodies to:
- ii. ensure the continuous and coherent development and implementation of regional safety plans and report back on the key performance indicators (KPIs);
- iii. support the regional work programme with participation from the decision-making authority with the technical expertise necessary for the planning and implementation mechanism, thus supporting policy decisions at the State level;
- iv. support the implementation of effective safety management and collaborative decision-making processes to mitigate aviation safety risks, thus supporting policy decisions at the State level;
- v. contribute information on safety risk, including State safety programme (SSP) safety performance indicators (SPIs, in accordance with the GASP as part of their safety risk management activities;
- vi. ensure coordination, at the national level, between the CAA, service providers and all other concerned stakeholders, and harmonization of the national plans with the regional and global plans;
- vii. facilitate the development and establishment of Letters of Agreement and bilateral or multilateral agreements;
- viii. ensure the implementation of the GASP goals and targets; and
- ix. embrace a performance-based approach for implementation as highlighted in the Global Plans.

**d. International organization and industry role**

- i. Industry stakeholders/partners should participate in the work of the RASG and its contributory bodies in order to support the implementation of safety oversight activities, safety management and collaborative decision-making processes, as well as to identify regional requirements, mitigate aviation safety risks, provide technical expertise, as required, and ensure adequate resources.
- ii. Their focus should be on identifying regional requirements and ensuring that their available resources are adequately allocated.

**e. Reporting**

- i. The RASG reports outcomes to the ICAO Council through the Air Navigation Commission (ANC) as facilitated by the ICAO Secretariat.
- ii. RASG meeting reports should reflect the structure of the GASP (organizational challenges, operational safety risks, infrastructure and safety performance measurement) and RASG deliverables should map the expected GASP goals and targets.
- iii. RASG meeting reports should be provided in a standardized format to the governing bodies of ICAO to identify regional and emerging challenges, and shall include as a minimum:
  - a) a brief history of the meeting (duration and agenda);
  - b) a list of meeting participants, affiliation and number of attendees;
  - c) a list of conclusions and decisions with a description of their rationale (what, when, why and how);
  - d) a list of safety enhancement initiatives (SEIs) linked to the associated GASP targets and indicators, and the appropriate mechanism used to measure their effectiveness;
  - e) common implementation challenges identified amongst RASG members and possible solutions, assistance required and estimated timelines to resolve, if applicable, by sub-region;
  - f) identification of and recommendations on particular actions or enhancements that would require consideration by the ANC and Council to address particular challenges;
  - g) a list of issues cross-referenced to actions to be taken by ICAO Headquarters and/or Regional Offices;
  - h) based on the GASP, and associated SPIs and tools, report to the extent possible on the status of implementation of safety goals, targets and indicators, including the priorities set by the region in their regional safety plans exploring the use of regional dashboards to facilitate monitoring regional progress being made;
  - i) a list of items for coordination with the PIRG and a concise summary of the outcome of related discussions;
  - j) feedback on implementation issues and actionable recommendations to the ICAO Council to continually improve future editions of the GASP that identify regional safety objectives and priorities to ensure proper focus on emerging safety concerns; and
  - k) the work programme and future actions to be taken by the RASG.

- iv. A technical officer from Headquarters (Air Navigation Bureau) will participate and provide support to the meeting and subsequently arrange for the presentation of reports, in coordination with the Regional Office(s) and chairpersons of the RASG, to the ANC and Council for review and harmonization.
- v. The final RASG report will be approved at the end of the meeting. Where the report requires translation, it will be made available within fifteen working days of the meeting closure.
- vi. Headquarters will provide feedback to the RASGs highlighting the actions taken by the ANC and Council related to their previous meeting outcomes.
- vii. When a RASG does not meet during the annual reporting cycle of the consolidated report on PIRGs and RASGs to the Council, the Secretary of the regional group must, nevertheless, report implementation progress, as well as difficulties experienced, for inclusion in the report.

## 15. GLOBAL PLANS

15.1 In regard to Global Plans, the RASG shall:

- a) support implementation by States of the *Global Aviation Safety Plan* (GASP, Doc 10004) taking into account aspects of the *Global Air Navigation Plan* (GANP, Doc 9750) and *Global Aviation Security Plan* (GASeP) by ensuring effective coordination and cooperation between all States and stakeholders;
- b) monitor and report the progress on the implementation by States of the GASP and the regional objectives and priorities;
- c) provide feedback on the GASP implementation and propose amendments to the Global Plans as necessary to keep pace with the latest developments and ensure harmonization with regional and national plans;
- d) in line with the GASP and regional priorities, identify specific aviation safety risks and propose mitigating actions using the mechanisms defined by Annex 19 — *Safety Management* and the *Safety Management Manual* (Doc 9859), with timelines to resolve deficiencies; and
- e) verify the provision of services in accordance with global and regional requirements.

## 16. REGIONAL ACTIVITIES

16.1 In regard to regional activities, the RASG shall:

- a) serve as a regional cooperative forum that determines regional priorities, develops and maintains the regional aviation safety plan and associated work programme based on the GASP and relevant ICAO Provisions, integrating global, regional, sub-regional, national and industry efforts in continuing to enhance aviation safety worldwide;

- b) facilitate the development and implementation of safety risk mitigation action plans by States, taking into consideration States' level of effective implementation of the critical elements of safety oversight systems and progress being made to improve the level;
- c) monitor and report, using a data driven approach, the region's main aviation safety risks, and determine regional priorities and associated work programme based on the GASP;
- d) analyze safety information and hazards to civil aviation at the regional level and review the action plans developed within the region to address identified hazards;
- e) identify and report on regional and emerging safety challenges experienced that affect implementation of ICAO global provisions by States and measures undertaken or recommended to effectively address them; and
- f) facilitate the development and implementation of regional and national aviation safety plans by States.

## **17. RASG COORDINATION**

17.1 In regard to coordination, the RASG shall:

- a) coordinate safety issues with the respective PIRG;
- b) foster cooperation, information exchange, sharing of experiences and best practices among States and stakeholders;
- c) provide a platform for regional coordination and cooperation amongst States and stakeholders for the continuous improvement of safety in the region with due consideration to harmonization of developments and deployments, and intra- and interregional coordination;
- d) ensure that all safety activities at the regional and sub-regional level are properly coordinated amongst role players to avoid duplication of efforts;
- e) identify security, environmental and economic issues that may affect aviation safety, and inform ICAO Secretariat accordingly for action;
  - i. identify practical examples and tools to support effective safety management implementation; and
- f) through the RASG Secretary, inform the Directors General of Civil Aviation and related civil aviation commission/conferences of RASG meeting results.

## **18. INTERREGIONAL COORDINATION**

18.1 The RASG shall:

- a) ensure interregional coordination through formal and informal mechanisms, including the participation in meetings established for the purpose of coordinating RASG and PIRG activities, the GASP and regional aviation safety plans; and

- b) identify stakeholders that could be impacted by RASG SEIs within and outside the region, and develop an effective communication and coordination strategy with stakeholders.
- c) ICAO Headquarters shall arrange a global coordination meeting between all RASG and PIRG chairpersons and secretaries on a biennial basis.

## **19. EXPANSION OF TERMS OF REFERENCE**

19.1 The Terms of Reference above serve as a global basis for RASG operations and may be further expanded by each RASG, as required, to maintain the flexibility and efficiency of their work. Additional terms of reference adopted by a RASG must be approved by the President of the Council and be included in the relevant RASG Handbooks as a RASG specific supplement.

-----

**Asia Pacific Annual Safety Report Production Process**

**Asia Pacific Annual Safety Report Production Process**

The Asia Pacific Annual Safety Report is prepared by the APRAST – Asia Pacific Safety Reporting Programme Working Group (APRAST–AP SRP WG).

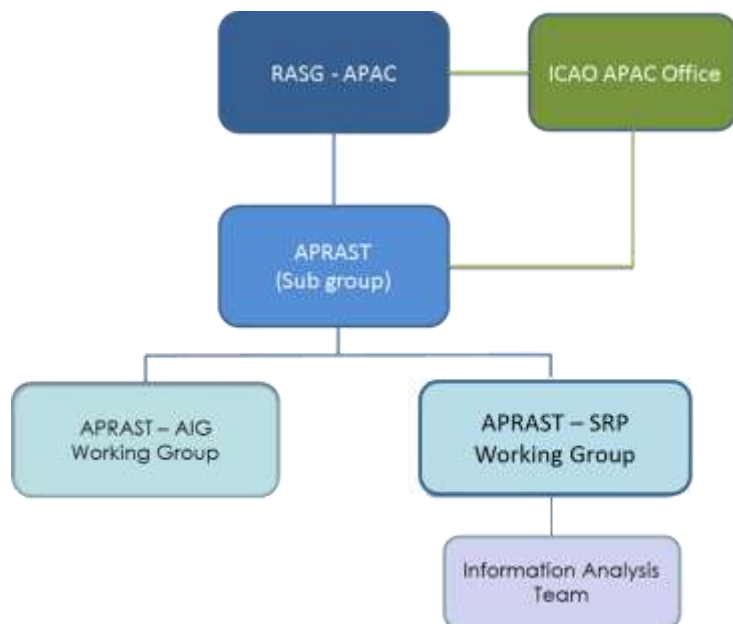
The APRAST-AP SRP WG gathers safety information from various sources to determine the main aviation safety risks in the Asia Pacific region. To be included in the Annual Safety Report are:

- i) Reactive information
- ii) Proactive information
- iii) Predictive information.

The Information Analysis Team (IAT) formed within the APRAST-AP SRP WG analyzes the available predictive safety information.

The Annual Safety Report is developed by the APRAST-AP SRP WG and published by RASG-APAC. It is based on data provided by ICAO, CAST, IATA and other stakeholders. Analysis of this aviation safety data is conducted with the in-kind contributions of aviation safety personnel from RASG-APAC member States/Administrations and industry partners. The report is an annual publication providing appropriately updated aviation safety information.

Figure 1: Organization

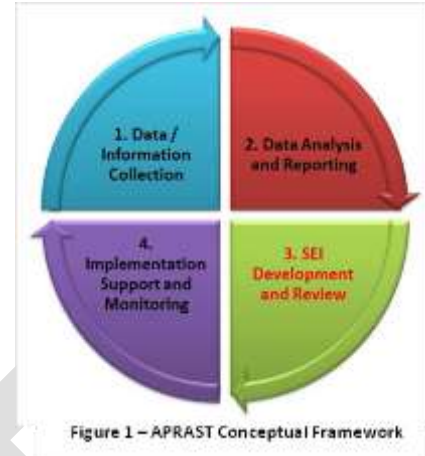


The process of gathering information and producing the report follows an annual cycle that is based on the time of the year that certain data sets become available. The goal is to have the report available prior to RASG-APAC meetings, approximately following the schedule shown below:

Month	Task	Action by
April	Draft predictive analysis to be provided for SRP group review	Boeing
June	Data to be provided to Singapore for reactive analysis	IATA, Boeing, ICAO
July	Draft analysis to be completed	Boeing, Singapore, Australia
Sept	Draft report produced.	Boeing, Singapore, Australia
Sept	Circulate to SRP WG for comments	Secretariat
Sept	Final comments from SRP WG	SRP WG
Sept	Circulate to APRAST Co-Chairs for comments	Secretariat
October	Final comments from APRAST Co-Chairs	APRAST Co-Chairs
October	Final report completed (prior RASG)	Australia

**APRAST Conceptual Framework**

The conceptual framework that guides APRAST’s work is as shown in Figure 1. The work of APRAST follows a dynamic cycle of first collecting data and information, followed by the analysis and reporting of this data for the development and review of SEIs. The implementation of these developed SEIs is then supported through regional and State efforts. This cycle repeats as new information is gathered on new risks and on the effectiveness of the SEIs.



SEI WG should assist APRAST in the development of SEIs to reduce aviation risk. These SEIs could be established based on the analysis of regional data, based on ICAO initiatives or the initiatives of other relevant organizations or regions or based on the risks and issues identified through the USOAP CMA process. In view of this, any proposal on information from external sources, for instance safety interventions which have already been developed by existing safety groups such as CAST, ESSI, FSF as well as other RASGs etc., should first be presented to the APRAST plenary for consideration of appropriate action(s). With the endorsement at the APRAST plenary, SEI WG will initiate the process illustrated in Figure 2 for the SEI development.

**Safety Enhancement Initiative (SEI) Development Process**

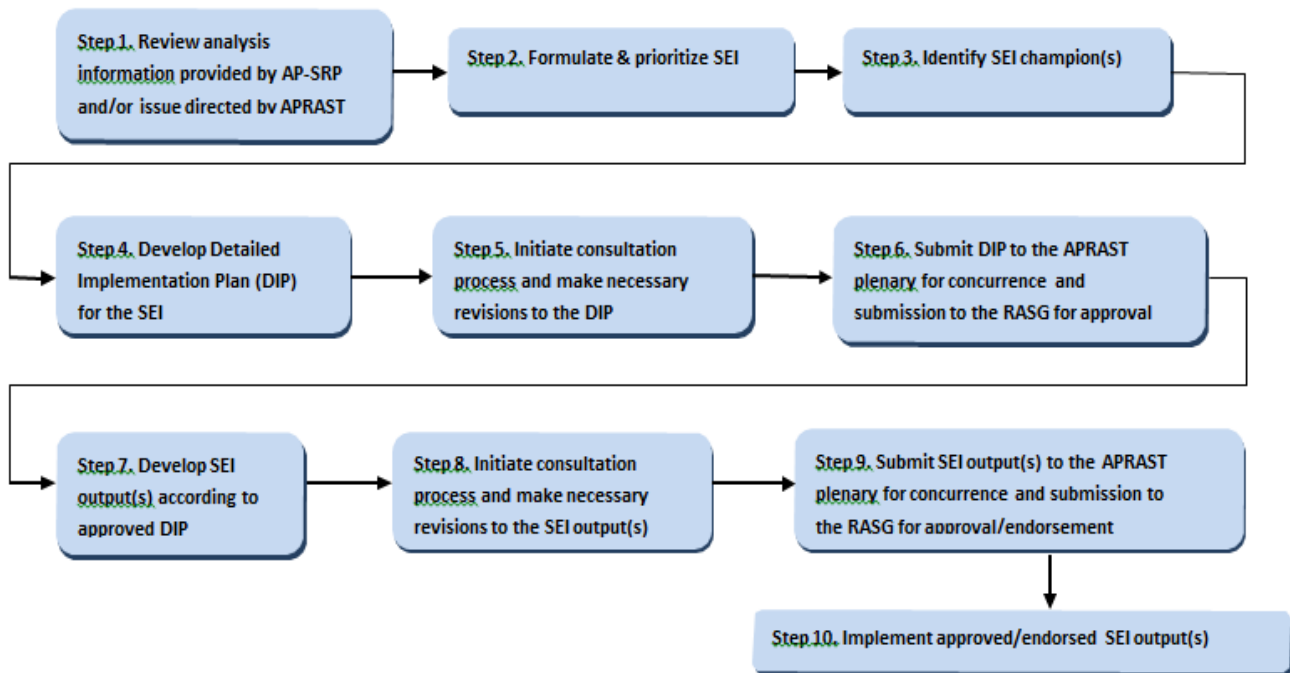


Figure 2 – SEI Development Process

After reviewing analysis information provided by AP-SRP and/or issue directed by the APRAST, SEI WG should formulate and prioritize SEI, through the SEI WG breakout sessions during the APRAST meetings, by determining the followings.

APRAST No.	Safety Enhancement Initiative	Reference	GSI	Safety Impact	Changeability	Indicator	Priority	Champions(s)

**Global Safety Initiatives (GSIs)**

Among these, Global Safety Initiatives (GSIs) are designed to support the implementation of the ICAO Safety Strategic Objective and other safety objectives that might be established by regions, States or industry. The initiatives described below are provided to facilitate the planning process and should not be viewed as stand-alone work items, but rather, in many cases, as interrelated. Therefore, initiatives are quite capable of integrating with, and supporting each other. Each GSI identifies the corresponding Focus Area of the Global Aviation Safety Roadmap.

- Primary stakeholders: ICAO, States  
 GSI-1 Consistent Implementation of International Standards and Industry Best Practices  
 GSI-2 Consistent Regulatory Oversight  
 GSI-3 Effective Errors and Incidents Reporting  
 GSI-4 Effective Incident and Accident Investigation
- Primary stakeholders: ICAO, States, regions  
 GSI-5 Consistent Coordination of Regional Programmes
- Primary stakeholders: Industry  
 GSI-6 Effective Errors and Incidents Reporting and Analysis in the Industry  
 GSI-7 Consistent Use of Safety Management Systems (SMS)  
 GSI-8 Consistent Compliance with Regulatory Requirements  
 GSI-9 Consistent Adoption of Industry Best Practices  
 GSI-10 Alignment of Industry Safety Strategies  
 GSI-11 Sufficient Number of Qualified Personnel  
 GSI-12 Use of Technology to Enhance Safety

**Prioritization of SEI**

Safety impact and changeability should be determined for each SEI in order to attain an Impact-Changeability Level and associated priority according to the chart illustrated in Figure 3. Although the impact on safety should be the primary method of prioritizing the SEI, the ability to make the changes must also be considered. The evaluation should include the existence of the political will to change, the availability of technology and resources necessary to implement the change as well as the potential blockers that could prevent implementation.

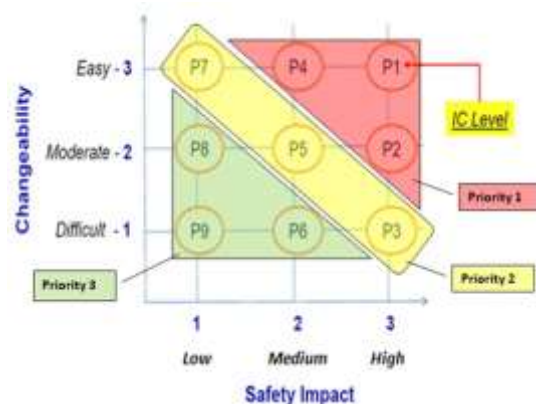


Figure 3 – Impact-Changeability (IC) Level Chart

### **Submission of SEI deliverables**

Champion(s) should be identified to support the development of a SEI, of which Detailed Implementation Plan (DIP) should first be developed by utilizing the template shown in Attachment A. Subject to the proposed SEI output(s), which could be model AC, workshop or adoption of safety interventions from external sources etc., the champion(s) may propose to revise the pre-determined IC Level and priority as necessary when developing the DIP. Once the DIP is developed, the champion(s) should initiate consultation process and make necessary revisions to the DIP before submitting the DIP to the APRAST plenary for concurrence and submission to the RASG for approval. Pursuant to the approved DIP, similar steps should be performed by the champion(s) for succeeding SEI output(s) development. Completed SEI output(s) should be presented with the SEI template shown in Attachment B to the APRAST plenary for concurrence and submission to the RASG for approval/endorsement. The implementation of approved/endorsed SEI output(s) will then be supported through regional and State efforts.

### **Consultation of SEI deliverables**

For the purpose of enhancing the efficiency and effectiveness of SEI WG, thoroughly reviewed and discussed SEI deliverable(s) (i.e. DIP or model AC etc.) should be presented during the APRAST meeting. To serve this purpose, SEI champions should circulate those SEI deliverable(s) ready to be discussed in the next APRAST meeting, through the Secretariat, to Member States/Administrations for consultation. SEI champions should initiate the consultation process prior to the next APRAST meeting and allow sufficient time for Member States/Administrations to review the draft deliverable(s) and provide their comments. The Secretariat should facilitate the collection of comments and make these comments available to the SEI champion. SEI champions should review the comments received and make any necessary revision to the deliverable(s) to be presented in the next APRAST meeting for review.

### **Master registry of SEIs**

A Master SEI Registry is maintained by the Secretariat for the purpose of monitoring of the status of SEIs. The Master SEI Registry records the DIP and details of SEIs to facilitate effective follow up of SEIs by different parties. SEI champions should report progress made to working group facilitators who should subsequently provide the latest status of SEIs to the Secretariat for consolidation, registry update and reporting to the APRAST plenary.

### **Currency of SEI Outputs**

SEI WG will conduct periodic reviews to ensure the currency of all completed SEI output(s) is maintained. During the SEI WG breakout sessions at the APRAST meetings, SEI WG will review all completed SEI output(s) together with any feedback relating to currency of SEI output(s) received by the RASG/APRAST Secretariat via the feedback channel laid down in the cover page of the completed SEI output and/or the online SEI implementation monitoring mechanism outside of the APRAST meetings. The result will be reported back to the APRAST plenary by SEI WG. In case of any SEI output or product is considered no longer current; SEI WG will propose recommended action(s) to the APRAST plenary accordingly.

### **Appointment and roles of facilitators and champions**

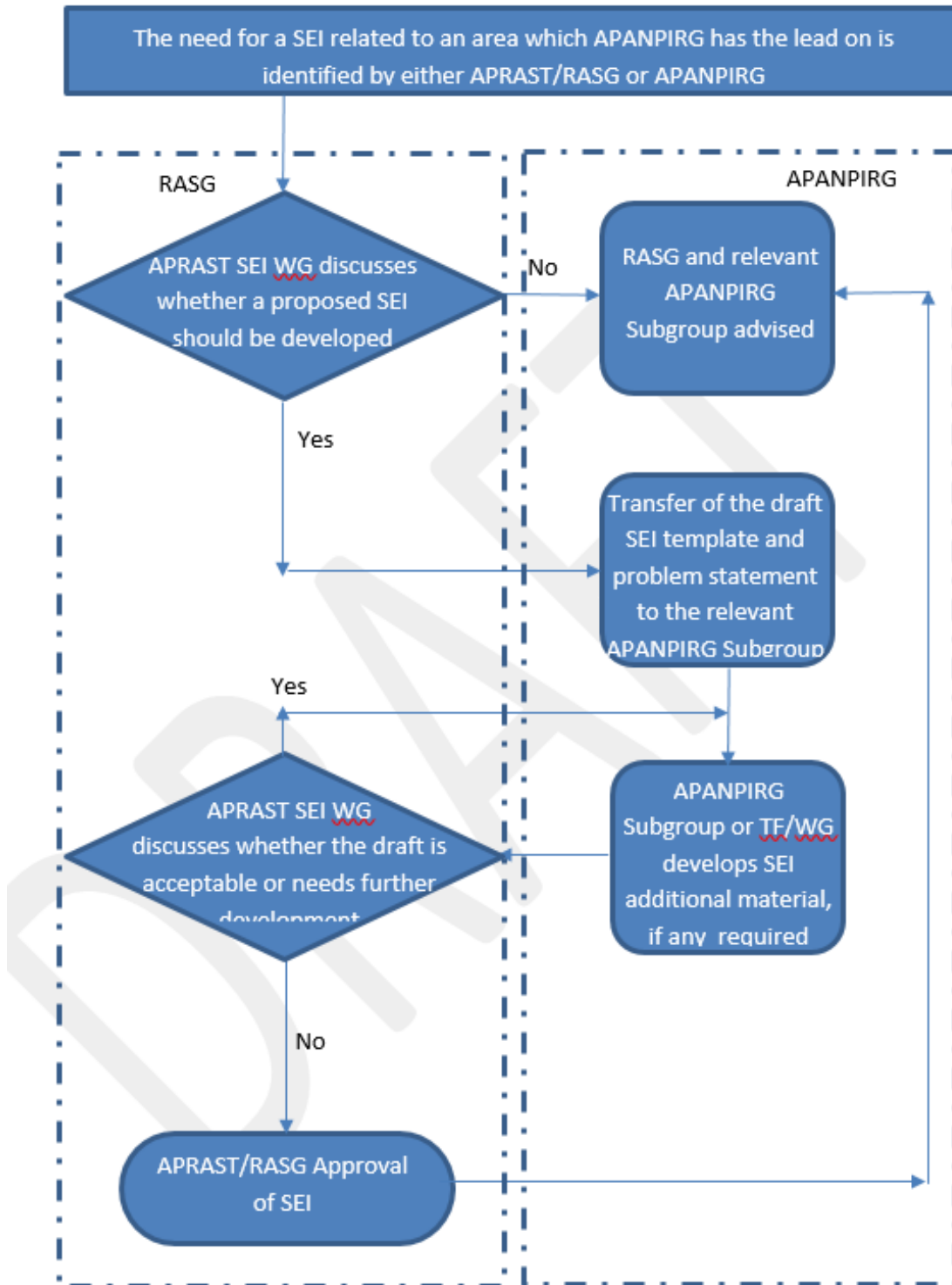
Under the Terms of Reference of SEI WG, COSCAP facilitators will support the SEI WG in its activities. A facilitator will chair one of the SEI WG breakout sessions to facilitate discussion and provide briefing on respective activities and progress made after the breakout session. Facilitators will also support SEI champions and collaborate with SEI champions to provide the latest status of SEIs to Secretariat for consideration, registry update and reporting to the APRAST plenary.

SEI champion will be selected on a voluntary basis to support the development of a SEI, including:

- Drafting DIP and associated output(s) for the SEI;
- Initiating consultation process making necessary revisions to the DIP and SEI output(s) according to the comments received from the consultation process;
- Presenting draft materials, status report, etc. to the SEI WG and the APRAST plenary as required;
- Submitting DIP and SEI output(s) to the APRAST plenary for concurrence and submission to the RASG for approval/endorsement; and
- Drafting working paper for DIP and SEI output(s) with the aim of seeking RASG approval/endorsement.

DRAFT

Coordination with APANPIRG



**Attachment A – Template of Detailed Implementation Plan**

Detailed Implementation Plan									
APRAST No.	Safety Enhancement Initiative	GSI	Reference	Safety Impact	Changeability	Indicator	Priority	Champion(s)	Time Frame
Safety Enhancement Action (expanded):									
Statement of Work									
Champion Organization									
Human Resources									
Financial Resources									
Relation with Current Aviation Community Initiative									
Performance Goal Indicators									
Key Milestones									
Potential Blockers									
DIP Notes									

## Attachment B – Safety Enhancement Initiative (SEI) Template

### Guidelines on the use of this Template

<Explanatory Notes – Please remove this page when using the template>

1. This purpose of this template is to have a standardized manner to present completed SEI outputs by the APRAST. It is to be used as a cover page for SEI outputs, for example, when they are presented to RASG.
2. Generally, SEI outputs refers to SEI deliverables such as model regulations, advisory circulars, safety bulletins/handbooks, training material and/or standard operating procedures. Depending on the Detailed Implementation Plan (DIP) of the SEI, each SEI may have one or more SEI outputs to be produced concurrently or in phases. This template may be used for the entire SEI output or sub-outputs, as appropriate.

**International Civil Aviation Organization (ICAO)**

**Regional Aviation Safety Group  
(Asia & Pacific Regions)**

**Asia Pacific Regional Aviation Safety Team**

DRAFT

## Preamble

### Background on Regional Aviation Safety Group – Asia & Pacific (RASG – APAC)

The Regional Aviation Safety Group Asia-Pacific (RASG-APAC) was established in 2011 by the Council of ICAO. The RASG-APAC is tasked with improving aviation safety in the Asia & Pacific regions by developing and implementing a work programme, in line with the ICAO Global Aviation Safety Plan, aimed at identifying and implementing safety initiatives to address known safety hazards and deficiencies in the region.

The Asia Pacific Regional Aviation Safety Team (APRAST), a sub-group of the RASG-APAC, assists the RASG-APAC in its work by recommending safety interventions which will reduce aviation safety risks.

The full commitment and active participation of APAC States/Administrations and the industry partners is fundamental to the success of the RASG-APAC in reducing aviation safety risks and accident rates in the Asia and Pacific regions.

### Disclaimer

This report makes use of information, including air transport and safety related data and statistics, which is furnished to the RASG/APRAST by third parties. All third party content was obtained from sources believed to be reliable and was accurately reproduced in the report at the time of printing.

However, RASG/APRAST specifically does not make any warrants or representations as to the accuracy, completeness or timeliness of such information and accepts no liability or responsibility arising from reliance upon or use of the same. The views expressed in this report do not necessarily reflect individual or collective opinions or official positions of RASG/APRAST Members. It is the responsibility of each RASG/APRAST member to determine the applicability of the contents of this report. If there should be any conflict between the contents of this report and ICAO Standards, then the ICAO Standards will take precedence over that contained in this report.

### Feedback/Enquiries

Should there be any feedback or queries with regard to this report, please address them to:

[Name]  
[Organisation]  
[E-mail address, Contact Number]

[and/or]

RASG/APRAST Secretariat  
ICAO Asia and Pacific Office  
[E-mail address, Contact Number]

<Main Content – to be removed when using the template >

*[Title of Document]*

<max 2 pages>

### **Introduction**

*[To highlight purpose of this report.]*

### **Background of Safety Enhancement Initiative (SEI)**

*[To describe the problem(s) and how the SEI intend to address the problem(s).]*

### **Applicability to States / Industry**

*[To identify industry sector(s), e.g. airlines, and/or aviation professionals, e.g. air traffic controllers, that could benefit from the measures/products of the SEI]*

### **SEI Contents / Phases**

*[To highlight in clear phases the key SEI measures and milestones, including desired outcome(s) as well as the parties responsible for implementation of the required action(s).*

*Where applicable, to highlight recommended implementation roadmap for RASG/APRAST members, to achieve full implementation of the SEI. ]*

### **Action/Comments by RASG**

*[e.g. This measure/document was approved by the RASG on dd mm yyyy.]*

**GUIDELINE FOR STATES OR ADMINISTRATIONS TO USE  
THE SEI ONLINE MONITORING TOOL**

The online monitoring mechanism is developed to facilitate the monitoring of the implementation status of Safety Enhancement Initiatives (SEIs) outputs and safety tools under RASG-APAC.

In order to effectively capture the implementation status of SEIs outputs and safety tools under RASG-APAC, APAC States/Administrations are encouraged to provide relevant information for each phase with the following considerations:

Phase	Consideration
A – Review status by State/Administration	<p>States/Administrations should review each SEI output or safety tool to determine whether the States/Administrations have already developed or planned to have their regulations, requirements or guidance developed which can achieve the goals and intentions of the SEI output or safety tool implementation.</p> <p>Progress indicator (0%, 25%, 50% 75% or 100%) should be selected according to the State/Administration’s review status, and progress indicator (N/A) should not be selected for this Phase.</p>
B - Implementation status by State/Administration	<p>If States/Administrations consider the SEI output or safety tool is applicable but the States/Administrations determined that they do not have their regulations, requirements or guidance to achieve the goals and intentions of that particular SEI output or safety tool after the A – Under Review phase, progress indicator (0%, 25%, 50% 75% or 100%) should be selected according to the State/Administration’s status of their development on their regulations, requirements or any other means determined by the State/Administrations as appropriate to support that SEI output or safety tool implementation.</p> <p>Progress indicator (N/A – not applicable) may only be selected if that particular SEI output or safety tool is not applicable to that State/Administration. (For instance, the SEI output or safety tool applies to only helicopter operations, but there is no helicopter operations in that State/Administration).</p>
C - Implementation status by Service Provider	<p>States/Administrations need to follow up on the implementation of their regulations, requirements, guidance or other means determined by their service provider(s) for that particular SEI output or safety tool. It can be done during their surveillance activities, by surveys or any other means as appropriate to look into the implementation status of all applicable service providers.</p> <p>Progress indicator (0%, 25%, 50% 75% or 100%) should be selected according to the implementation status of all applicable service providers. (For instance, the SEI output or safety tool applies to aeroplane operations, the progress indicator should be selected solely based on the implementation status of all aeroplane operators in that State/Administrations).</p>

	<p>Progress indicator (N/A) may only be selected if the SEI output or safety tool is not applicable to any service provider in the State/Administration (For instance, the SEI output or safety tool applies to State/Administration’s inspector training programme, and it does not apply to any service provider).</p>
<p>D - All actions completed</p>	<p>Only if all progress indicators in Phases A, B and C are selected 100%, the checkbox in Phase D may be ticked to indicate all applicable actions are fully completed. For any other cases, the checkbox in Phase D should not be ticked.</p>

**Appendix-A**

**SELF EVALUATION QUESTIONNAIRE**

States/Administrations have many flexible methods to evaluate their implementation progress of the SEI output or safety tool. Using the Guiding Questions in below table is one of the methods to facilitate States/Administrations in their self-evaluation of their implementation status for each Phase (A to C). States need not be limited to these questions if they have other self-evaluation methods which better reflect their context.

<b>Phase</b>	<b>Guiding Questions for self-evaluation framework</b> <i>[Can there be 4 GQs per Phase in no fixed sequence, each assigned a 25% weightage that can be added up to give a subtotal for each Phase?]</i>
A – Review status by State/Administration	<ul style="list-style-type: none"> <li>i) Has the SEI output or safety tool been disseminated to the relevant experts in the State/ Administration and a coordinator appointed to organise the review?</li> <li>ii) Has the State/ Administration reviewed and determined if the SEI or safety tool is relevant to its operational context?</li> <li>iii) Has the State/ Administration conducted a gap analysis i.e. by comparing the contents of the SEI output or safety tool with its existing regulations/ procedures/ guidance?</li> <li>iv) Has the State/ Administration planned the key milestones and associated timeline for implementing the SEI output or safety tool?</li> </ul>
B - Implementation status by State/Administration	<ul style="list-style-type: none"> <li>i) Has the State/ Administration identified how it will incorporate the relevant contents of the SEI output or safety tool, and if appropriate, which regulations/ procedures/ guidance to revise? If not, has an alternative means of consultation/ communication with the service provider(s) been identified?</li> <li>ii) Has the State/ Administration promulgated the revised regulations/ procedures/ guidance and informed the relevant regulated entities, or has the alternative means of consultation/ communication with the service provider(s) been activated?</li> <li>iii) Has the State/ Administration put in place the required resources e.g. infrastructure, training, etc. to support implementation/ transition by the service provider(s)?</li> <li>iv) Has the State/ Administration identified how it will monitor and verify the implementation by the service provider(s) in a timely manner?</li> </ul>
C - Implementation status by Service Provider	<ul style="list-style-type: none"> <li>i) Have the service provider(s) planned the key milestones and associated timeline for implementing the revised regulatory requirements?</li> <li>ii) Have the service provider(s) amended their work procedures to fulfil the revised regulatory requirements?</li> </ul>

	<p>iii) Have the service provider(s) ensured that their staff have been adequately trained for proper implementation of the revised regulatory requirements?</p> <p>iv) Is the State/ Administration satisfied with the level of implementation by each service provider?</p>
--	---

*(The Guidelines in Attachment-3 should be hyperlinked/uploaded in the Monitoring Tools itself for ready reference by the States/Administration)*

— END —