

**56<sup>th</sup> CONFERENCE OF  
DIRECTORS GENERAL OF CIVIL AVIATION  
ASIA AND PACIFIC REGION**

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- AGENDA ITEM 12:      OTHER BUSINESS
- a)      Any Other Matters

**REGIONAL COOPERATION MECHANISMS TASK FORCE –  
PROGRESS REPORT**

(Presented by RCM Task Force)

**SUMMARY**

The Paper provides an update of the work of the Regional Coordination Mechanisms Task Force (RCM TF), specifically covering key tasks to identify the needs of States/Administrations and the support mechanisms for technical assistance, and to enhance the governance of the regional groups and task forces as well as communication platforms and channels for regional cooperation.

## REGIONAL COOPERATION MECHANISMS TASK FORCE – PROGRESS REPORT

### 1. INTRODUCTION

1.1 The 54<sup>th</sup> Asia Pacific Director General of Civil Aviation (DGCA) Conference in August 2017 established a task force to focus on strengthening and evolving existing regional mechanisms for regional cooperation, towards capability and capacity building and technical assistance. The Regional Cooperation Mechanisms Task Force (RCM TF) (in short for ease of reference) was formed in May 2018 comprising 11 States/Administrations, namely Australia, People’s Republic of China, Hong Kong China, Japan, Malaysia, New Zealand, Pakistan, Republic of Korea, Singapore, Thailand and the United States of America, with ICAO Asia Pacific Regional Office (APAC RO) providing secretarial support.

1.2 The Terms of Reference (see **Appendix A**) of the RCM TF are to:

- a) Identify common and/or evolving needs of States/Administrations or a Group of States/Administrations in the APAC region for capability and/or capacity development;
- b) Identify and enhance common mechanisms for regional co-operation to prevent overlaps and duplication;
- c) Identify and enhance mechanisms for funding of technical assistance;
- d) Propose recommendations for the approach and roadmap to strengthen existing regional mechanisms for regional cooperation towards capability and capacity building, and technical assistance; and
- e) Identify opportunities to improve and streamline the communication of work and outcomes of various ICAO regional working groups and taskforce.

1.3 The RCM TF tabled an interim report at the 55<sup>th</sup> DGCA Conference held in Fiji in October 2018. That report provided updates in the TF’s development of a survey to determine the common and/or evolving needs of the Asia Pacific to inform on the TF’s understanding of the regional needs for capability and capacity development; and to inform on the TF’s work to enhance governance of regional groups to prevent duplication and overlaps. The report also noted that the RCM TF would undertake a stock-take and provision of the funding available to Asia Pacific Region; and look into suggestions to improve the effectiveness of communication mechanisms within the region.

### 2. KEY HIGHLIGHTS OF THE WORK OF THE RCM TF

2.1 This progress report updates on the work under the TORs (Para 1.2) for a, b, c, and e. The work done are in the four areas of: a) a survey to identify common and evolving needs; b) enhancing governance of the ICAO regional groups; c) identifying support mechanisms for technical assistance; and e) improving and streamlining communication of work and outcomes of regional groups and taskforce. The key highlights of the four areas are described below.

#### Findings of survey to identify common and evolving needs (Led by Singapore; details in **Appendix B**)

2.2 The survey which was conducted from November 2018 to June 2019, covered five general areas: aviation safety, aviation security, Air Navigation Services (ANS), Human Resource Development (HRD) and environment. A total of 37 needs, including all the ICAO Universal Safety Oversight Audit Programme (USOAP) and Universal Security Audit Programme (USAP) Critical Elements (CE) were listed to facilitate States/Administrations in their responses, with the option for needs outside of the list to be added. The survey asked to identify their needs in each of the areas, the availability of existing plans to address the needs including its effectiveness, the challenges faced and the support required. Twenty-eight States/Administrations (“respondents”) responded to the survey.

2.3 Aviation safety had the most responses, followed by aviation security and ANS. In aviation safety, the needs with regard to the implementation of an effective State Safety Programme (SSP) and USOAP CE 4 and 1 had the most responses. While the needs of aviation security had responses spread over USAP CE 1, 2, 4, 6 and 8 and mitigation measures on cybersecurity. For ANS, there were most responses for ATFM/CDM implementation and the establishment of national air navigation plan. In HRD, most respondents picked out training needs analysis, attraction/retention of aviation professionals and access to quality training. Lastly, for environment, the implementation of CORSIA SARPs and assistance to establish their State Action Plan had the most responses.

2.4 In terms of implementation plans for aviation safety, aviation security and ANS, the majority of respondents had a plan but most of these plans were deemed ineffective. However, for environment, half of the respondents indicated that they had an effective implementation plan.

2.5 As for the sources of support required, most respondents indicated enhancement in support from ICAO APAC RO and other ICAO regional cooperation mechanisms. This was followed by the support from other member States/Administrations and international organizations. The types of support required are generally for technical expertise, advisory support and sharing of best practices. However, the support required differed in each of the five areas. In aviation safety, most respondents expected greater support from ICAO APAC RO. In aviation security and ANS, respondents expected support from other States/Administrations, ICAO APAC RO and international organizations to be further enhanced while in HRD and environment, there were also gaps across almost all sources of support. Overall, States/Administrations expected ICAO APAC RO to play a bigger role in providing and coordinating support for the region. Support from the industry and international organizations could also complement the ICAO APAC RO's efforts.

2.6 Further sub-regional analysis of the results was conducted for North Asia, South East Asia and Pacific Small Island Developing States (PSIDS) and the rest of the Pacific in aviation safety, security and ANS only, as HRD and environment were similar for the sub-regions. South Asia could not be further analyzed due to the low number of respondents. On a sub-regional level, the needs in aviation safety, security and ANS were diverse and non-homogenous. This analysis provided insight into their peculiarities and priorities. As such, the assistance and support will have to continue to be more targeted and customized. In particular, the PSIDS have highlighted significant areas of needs and a lack of effective implementation plans. ICAO is undertaking a study for the PSIDS to look into their unique challenges and potential options to address them.

#### Governance of ICAO regional groups (Led by Australia, details in **Appendix C**)

2.7 The RCM TF agreed on the importance of good governance in ensuring that regional groups including workgroups and task forces (WGs/TFs) deliver on their intended results and contribute to the development and implementation of regional and global targets. An effective governance framework will keep regional groups within the approved scope of work, limit overlaps and gaps, and enhance communications of their work more effectively within the region and to ICAO.

2.8 The work done sought to address previous feedback presented at the 54<sup>th</sup> DGCA Conference and issues such as the limited visibility of the work of regional groups, governance controls, inconsistent communication on the work progress and outcomes as well as a lack of effective representation of the views and issues in the region to ICAO. These limit the region's ability to coordinate and provide support amongst States/Administrations to build capabilities and performance. They also hinder ICAO from having a comprehensive understanding of challenges facing the region. At the same time there are opportunities for improvement to enhance regional governance, coordination and reporting arrangements.

2.9 The RCM TF therefore recommends a common set of requirements for adoption by all regional groups to meet the expectations on governance standards, coordination and communication

arrangements, recognizing that the requirements can be scaled depending on the size and complexity of the group. The recommended governance framework includes the following: -

- a) Terms of Reference (ToR): All regional groups should have clear ToR defining their purpose, membership, decision making, accountability, and communication with periodic reviews of work plans and priorities. A ToR template has been developed for use by regional groups in their TOR review. The ICAO APAC RO would consolidate the review outcome for update to the DGCA Conference in 2020;
- b) Oversight: The oversight of the work of WGs/TFs is included as part of the TOR, including authorisation for changes to the scope, coordination among WGs/TFs, guidance on priorities and accountability for representation and reporting;
- c) Secretariat Support: The level of secretarial support for meetings has to be agreed before the meetings, and the resource capability of stakeholders in the regional groups have to also be considered.

Support mechanisms for technical assistance (Led by ICAO APAC RO, Singapore and the US, details in Appendix D)

2.10 The RCM TF has put together a consolidated list of the existing and potential funding and technical assistance provided within the ICAO framework and by non-ICAO entities, that are available to States/Administrations for capacity building (see Appendix D1). A total of 21 sources of potential funding were identified, of which half are within the ICAO framework. The support available ranges from funding to contribution-in-kind and includes training assistance, financial support, loans and grants.

2.11 The majority of the funding support within the ICAO framework is in the area of aviation safety enhancement and to a lesser extent in aviation security and ANS capacity building. Of the 10 non-ICAO sources of funding, three are directly for aviation with the remaining seven being more generic and not exclusive for aviation.

2.12 The RCM TF recommends that ICAO communicate the available support mechanisms to States/Administrations as well as articulate priorities to donors/respective ICAO Bureaus to strengthen the support. The list could also be provided to ICAO groups that are providing technical assistance such as RASG-APAC, APRAST, COSCAPs, RASCF and CASP-AP. States/Administrations are encouraged to consider the funding sources that are relevant to their needs and to approach ICAO APAC RO for further information of the funds within the ICAO framework.

2.13 There are benefits to engage the industry on a regular basis to enhance industry partners' participation in the aviation development in the region. The APAC DGCA Conference and Industry Round Table discussions have been identified as possible platforms to engage the industry at a high-level. For a start, the US and the ICAO APAC RO have organised a high level Panel session at the 56<sup>th</sup> APAC DGCA Conference in August 2019 to provide an opportunity for interactive discussion between the DGCAs and the industry leaders.

Improve and streamline communication of work and outcomes of regional groups and taskforce (Led by New Zealand, details in Appendix E)

2.14 The RCM TF has identified means by which existing communications methods within the region could be improved. Current challenges in effective communication include the vast geographic spread of the region across a wide time zone, and the composition of many diverse countries and territories as well as language and cultural differences. The levels of resourcing within States and the ability to engage with ICAO on the breadth of issues being canvassed, create significant barriers to effective communication.

2.15 Five principles of effective communication have been identified for this purpose, namely, clarity, attention, context, adequacy and consistency. In a scan of existing written communications against these principles, many of it are found wanting. This creates administrative burden for both senders and recipients, which could potentially be reduced and actions can be followed up on a timely basis.

2.16 While there are a variety of communication tools, it is important that ICAO APAC RO is able to disseminate and receive information to and from States in a timely and comprehensive manner. States also need to have an awareness of initiatives to improve the region's safety and security performance, in alignment with the various Global Plans. In addition, States should be able to learn from one another through understanding the context and issues some face, and the capacity/capability others have to assist those addressing challenging issues. Importantly, the diverse cultural characteristics of States should not become barriers to understanding needs.

2.17 The RCM TF recommends that coordinating, monitoring and reporting of the projects undertaken by the various groups be reviewed by ICAO APAC RO to make further improvements. Templates for reports, records of outcomes and actions from the meetings have been provided to simplify and provide clarity of meeting outcomes. Initiatives for ICAO APAC RO to enhance its communication channels with States/Administrations include streamlining and updating existing information repositories in the ICAO APAC secure site as well as maintaining a consolidated reference list of ICAO and States/Administrations focal points.

2.18 The State Letters as the main communication tool of ICAO with States/Administrations were assessed to be voluminous and lengthy. ICAO APAC RO should simplify State Letters by providing a summary of the content with clear actions and timelines for States/Administrations to meet. States/Administrations are also encouraged to consider setting up a system for the management of State Letters. Some practices shared by members include having a streamlined approach with a dedicated unit interfacing with ICAO and assigning the State Letters to the appropriate persons for their action. Clarity in the accountable persons and timelines are critical as well as the monitoring and oversight of the progress of actions taken.

### **3. NEXT STEPS**

3.1 The RCM TF will meet over the next year to undertake the final portion of its scope and provide a final report to the 57<sup>th</sup> DGCA Conference in 2020. It will use its findings from work done in the four areas to propose recommendations for the approach and roadmap to strengthen existing regional mechanisms towards capability and capacity building, and technical assistance based on the needs identified.

### **4. ACTION BY THE CONFERENCE**

4.1 The Conference is invited to:

- a) Note and comment on the review of existing mechanisms, governance, communications and provision of support done by the RCM TF;
- b) Note from the survey, the challenges in effective implementation in all five key areas and the gaps in the existing support, as well as the diversity of needs across the region. As such, assistance and support would have to continue to be more targeted and customised, instead of a one-size-fits-all approach;
- c) Consider the survey findings in the development of future plans for technical assistance;

- d) Endorse the governance approach outlined in this report, including use of the Terms of Reference (ToR) template by APAC regional groups to review existing and new ToR and for these groups to report the outcomes of these reviews to the DGCA Conference in 2020;
- e) Endorse the list of initiatives suggested to streamline the communication channels and for ICAO APAC RO to implement and for States/Administrations to consider adopting templates for reports and records of outcomes for regional groups, and best practices for the management of State Letters;
- f) Consider the identified support mechanisms for technical assistance and the enhanced roles of other IOs and industry to complement ICAO APAC RO efforts; and
- g) Urge ICAO APAC RO to play a more active role in providing support for technical assistance as well as monitoring and coordinating the work of WGs/TFs for the region.

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**Appendix A**

Taskforce to Strengthen and evolve existing regional mechanism for regional cooperation,  
towards capability and capacity building and technical assistance

Terms of Reference:

The 54th DGCA Conference has agreed to establish a new Taskforce to focus exclusively on strengthening and evolving existing regional mechanisms for regional cooperation, towards capability and capacity building and technical assistance.

Noting that:

- There is a continuing need to find improved means of coordination and support for many States/Administrations in the Asia and Pacific regions to build their capabilities to improve safety, security and air navigation;
- There are already a variety of regional activities under the leadership of the ICAO APAC Regional Office (RO) for co-ordination and co-operation of regional capability to meet the goals and targets of the GASP, GANP, GASeP and Regional Air Navigation Plans;
- Co-operative arrangements already exist for the regional development of capability and capacity building, the resource and funding efforts initiated and coordinated by the ICAO APAC RO, and that there exist bilateral and multi-lateral arrangements between States/Administrations for co-operation;
- There is scope to enhance and strengthen these mechanisms, to provide more effective support for the region, optimize regional resources and avoid duplication of effort, to achieve the region's priorities in an expeditious manner; and
- The Asia Pacific Civil Aviation Commission (APCAC) Taskforce has determined that there was insufficient basis to establish an APCAC;

The Taskforce will:

- a) Identify common and/or evolving needs of States/Administrations or a Group of States/Administrations in the APAC region for capability and/or capacity development;
- b) Identify and enhance common mechanisms for regional co-operation to prevent overlaps and duplication;
- c) Identify and enhance mechanisms for funding of technical assistance;
- d) Propose recommendations for the approach and roadmap to strengthen existing regional mechanism for regional cooperation towards capability and capacity building, and technical assistance;
- e) Identify opportunities to improve and stream line the communication of work and outcomes of various ICAO regional working groups and taskforce.

The Task Force will report on its work to the DGCA Conference.

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## Report of Survey Findings on Common and Evolving Needs of the Asia Pacific Region by the Regional Cooperation Mechanism Task Force (RCM TF)

### 1. INTRODUCTION

- 1.1 The Regional Cooperation Mechanism Task Force (RCMTF) conducted a survey to determine the common and evolving needs of the Asia Pacific region to deliver the regional priorities. Twenty-eight (28) States/Administrations (“respondents”) responded to the survey: -

Sub-region	Pacific	South East Asia	North Asia	South Asia
States / Administrations	Cook Islands	Brunei	China	Bhutan
	Fiji	Cambodia	Hong Kong, China	Pakistan
	Kiribati	Indonesia	Japan	
	Marshall Islands	Lao PDR	Macau, China	
	Nauru	Malaysia	Republic of Korea	
	Tonga	Philippines		
	Tuvalu	Myanmar		
	Vanuatu	Singapore		
	Australia	Thailand		
	New Zealand	Vietnam		
	United States			
<b>Total</b>	<b>16</b>	<b>11</b>	<b>7</b>	<b>8</b>
<b>Respondents</b>	<b>11</b>	<b>10</b>	<b>5</b>	<b>2</b>

- 1.2 The survey provides useful information for the ICAO Asia and Pacific Regional Office (APAC RO) and RCMTF on the needs of the region for more targeted recommendations to enhance and support States/Administration to deliver the regional priorities.

### 2. BACKGROUND

- 2.1 The survey covered five general areas: (1) Aviation Safety, (2) Aviation Security, (3) Air Navigation Services, (4) Human Resource Development and (5) Environment. A total of 37 needs, including all the ICAO USOAP and USAP critical elements (CEs) were listed to facilitate States/Administrations in their responses to the survey, with options for specific additional needs to be added outside the list. There are three sections to the survey for States/Administrations to indicate: (i) their needs in each of the areas; (ii) the availability of existing plans to address the needs, its effectiveness, challenges faced and gaps in expectations for support; and (iii) their training needs, preferred communication pathways and any other comments.
- 2.2 Details of States/Administrations’ responses to the survey for the list of needs are tabulated at Annex A.

### 3. SURVEY FINDINGS

#### Overview

- 3.1 A summary of the responses of the 26<sup>1</sup> States/Administrations of the needs in the five areas are shown in the table below.

<sup>1</sup> Clarifications are being sought on the surveys submitted by Nauru and Myanmar and are hence not included in the analysis.

Responses	Aviation Safety	Aviation Security	ANS	Human Resource	Environment
North Asia	7	11	9	5	3
Pacific	17	14	7	7	11
South Asia	7	2	3	4	1
South East Asia	19	12	13	11	10
<b>Total</b>	<b>50</b>	<b>39</b>	<b>32</b>	<b>27</b>	<b>25</b>

- 3.2 All the 37 needs in the survey list had at least one State/Administration indicating these as their needs except for item B11 under Aviation Security on the implementation of mitigation measures to counter insider threats. There were six additional needs that States/Administrations provided in the areas of aviation safety, aviation security and air navigation services (details in [Annex A](#)). As a region, the needs with high number of responses under each of the five areas are as follows:

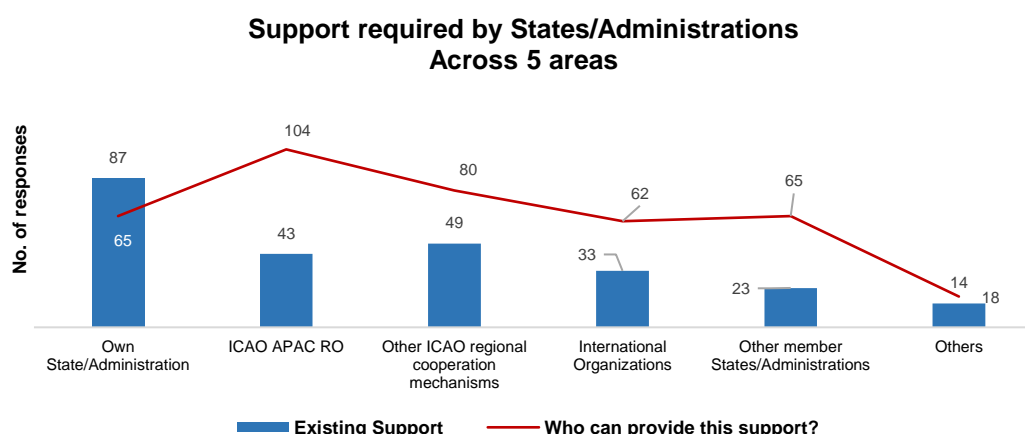
S/N	List of Needs	Respondents
<b>1</b>	<b><u>Aviation Safety</u></b>	
A9	Implementation of an effective SSP	12
A4	CE4 - Technical personnel qualification and training	11
A1	CE1 - Primary aviation legislation	5
<b>2</b>	<b><u>Aviation Security</u></b>	
B4	CE4 - Personnel Qualifications and Training	5
B9	Identification of cybersecurity threats and formulation of mitigation measures	
B1	CE1 - Primary Aviation Security Legislation	4
B2	CE2 - Aviation security programmes and regulations	
B5	CE5 - Provision of Technical Guidance, Tools and Security-Critical Information	
B6	CE6 - Certification and Approval Obligations	
B8	CE8 - Resolution of Security Concerns	
<b>3</b>	<b><u>ANS</u></b>	
C6	ATFM/CDM implementation for high density airports	7
C7	Inclusion of air navigation in National Development Plans and establishment of National Air Navigation Plan	6
<b>4</b>	<b><u>Human Resource Development</u></b>	
D3	Training needs analysis	10
D4	Attraction/Retention of aviation professionals	8
D1	Access to quality training	7
<b>5</b>	<b><u>Environment</u></b>	
E1	Implementation of CORSIA SARPS	15
E3	Establishment of State Action Plan	6

- 3.3 There is strong demand under Aviation Safety for the effective implementation of State Safety Programme and USOAP CE4 with also some having the need for CE1. Aviation Security does not have high responses for any particular need but instead, the needs are spread over seven areas of which six involve the USAP CE1, 2, 4, 5, 6, and 8, and mitigation measures on cybersecurity. The main need for ANS is for ATFM/CDM implementation and the establishment of national air navigation plan. For Human Resource Development training needs analysis, attraction/retention of aviation professionals and access to quality training had high responses. For Environment, more than half of the respondents cited the implementation of CORSIA SARPs as a need with some requiring assistance to establish their State Action Plan.

3.4 On the availability and effectiveness of implementation plans to address the needs identified for aviation safety and aviation security, about 70% have plans in place but the effectiveness is low at 17% and 35% respectively. For ANS, 84% of respondents have an implementation plan for the needs identified with about 41% of these plans assessed to be effective. For HR development, there are implementation plans for about half of the needs with effectiveness assessed to be just 38%. For Environment, there are implementation plans for more than 60% of the needs and half of these are effective. The results here indicate the need to focus on enhancing the effectiveness of implementation plans for all areas especially for aviation safety.

Implementation Plans	No. of responses				
	Aviation Safety	Aviation Security	ANS	HR Development	Environment
Needs identified	50	39	32	27	25
a) Available plans	35	28	27	13	15
	70%	71%	84%	48%	60%
b) Plans are Effective	6	10	11	5	8
	17%	35%	41%	38%	53%

3.5 On the gaps between existing and expected support across different sources for all areas as a whole, the biggest gap is with the ICAO APAC Regional Office, followed by other member States/Administrations, other ICAO regional cooperation mechanisms and international organisations in that order (see chart below). The support required are generally for technical expertise, advisory support, and for information sharing of best practices.



3.6 There are differences in the support required within each area of needs. For aviation safety, the main gap in support and expectation is from ICAO APAC RO. For aviation security and ANS, the largest gap is with other States/Administrations, followed by ICAO APAC RO, international organisations and other ICAO regional cooperation mechanisms in that order. For HR development environment, there are also gaps across almost all sources of support. See charts at [Annex B](#).

#### Analysis by Sub-regions

3.7 Sub-regional analyses were conducted for North Asia, South East Asia and Pacific to ascertain the commonalities at the sub-regional level. The sub-regional analysis excluded South Asia due to the low number of respondents. For the Pacific, as the demographics for Australia, New Zealand and United States are different from the rest of the Pacific, the analyses were done separately for the Pacific Island Developing States (PSIDS) and the other three States.

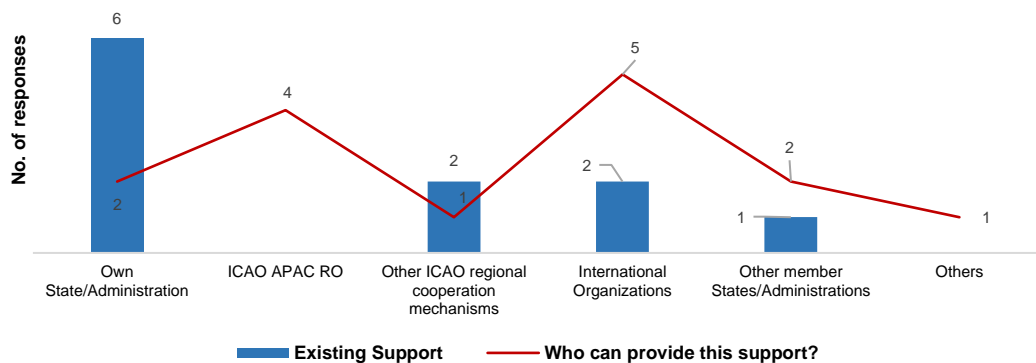
North Asia

3.8 The needs North Asia require in aviation safety are considerably less, in comparison with South East Asia and PSIDS, and these States/Administrations are generally self-sufficient in meeting the needs. This is also reflective of the high USOAP effective implementation scores for aviation safety in the region. Comparatively, the needs on aviation security and ANS are high in this sub-region. Aviation security needs cover a wide spectrum, similar to the trends in other sub-regions. Likewise, the needs in ANS cover the full list of 8 areas under this section. This could indicate the focus on ANS and aviation security in the sub-region with the high traffic volume. The States/Administrations are providing most of the ANS-related support on their own, with expectations for more support from ICAO APAC RO and international organisations in providing technical expertise and advisory support. Implementation plans are in place for most of the needs identified with a high assessment of effectiveness of between 60% and 80%.

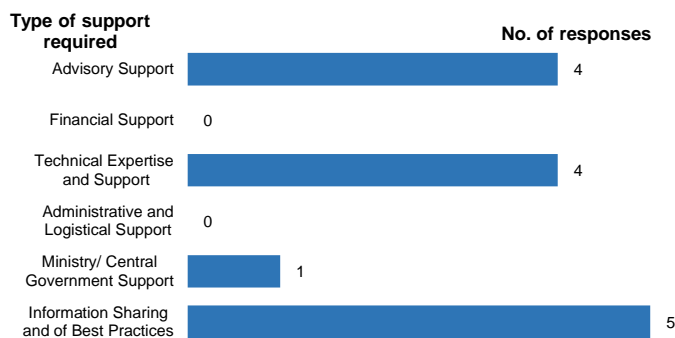
Implementation Plans	No. of responses – North Asia				
	Aviation Safety	Aviation Security	ANS	HR Development	Environment
Needs identified	7	9*	9	5	3
a) Available plans	5	9	9	4	2
	71%	100%	100%	80%	67%
b) Plans are Effective	3	7	3	2	2
	60%	78%	33%	50%	100%

\*There were 11 responses in Aviation Security, but 2 had no further details.

**ANS-related support required in North Asia**

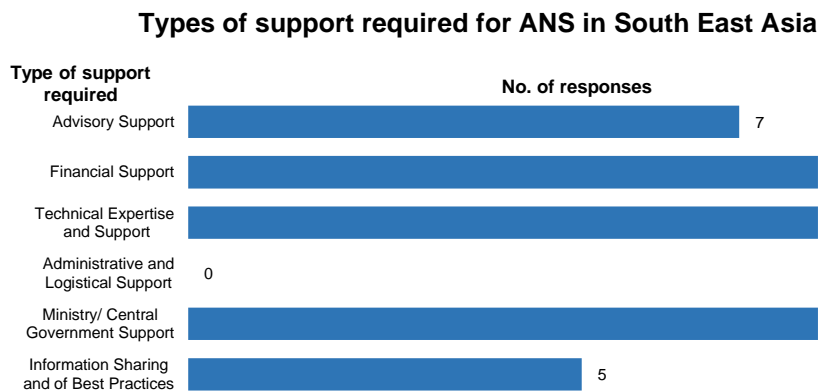
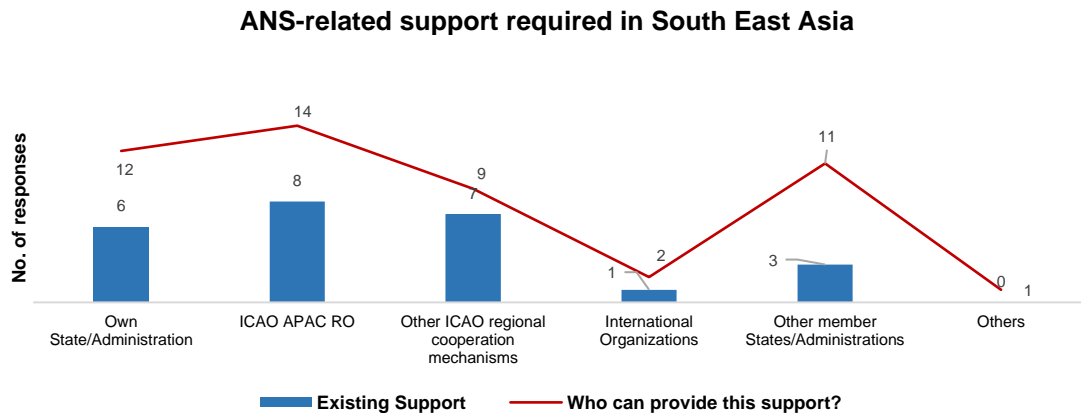


**Types of support required for ANS in North Asia**



## South East Asia

- 3.9 South East Asia's needs for ANS are highest among the sub-regions which could reflect the high traffic intensity and complexity in the sub-region. Like North Asia, these needs cover the full list of 8 areas identified. The gaps in existing support and expectations are highest with support provided from other States, followed by ICAO APAC RO, which ties in with the higher demand for support in ATFM/CDM implementation which requires collaboration across States. Technical expertise, advisory support, financial support and government support are identified as types of support required for ANS needs.



- 3.10 Needs in aviation safety are notably in the effective implementation of SSP, certification of international aerodromes, and USOAP CE 4 and 5. There are high expectations for support on the ICAO regional mechanisms, likely referring to COSCAP-SEA and also the ICAO APAC RO. Aviation security needs are comparable to other sub-regions, covering almost the entire list in the survey except for USAP CE 1-3. There are implementation plans in place for most of the needs identified for aviation safety and security but the effectiveness of these plans are low at less than 10%. Key needs relate to technical experts, advisory support, knowledge sharing and ministry and central government support with respondents indicating gaps for more support from ICAO APAC RO and its regional mechanisms.

Implementation Plans	No. of responses – South East Asia				
	Aviation Safety	Aviation Security	ANS	HR Development	Environment
Needs identified	19	12	13	11	10
a) Available plans	18	12	11	6	8
	95%	100%	77%	54%	80%

Implementation Plans	No. of responses – South East Asia				
	Aviation Safety	Aviation Security	ANS	HR Development	Environment
b) Plans are Effective	1	1	6	3	2
	5%	8%	55%	50%	25%

Pacific - PSIDS

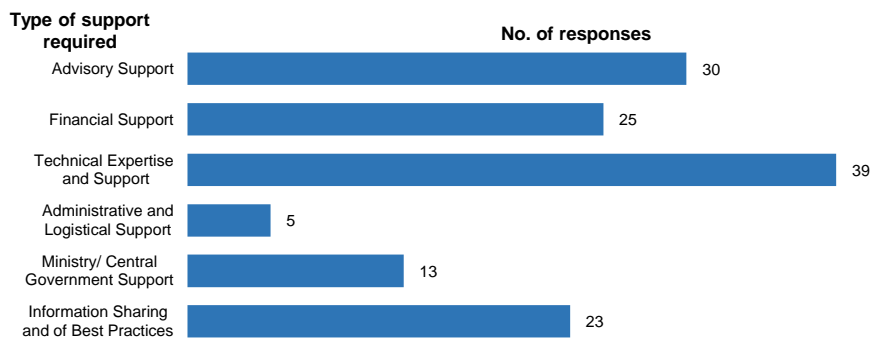
3.11 For the PSIDS, the needs in aviation safety identified are high, covering all the USOAP CEs except CE5 and 7. Likewise, there are needs for aviation security covering all the USAP CEs except CE5. There are few States with implementation plans for the needs identified and all available plans are assessed to be ineffective. There is also a significant gap between the support it is receiving and its expectations from the ICAO APAC RO, ICAO regional mechanisms and other States/Administrations in the technical expertise, advisory support, information sharing on best practices, financial support and government support.

Implementation Plans	No. of responses – PSIDS				
	Aviation Safety	Aviation Security	ANS	HR Development	Environment
Needs identified	15	12	5	6	7
a) Available plans	5	3	2	3	1
	33%	25%	40%	50%	14%
b) Plans are Effective	0	0	0	0	0

**Overall support required in PIDS**



**Types of support required in PIDS**



- 3.12 The needs identified in ANS are substantially less than other sub-regions, mainly in support to establish National Air Navigation Plans. This is likely because most PSIDS do not provide ANS themselves.
- 3.13 Separately, ICAO is conducting a PSIDS Aviation Needs Analysis study to identify the unique challenges of the sub-region and potential options to address these. The final report of this study will be provided in September 2019.

Pacific - Australia, New Zealand and United States

- 3.14 Across the three States, only a total of 11 needs were listed across all five areas, with each need unique to any one particular State except E1 on the implementation of CORSIA SARPS. There are existing effective plans for all the needs identified, except E4 on the attraction/retention of aviation professionals. This reflects the advanced aviation development of the three States.

<b>Ref.</b>	<b>Areas of Needs</b>
<b>1</b>	<b>Aviation Safety</b>
A1	CE1 - Primary Aviation Legislation
A9	Implementation of an effective State Safety Programme (SSP)
<b>2</b>	<b>Aviation Security</b>
B1	CE1 - Primary Aviation Security Legislation
B9	Identification of cybersecurity threats and formulation of mitigation measures
<b>3</b>	<b>ANS</b>
C2	Performance Based Navigation (PBN) implementation
C6	Air Traffic Flow Management/Collaborative Decision Making (CDM) implementation for high density airports
<b>4</b>	<b>Human Resource Development</b>
D4	Attraction/Retention of aviation professionals
<b>5</b>	<b>Environment</b>
E1	Implementation of CORSIA SARPS
E2	Establishment of Monitoring, Reporting and Verification (MRV) processes
E3	Establishment of a State Action Plan (SAP)

Other comments

- 3.15 Respondents also provided comments in the areas of training needs, preferred communication pathways and general matters. For training and assistance, specific examples of training required were listed with suggestions and offers of assistance, funding, and the PSIDS study. For communication, the general preference is via email, with a list of other wide-ranging channels such as state letters, tele-communications, tele-conferencing and the ICAO secure portal. The written responses are provided in Annex C.

**4. RECOMMENDATIONS**

- 4.1 There are no common needs at the regional level reflecting the diverse priorities and aviation development across the Asia Pacific region. The needs identified at the sub-regional level are also non-homogenous, spreading across a wide spectrum under each area of need. However, analysis at the sub-regional level does provide some insight to their peculiarities and the priorities. Assistance and support would have to continue to be more targeted and customised, instead of a one-size-fits-all approach.

- 4.2 States/Administrations expect ICAO APAC RO to play a bigger role in providing and coordinating support for the region. However, this support need not be confined to only one main source e.g. ICAO APAC RO. Support from industry and international organisations could complement the ICAO APAC RO's efforts.
- 4.3 PSIDS had highlighted significant areas of needs and indicated the lack of effective implementation plans for most. The survey provides insight that would be useful to the on-going PSIDS study that ICAO is conducting.
- 4.4 South East Asia indicated ANS as a top area of need with expectations for support among States for collaborative initiatives. There is a low rate of effectiveness in their existing implementation plans for aviation safety and aviation security. Support could be focused in the areas of technical expertise and guidance to the sub-region.
- 4.5 South Asian States are encouraged to respond to the survey if they have not done so, to enable an understanding of the sub-region's needs for more effective assistance.

## Asia Pacific States/Administrations Identification of Needs

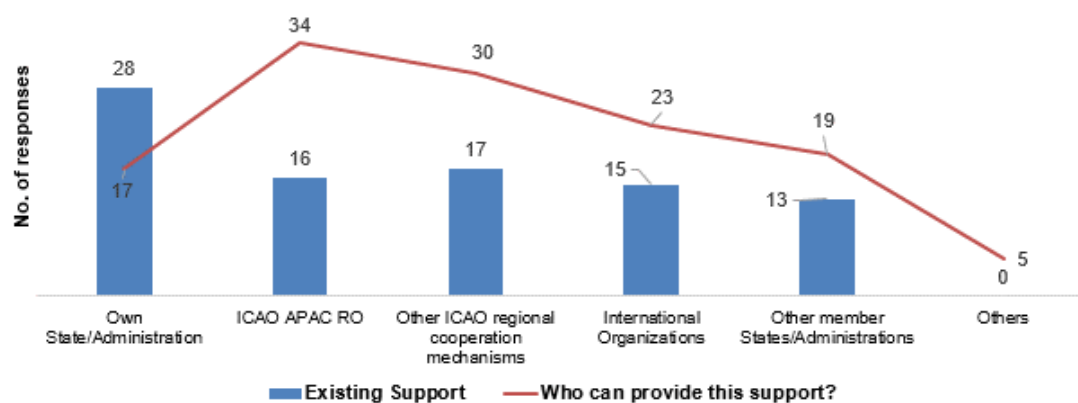
	Sub-regions	South East Asia	North Asia	Pacific	South Asia	Others	Total
<b>1</b>	<b>Aviation Safety</b>	<b>19</b>	<b>7</b>	<b>15</b>	<b>7</b>	<b>2</b>	<b>50</b>
A1	CE1 - Primary aviation legislation	2		2		1	5
A2	CE2 - Specific operation regulations	1		2			3
A3	CE3 - State/Administration Civil Aviation system and safety oversight functions		1	1			2
A4	CE4 - Technical personnel qualification and training	3	2	5	1		11
A5	CE5 - Technical guidance, tools and provision of safety-critical Information	3			1		4
A6	CE6 - Licensing certification, authorization and approval obligations		1	1	1		3
A7	CE7 - Surveillance Obligations				1		1
A8	CE8 - Resolution of safety concerns			1			1
A9	Implementation of an effective SSP	5	2	2	2	1	12
A10	Certification of all aerodromes used for international operations	3					3
A11	Inclusion of aviation safety in National Development Plans and Civil Aviation Master Plans, and establishment of National Aviation Safety Plan	1	1		1		3
A12	Others - SEA: Guidance on development of National Aviation Safety Plan, and its alignment with the APAC Regional Aviation Safety Plan; Pacific: Improving compliance with ICAO SARPS in preparation to ICVM.	1		1			2
<b>2</b>	<b>Aviation Security</b>	<b>12</b>	<b>11</b>	<b>12</b>	<b>2</b>	<b>2</b>	<b>39</b>
B1	CE1 - Primary aviation security legislation			3		1	4
B2	CE2 - Aviation security programmes and regulations		2	2			4
B3	CE3 - State/Administration appropriate authority for aviation security and its responsibilities			1			1
B4	CE4 - Personnel Qualifications and Training	1	1	2	1		5
B5	CE5 - Provision of Technical Guidance, Tools and Security-Critical Information	1	2		1		4

	Sub-regions	South East Asia	North Asia	Pacific	South Asia	Others	Total
B6	CE6 - Certification and Approval Obligations	2	1	1			4
B7	CE7 - Quality Control and Obligations	1	1	1			3
B8	CE8 - Resolution of Security Concerns	1	2	1			4
B9	Identification of cybersecurity threats and formulation of mitigation measures	2	2			1	5
B10	Identification of threats to airport landside security and implementation of mitigation measures	2		1			3
B11	Implementation of mitigation measures to counter insider threats						0
B12	Inclusion of aviation security in National Development Plans and Civil Aviation Master Plans, and establishment of a National Aviation Security Plan	1					1
B13	Others - SEA: Training for Aviation Security managers/personnel involved in security oversight, instruction and specialized areas such as national inspectors/instructors on cargo security	1					1
<b>3</b>	<b>Air Navigation Services</b>	<b>13</b>	<b>9</b>	<b>5</b>	<b>3</b>	<b>2</b>	<b>32</b>
C1	Transition from AIS to AIM System	1	1		1		3
C2	PBN implementation	2				1	3
C3	Establishment of common ground/ground telecommunication infrastructure to support ANS applications	2	1		1		4
C4	Enhanced level of civil/military cooperation	1	1				2
C5	Enhanced surveillance capability including ADS-B technology	1	1	1	1		4
C6	ATFM/CDM implementation for high density airports	3	3			1	7
C7	Inclusion of air navigation in National Development Plans and establishment of National Air Navigation Plan	2	1	3			6
C8	Others - SEA: Management Tools for ATM and Airport Operation (management software); NA: digital tower technology implementation; Improve working relationship for surveillance of Air Operator for safer working environment	1	1	1			3

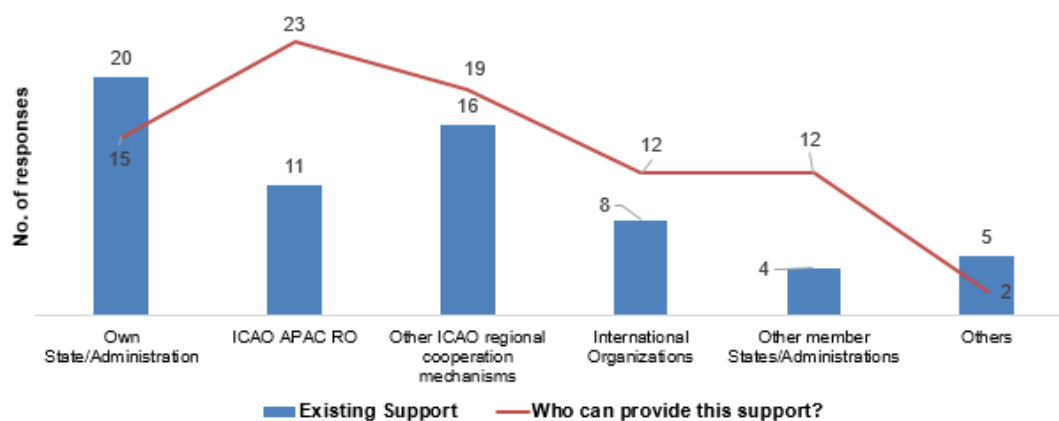
	Sub-regions	South East Asia	North Asia	Pacific	South Asia	Others	Total
<b>4</b>	<b><u>Human Resource Development</u></b>	<b>11</b>	<b>5</b>	<b>6</b>	<b>4</b>	<b>1</b>	<b>27</b>
D1	Access to quality training	2	1	2	2		7
D2	Access to resources through bilateral and/or multilateral arrangements including with industry partners	1			1		2
D3	Training needs analysis	6	1	2	1		10
D4	Attraction/Retention of aviation professionals	2	3	2		1	8
D5	Others, pls specify						0
<b>5</b>	<b><u>Environment</u></b>	<b>10</b>	<b>3</b>	<b>7</b>	<b>1</b>	<b>4</b>	<b>25</b>
E1	Implementation of CORSIA SARPS	6	2	4	1	2	15
E2	Establishment of Monitoring, Reporting and Verification (MRV) processes	3				1	4
E3	Establishment of State Action Plan	1	1	3		1	6
E4	Others, pls specify						0

## Overall support required across areas

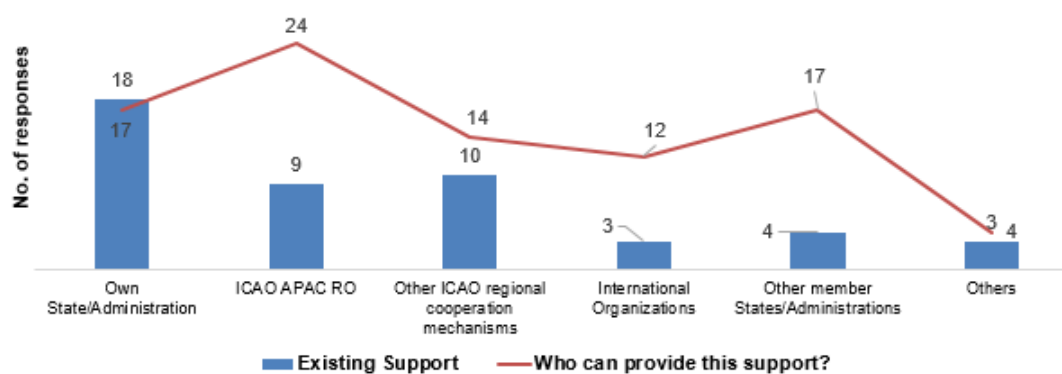
### Aviation Safety



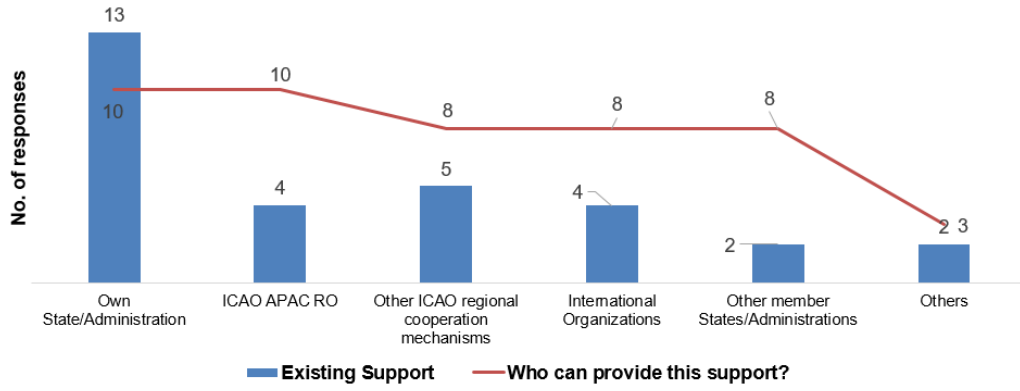
### Aviation Security



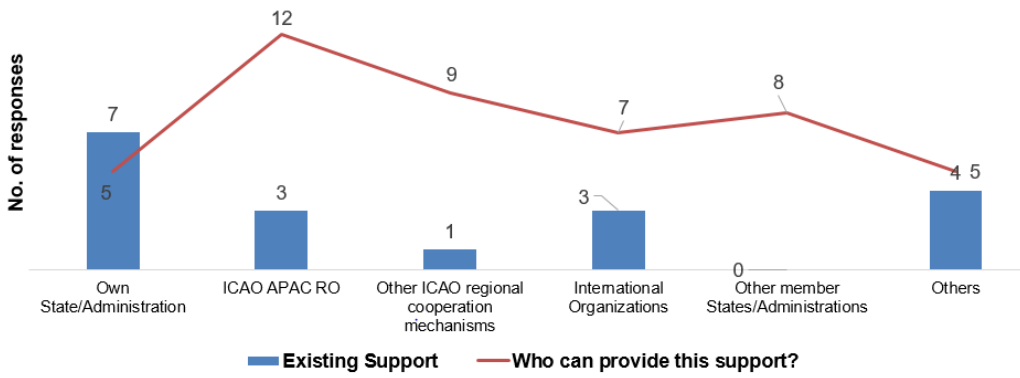
### Air Navigation Services



### Human Resource Development



Environment



**Verbatim responses of the survey on common and evolving needs – sections 3, 4 and 5**

Full responses provided in ICAO APAC RO's survey matrix [100 pg – separate document]

**SECTION 3: TRAINING NEEDS****Training needs**Aviation Safety

- Flight operation and Airworthiness oversight activities, quality assurance/control training (2)
- State Safety Programme (2)
- Aerodrome Certification Process (2)
- ICVM
- Basic Rescues and fire fighting
- Airport Emergency plan
- Ramp Safety management and operation
- Wildlife Hazard Management
- Fatigue Risk Management System (FMRS)
- Initial Simulator Certification;
- ECCAIRS for End Users and Technical Personnel
- GASP and NASP for top management

Aviation Security

- Cyber Security (3)
- Risk assessment (2)
- Crisis management, response, and recovery (2)
- Regular Training Course to train the USAP Auditor in order to support ICAO Audit Programme
- Annex 14 Volume II on heliport design and construction
- Security in airport design
- Landside security
- Vulnerability assessment on landside security
- Behaviour detection
- Maintaining the passenger experience at airports under increased landside security requirements
- Threat assessment;
- Facilitation
- Introduction to operation of security equipment for aviation security regulator
- ICAO AVSEC Professional Management Course
- ACC3 AVSEC Independent Validator
- AVSEC Management Course
- National Civil Aviation Security Programme (NCASP), National Civil Aviation Security Quality Training Programme (NCASQCP), National Civil Aviation Security Training Programme (NCASTP) Workshops

ANS

- Training for ATCs/Airport officers/Department of Civil Aviation Planning Officers (2)
- ATFN rules and regulations, operation procedures and system tools in the USA and Europe
- ATFM development plan
- civil/military training and cooperation
- PBN Procedure design
- Guideline for Digital Tower technology implementation
- The design and application of obstacle limitation surfaces from Annex 14, CNS and PANS-OPS flight procedures safeguarding perspectives
- Training for the ATFM Officers
- ANS Inspectors Trainings

- ASBU

#### Human Resource Development

- Knowledge, Skills and Abilities for Analytical Skills, Problem Solving and Planning
- Checklist for Training Needs Analyses
- Conducting an Organizational Analyses
- Training management;
- Quality management

#### Environment

- The implementation of CORSIA SARPs (4)
- MRV (3)
- Training ISO/IEC 17011:2004 “Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies” for National Accreditation Body

#### **Training in general**

- The Cook Islands will be undergoing a needs analysis with ICAO in early June 2019 and results will be known to ICAO/APAC, including PASO conducting a needs analysis of the State as well at end of June 2019.
- A CAA Training Manual is being developed which will identify the technical training requirements for Fiji. This is separate from the National Civil Aviation Security Training program.
- ICAO guidance in this area is lacking and as such international best practice is being explored.
- The funding for the training is limited from the Government of Kiribati. Some trainings were not approved by the Government due with the budgets.
- Only one aviation training organization (Singapore Aviation Academy) open its training to Kiribati.
- The list of courses required to be covered by personnel in order to be qualified should be provided.
- Documentation: guidance on developing standardized procedures, manuals, policies accordingly
- The whole aviation personnel are not qualified. This is an important issue.
- As we have developed our Training Need Assessment, New Zealand is the only place been identified to be the place for our staffs to be trained in order to obtain the required certification. However, funding is the main issue, but if there are other places apart from NZ can offer the same training required including funds, appreciate if Tuvalu can be notified.
- We can share our Training Need Doc if needed.
- Currently Civil Aviation Authority of Vanuatu (CAAV) is critically understaffed due to recent, restructuring and unforeseen circumstances beyond anyone’s control. 6 positions (Air Worthiness, ANS, Av.Sec, flight Operations (x2) and an executive assistant, will be advertised and filled shortly. There is a need for basic induction training for these candidates including few interested existing staff. From here they can be expected to undergo training each to their respective areas of expertise.
- On time / Advance Training for new SARPs.
- We need analysis to ensure that participants have correct competencies.
- We need to be informed/trained how to avoid poor designed training needs and how to determine the desired outcomes.
- It would be useful for ICAO to provide more clarity on the relationship between SSP and NASP, for States to better prepare and implement based on their local context.
- To enhance training for Aviation Security managers/personnel involved in security oversight, instruction, cargo security and for national inspectors and instructors to undertake their jobs.
- CAAP needs more qualified instructors on Aviation Security.
- Need support from ICAO COSCAPS to provide training for Thai CAA.
- AAT had sent the State Action Plan 2018 to ICAO and have the process to follow up the data both international and domestic aviation.
- Given to rapid growth of air transport and the increasing number of aircraft registered in Viet Nam

in the years to come, the CAAV gives priority to the human resources development focusing on qualified aviation professionals such as inspector (airport management, air navigation, aircraft operation and aviation security), air traffic controllers etc.. to sustain the development of the aviation sector, in compliance with the international standards.

- Technical Assistance in Capacity Building & Human Resource Development through training courses which otherwise is not within our reach, is the main area of priority. Moreover, our local training institute does not issue certification of ICAO. Sustainable system is ensured through properly trained and motivated officials which can increase compliance to International & National Regulations as aviation security is a specialized field.
- The United States/Federal Aviation Administration does not report any training needs, but offers the following observations:
  - o The APAC region is experiencing exponential passenger traffic growth and is predicted, by IATA, to leap frog ahead of the rest of the world within the next decade. While this has its economic benefits, lack of planning for this growth and political will on the part of regional States and their CAAs, raises safety concerns.
  - o The regional CAAs need to not only consider increasing resource numbers, but more importantly how to best allocate their resources and develop the workforce of the future. ICAO can support by providing means of safety knowledge sharing (training/workshops) between mature and emerging authorities. CAAs should be looking to the workforce of the future, one which understands and embraces safety management and promotes a just safety culture.
  - o At times, globalization of the industry also places an undue safety oversight burden on CAAs, requiring them to send inspectors around the world to conduct surveillance activities of suppliers or foreign certificate holders. The “upskilling” of regional authorities is also an important strategic objective both to satisfy domestic safety oversight needs and to provide technical assistance to other CAAs by conducting safety oversight activities on their behalf. This exchange of technical assistance is a model for the future that is here now and demands that we find ways to work more efficiently while eliminating duplicate non-safety value added activities and lessening the burden on industry, as well.

#### **Suggestions/offers of assistance**

- New Zealand’s focus in this area is the strong need for greater assistance for Pacific Island States to build their capacity and to meet their training needs. The challenges and effect of this is reflected in the low Effective Implementation scores many of these States have.
- New Zealand is strongly committed to assisting the APAC region, specifically Pacific Island States, through technical and capability building assistance. For example, conducting continuous monitoring approach training workshops in with the ICAO regional office to assist States in their reporting obligations and other support for aviation security development and capacity building.
- New Zealand’s collaborative approach to training achieves a sense of commitment and enthusiasm from those who attend, as well as continuous access to relevant subject matter experts. This way of working could be used as a model for the future. By working together at the workshops, States are also able to learn from others who are facing similar challenges. Despite this, there remains a high need for more practicable and scalable training opportunities for the Pacific.
- Owing to the multitude of technical assistance programmes available, States/Administrations may face difficulties identifying and prioritizing the types of training required for the various competencies. ICAO could play a greater role in facilitating States to:
  - o Match-make the demand of technical assistance with available resources and programmes
- Build access to technical expertise from industry and aviation service providers, etc.
- While the FAA does not have training needs, the FAA has both a training academy and the ability to provide training through ICAO vehicles to assist our regional partners in their training needs.

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## SECTION 4: COMMUNICATIONS

### **Preferred method of communication**

- Email (8)
- State Letters (2)
- Telephone (2)
- Secure website (2)
- ICAO secure portal (2)
- Teleconference/VOIP
- Facsimile
- Postal
- ICAO APAC RO
- PASO
- CAA NZ
- Seminar/Workshop
- State Secretariat of Civil Aviation of Cambodia needs the intranet system to use in communication internally

### **Other comments**

- The status quo is working adequately for New Zealand. However, the lack of reliable internet access/communication resources in some parts of the APAC region will likely continue to prove challenging as noted in Section 4. In some States, this can limit their ability to engage with ICAO frameworks, guidance and related resources, communication, and training opportunities e.g. not being able to upload evidence of work already completed as part of the USOAP.
- Communication is via the CAA Fiji Chief Executive. In addition, ICAO USOAP matters to also be addressed to the NCMC and for ICAO USAP matters to the POC, who will then disseminate as required.
- Preferred means would be to have training done at home so that training is for all instead of individual training of an officer as the latter tends to keep it to himself/herself. It is also more economical and it gives a better and clearer picture to the trainer on the facilities available. Local training is also more convenient as it will be compulsory for daily trainings.
- The status quo is working adequately for New Zealand. However, the lack of reliable internet access/communication resources in some parts of the APAC region will likely continue to prove challenging as noted in Section 4. In some States, this can limit their ability to engage with ICAO frameworks, guidance and related resources, communication, and training opportunities e.g. not being able to upload evidence of work already completed as part of the USOAP.
- All communications to be made to Director of Civil Aviation and not staffs.
- ICAO higher management is requested to pay a courtesy call to Transport and Finance Ministers of Malaysia in order to convince the Government to allocate appropriate fund to CAAM.
- ICAO is also recommended to organize more symposiums and/or workshops on regular basis for sharing of experience and best practices on implementation of ICAO initiatives.
- CORSIA
  - o To be provided research reports, technical reports and working reports as well as related models and data to assess the impacts of the implementation of CORSIA to individual states (especially developing countries)
- Japan has been engaging in ACT-CORSIA initiative as a donor state. Meanwhile, it sometimes happens that the coordination of the training sessions take much time. In this regard, Japan would like to seek for the continued assistance from ICAO APAC Office as it has been extended to us in various aspects.
- Planning to implement “CRV” in future.
- As the APAC region expands its fleet size to sustain the growth in air traffic, its CAAs have a safety responsibility under ICAO Annex 8 as SoRs but beyond this, they also have to maintain effective

communication channels with the SoD authorities for the products they are importing. This includes sharing of continued operational safety data with the manufacturers and the SoD CAAs to assure that the type design is maintained and product safety and reliability is managed. This may require regional CAAs to ensure that rules and mechanisms are in place for their operators to share operational safety data for the purpose of fleet safety management and type design management.

- Additionally, the region could benefit from more support from ICAO in sharing information across member States to enhance the safety oversight of air navigation services in the region.

## SECTION 5: ANY OTHER COMMENTS

### **Funding**

- ICAO Asia Pacific Regional Office in Bangkok requires additional resources to support the region to meet commitments in the Beijing Declaration on regional aviation safety and efficiency.

### **Training**

- Due to the untrained number of personnel under the directorate it is essential that we are able to mitigate and provide proper means to make it a better safe and secure airport.
- Please do not misunderstand my meaning but because we lack the number of trained personnel, it doesn't mean that we are not taking the necessary precautions. Personnel work and know what they are doing but we still lack to meet the requirements of having the proper manuals and sops etc. We are doing the best we can at the moment but to have it available or to make it available it would be a comfort to have this as the biggest support.
- needs more specific assistant to state in specific area of needs such as SMS/SSP implementation and so forth
- To design and prioritize the needs to pursue the National Safety Plan in line with Regional and Global Plan.
- The U.S. has seen benefit from regional seminars conducted by ICAO regional offices related to CORSIA SARPS and MRV – we would encourage ICAO Bangkok to offer this to States in the region with interest.

### **PANA study**

- ICAO has been very supportive of the Pacific Island State's needs, this has been evident in the assistance and capacity building it has been providing. There is a need to hear first-hand the issues of each State which we hope will be addressed in the PIS study to ensure that *No Country is Left Behind*.
- Fiji is supportive of the PIS study that will be conducted.

### **Collaboration**

- Lao DCA will further cooperate and coordinate with other States and International Agencies particularly ICAO RO and CASP AP in enhancing and improving aviation security by increasing Effective Implementation (EI) to the satisfaction level or meet GAsEP level.
- Close coordination and cooperation should be maintained between ICAO APAC RO and Member States/Administrations regarding technical assistance projects, which assist Member States/Administrations in building their own capability.
- CAAT needs ICAO to encourage the joint operations among regions to become more effectively. For example, State Authority syndicate on CORSIA.
- The Southeast Asia Region must have a working committee for CORSIA.
- Further, it is important for the regional CAAs to understand and embrace risk-based decision-making and effective delegation of authority to expert individuals and organizations. This includes optimizing reliance on bilateral partner authorities such as the FAA and eliminating duplicate, non-safety value added validation activities. ICAO can support this direction by promulgating risk-based, data driven validation principles and through the airworthiness manual and other relevant guidance, promote greater reliance on mature SoD civil aviation authorities such as the FAA.

### **Others**

- Australia is well placed to meet, at the national level, and inform, at the global and regional level, ICAO standards and plans.
- Australia also supports the work of the Asia Pacific Regional Taskforce to find improved means of

coordination and support for many States in the region to build their capacities to improve aviation safety, security and air navigation capabilities.

- The Cook Islands priority going forward in July 2019 to June 2020 is the USOAP and USAP EI score, including the review of outdated legislation that does not fulfil ICAO requirements, and look to be done within the next 2 years. Request an ICVM in 2020 if not an audit. Recruitment of CAA staff and training commencing 1 July 2019.
- Currently Kiribati is working with PASO in terms of providing Inspectors to carry out the surveillance in the country. When PASO cannot provide the assistance on time, the office will be looking out for other qualified personnel regionally and internationally as well.
- There is also a lack of workers and it is trying times to get workers. Why can't we have some of the area's personnel travelling around by helping provide the number we are looking for. For example, provide an exchange programme where we can send our own workers to another state where they can assist and share their experience or learn a thing or two before returning home. There are a lot of people in our region who have not seen the outskirts of their own local area nor have they travelled far within their own homeland. To have such a work environment where they are offered such choices as these for all of us in this pacific region, we as the people unified under this flag will make a lot of difference especially in keeping safe not just our homes but also our airports and other infrastructures. Let's all keep to watching the homes of our children for the future.
- Appreciate any form of help to address our current predicament.
- Thank you for APAC office for this important survey that is taking care of safety related issues that we most needed to improve our operation in Tonga.
- Review and update ICAO Doc 9137 Part 8
  - o Airport expansion requires careful planning for the interface between operational and work areas. The matter is briefly covered in ICAO Airport Services Manual (Doc 9137), Part 8 (Airport Operational Services), Chapter 8 (Control of Work in Progress on the Movement Area and Precautions to be Taken), which was published in 1983 and no update was published since then.
- With the constant growth in air traffic demand, it becomes common for States and Administrations to expand their existing airports to provide new infrastructure for handling extra capacity. With the guidance material written more than 35 years ago, an update would be necessary to provide current guidance as well as to expand the scope to address the complexity of conducting large scale works within or adjacent to an existing busy airport. Any relevant training course on aerodrome certification / operations may also address this matter.
- Lack of permanent position items for Aviation Security personnel may be addressed thru the on-going Reorganization Plan of the Authority.
- Increase the frequency of the seminar and regional workshop organized by ICAO or related especially on urgent topic. ICAO should support on capacity building urgently as there is the key factor on state's operations.

# Governance in Asia Pacific Regional Aviation Groups

## Overview

This paper outlines the ongoing importance of good governance to the operation of the various ICAO Asia Pacific Regional Aviation Groups (Groups) including those specifically tasked with coordination work in the region to build capability and performance.

The paper also provides a template Terms of Reference (ToR) that can be used by the various Groups to review their existing ToR and make improvements as necessary to enhance future regional governance, coordination and reporting arrangements.

## What is Governance?

*Governance encompasses the system by which an organisation is controlled and operates, and the mechanisms by which it, and its people, are held to account. Ethics, risk management, compliance and administration are all elements of governance. (Source: Governance Institute of Australia).*

Governance is often defined in terms of decision making powers or financial controls which may appear less relevant to existing regional structures in the Asia Pacific as some of these groups focus on sharing best practice or capability enhancement.

However, where governance is particularly relevant is ensuring groups deliver on their intended results or function, whether in a role of information sharing or regional representation. This includes various responsibilities for contributions to the development of regional targets and facilitating the implementation of regional and global targets.

An effective governance framework will support groups staying within their expected scope and, from a regional perspective, limit overlap and minimise gaps.

Governance controls are also established to ensure groups do not exceed any limited authorities, whether in making decisions or in making representations on behalf of the wider region without appropriate processes. These same controls can be used to assist groups in communicating more effectively within the region and through to global ICAO channels.

## Current levels of Governance in Asia Pacific Regional Aviation Groups

Surveys of current Groups indicate significant scope for improves governance performance. This includes feedback received by the current Regional Coordination Mechanisms Task Force and in the previous APCAC Task Force report to the 54<sup>th</sup> Director General Civil Aviation (DGCA) meeting in Mongolia in August 2017. The survey of regional groups by Singapore for the APCAC Task Force also provided a solid evidence base.

The feedback highlighted:

- Limited visibility and understanding of the number, range and focus of groups,
- Concerns over possible overlaps and duplication of tasks, or gaps in coverage,
- Low State attendance at regional fora,
- Limited use of governance controls including well developed terms of reference,
- Inconsistent communication across the region from groups, and
- Ineffective representation of the views and issues affecting the region to ICAO.

These factors limit the Asia Pacific's ability to coordinate and provide support amongst states in the region to build their capabilities and performance. It also leaves ICAO with a lesser understanding of challenges facing the region.

These same factors also provide opportunities for improvement in terms of future regional governance, coordination and reporting arrangements.

## Minimum governance requirements

There should be a common set of requirements for all Groups to meet governance standards, noting that these can be scaled depending on the size and complexity of the group.

All Groups should have **terms of reference**, which define their purpose, membership arrangements, decision making processes, lines of accountability and communication arrangements. Groups with an ongoing function also require periodic reviews of work plans and priorities.

Groups with decision making processes, should establish expectations regarding the level of consensus required versus more formal voting on decisions. If groups are expected to make representations on behalf of the region, then representative membership and minimum attendance needs to be considered.

In determining the hosting and type of meeting to be conducted, it is vital that the level of **secretarial support** for meetings be considered and agreed before the meetings. The secretariat is responsible for governance support and advice including;

- Collecting and distributing papers ahead of and after meetings including the agenda and workplan,
- Supporting the Chair of the Group,
- Developing and maintaining the record of meetings for the group, including identified action items with owners and dates for completion, and
- Any minutes developed should be provided to Chair for initial clearance and then provided to the group for approval before finalisation.

Who provides these services should be clearly set out having regard to the size of the task, the location of the meeting and the resource capability of stakeholders in the group.

For the Asia Pacific, subject to available resources, the ICAO Regional Office in Bangkok provides a strong base for performing the Secretariat role and hosting Group meetings. Other arrangements, such as holding meetings in the home State of the Group Chair are possible, but should only be considered after consultation with Group members and clear agreement on cost arrangements. Much of the work of these Groups should be done through teleconferencing and email.

Compliance with these requirements requires **effective oversight** of groups through agreed structures in the terms of reference.

These provide the authorizing environment to changes in role and scope while coordinating across the various groups to minimize overlaps and gaps while providing guidance on broader priorities. This also maintains accountability for regional representation and reporting.

A suggested template ToR for Groups is at **Attachment A** which can be used to review existing ToR or to create ToR for future Groups to help improve regional governance, coordination and reporting arrangements.

## Recommendations

1. The Taskforce recommends that in reviewing existing Terms of Reference (ToR) and in creating new ToR, that existing and future ICAO Asia Pacific Regional Aviation Groups use the attached ToR template at **Attachment A**.
2. That the ToR template be used to help enhance regional governance, coordination and reporting arrangements.
3. That Groups report the outcome of their ToR reviews to the ICAO Asia Pacific Regional Office, so that a progress report can be provided to the DGCA Conference in 2020.

## **TERMS OF REFERENCE TEMPLATE**

### **ICAO ASIA PACIFIC REGIONAL AVIATION GROUPS**

#### **SUMMARY**

All ICAO Asia Pacific Regional Aviation Groups (Groups) should have publicly available Terms of Reference (ToR) outlining their governance, operating and reporting arrangements.

This template provides an overview of six key features which should form part of the ToR of all Groups.

Not all of these features may need to be provided in detail, depending on the Group's role and functions, however preferably all would be covered in some form in the Group's ToR.

These key features are consistent with the generic ToR for Planning and Implementation Regional Groups (PIRGs) and Regional Aviation Safety Groups (RASGs), outlined by the Air Navigation Commission in its Working Paper WP/14903 and agreed with few amendments by the ICAO Council.

#### **1. PURPOSE**

This section should state why the Group was established, by whom, and its purpose.

The section should also advise as to whether the Group has an ongoing, permanent role or has been established for a specific period (e.g. one year) to complete a specific task for consideration by, for example, the Asia Pacific Director Generals of Civil Aviation (DGCA) Conference.

#### **2. MEMBERSHIP/PARTICIPATION**

This section defines the membership of the Group and provision for advisers and observers including representatives from other international and regional associations and industry.

An up-to-date membership list with names, agencies and contact details should be referenced in an Annex to the ToR.

The Section identifies office holders (e.g. Chair), how they are elected and their term of office.

#### **3. WORKING ARRANGEMENTS (including provision for sub-groups)**

This section outlines who is to provide the Secretariat to the Group, where and how meetings will be co-ordinated and hosted, how the outcomes of the meeting will be agreed through member consensus and then communicated, and the frequency of Group meetings.

This section defines the basis of the establishment of any sub-groups, their membership, and the tasks and timeframes for delivering and reporting their outputs to the Group.

Sub-groups should generally only be formed to complete a specific task in a defined time frame and/or where there is benefit in bringing together particularly aviation expertise.

Importantly, this section outlines how the Group will coordinate its activities with any other related Groups to increase the effectiveness of regional coordination and reduce the scope for unnecessary overlapping and duplication of work given finite resources.

#### **4. WORK PROGRAMME**

This section outlines the work programme of the Group and how the programme is to be formed, endorsed and monitored.

The work programme also outlines how it supports the implementation of the relevant global and regional aviation safety, air navigation and aviation security plans as appropriate.

The work programme can be an Annex to the ToR and should identify clear timeframes for when specific elements of the work program are due to be considered/completed, and who in the Group is responsible for the delivery of individual inputs and outputs in the programme.

## **5. REPORTING**

This section establishes who the Group reports to in the Asia Pacific Regional Aviation framework and how the Group will report and communicate its work to States/Administrations, industry and the community.

## **6. REVIEW**

This section establishes the process by which, and how often, the Group's ToR will be reviewed.

## SUPPORT MECHANISMS AVAILABLE AND THEIR APPLICABILITY

### 1. OVERVIEW

1.1 This paper lists the existing and potential funding and technical assistance provided within the ICAO framework and by non-ICAO entities, that are available to States/Administrations for capacity building. The paper also proposes enhancing industry involvement and participation to address the needs of the States/Administrations in the Asia Pacific (APAC) region.

### 2. FUNDING AND SUPPORT AVAILABLE FOR ASIA PACIFIC REGION

2.1 The consolidated list includes information for each funding mechanism such as sources of funding, eligibility criteria and application process, mapping them to the regional needs identified. A total of 21 sources of funding were identified, half within the ICAO framework. The consolidated list is at Annex A. The support available ranges from funding, contribution-in-kind such as training and financial support including loans and grants, although most are both in kind and financial support in the form of technical assistance.

2.2 Majority of the funding support within the ICAO framework is in the area of aviation safety enhancement and to a lesser extent in aviation security and ANS capacity building. For the 10 non-ICAO sources of funding, three are directly for aviation with the remaining seven being more generic and not exclusive for aviation.

2.3 The RCMTF agreed that it would be useful for ICAO to communicate the available support mechanisms to States/Administrations as well as to articulate priorities to donors/respective ICAO Bureaus to strengthen the support. The list could also be provided to ICAO working groups that are providing technical assistance such as RASG-APAC, APRAST, COSCAPs, RASCF and CASP-AP. States/Administrations are encouraged to consider the funding sources that are relevant to their needs and to consult the ICAO Regional Office for further information for those funding sources within the ICAO framework.

### 3. ENHANCE INDUSTRY INVOLVEMENT

3.1 The RCMTF discussed and agreed that there are benefits to engage the industry on a regular basis to enhance industry partners' participation in aviation development in the Asia Pacific region. The APAC Directors-General of Civil Aviation Conference (DGCA) and Industry Round Table discussions have been identified as possible platforms to engage the industry at a high-level.

3.2 For a start, it was agreed that the US and the ICAO APAC Regional Office would organise a high level Panel session at the 56<sup>th</sup> APAC DGCA Conference in August 2019. This purpose of this panel is to provide an opportunity for interactive and mutually beneficial discussion between the DGCA and the industry leaders.

### 4. RECOMMENDATIONS

4.1 The information in this paper could be added to the report of the RCMTF.

**Consolidated List of funding for the Aviation Sector Applicable for the Asia Pacific Region**

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
<b>I ICAO</b>				
<b>A Global support mechanisms</b>				
1	ICAO Safety Fund (SAFE)	Funding and Technical Assistance	Address serious safety deficiencies	<p>Applicants are required to submit a technical assistance proposal (refer to Annex B, Attachment A) for medium to large projects with the following: -</p> <ul style="list-style-type: none"> <li>• Introduction - Background and justification, objectives linked to ICAO Strategic Objectives, description of assistance, expected outcome, fulfilment of SAFE Fund project selection criteria</li> <li>• Scope – activities, outputs/deliverables, schedule</li> <li>• Resources - Required expertise, number and assignment, estimated costs, Potential for partners – donors of funds and/or contributions in kind</li> <li>• Project progress, results indicators, implementation risks and mitigations</li> </ul> <p>Application through ICAO <a href="mailto:safefund@icao.int">safefund@icao.int</a>            Contact ICAO APAC RO (<a href="mailto:apac@icao.int">apac@icao.int</a>) for information and guidance on application</p>
2	Aviation Safety Implementation Assistance Partnership (ASIAP)	Funding for Technical Assistance	Advance safety implementation	<ul style="list-style-type: none"> <li>• ASIAP serves as a framework for coordinated efforts that contribute to the provision of assistance to States.</li> <li>• Comprises of stakeholders that voluntarily contribute to assisting States and/or Regional Organizations facing challenges in resolving safety deficiencies</li> <li>• Application through ICAO ASIAP at <a href="mailto:IMP-SAF@icao.int">IMP-SAF@icao.int</a> .</li> </ul>
3	Technical Cooperation Administrative and Operation Services Cost (AOSC) Fund	Funding for Technical Assistance	Safety implementation	<ul style="list-style-type: none"> <li>• Administrative charges levied for Technical Cooperation Projects (on cost recover basis) are administered by ICAO through the Administrative and Operational Services Cost (AOSC) Fund</li> <li>• AOSC is not a regular source funding.</li> <li>• Funds are allocated for specific technical assistance needs of a State with approval of ICAO under on the merits of the need.</li> </ul> <p>Contact ICAO APAC Regional Office (<a href="mailto:apac@icao.int">apac@icao.int</a>) for guidance</p>

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
4	ICAO Programme for Aviation Volunteers (IPAV)	Technical Assistance	Short term assistance to resolve deficiencies in the discharge of oversight role	<ul style="list-style-type: none"> <li>• ICAO TCB has a special voluntary fund to finance IPAV projects in full or partially</li> <li>• Skilled and experienced volunteers will be engaged through ICAO to provide short term (1 – 3 weeks) assistance to States in the performance of specified tasks related to their field of expertise, for a specific period of time.</li> </ul> <p>Request for assistance to be sent to ICAO TCB at <a href="mailto:OfficeTCB@icao.int">OfficeTCB@icao.int</a> by the State for review to determine the scope of work and corresponding resources needed to respond to the request</p> <p>Contact ICAO APAC Regional Office (<a href="mailto:apac@icao.int">apac@icao.int</a>) for guidance</p>
5	Developing Countries Training Programmes (DCTP) Fellowships	Sponsorship for training courses	Training in safety, security, ANS	ICAO State Letter will be sent to all eligible States with the list of fellowships, courses offered with the application website of the sponsoring State. Applicants will be required to create an online account and complete the application endorsed by their government.
6	China South-South Cooperation Assistance Fund	Technical Assistance	Sustainable development	<ul style="list-style-type: none"> <li>• ICAO delivers the ‘Civil Aviation Authority Senior and Middle Managers Training Course on Managing Compliance in ICAO SARPS’ (CAASMMTC- MCIS), funded by China South-South Cooperation Assistance Fund in ICAO regions.</li> <li>• ICAO Global Aviation Training (GAT) Office and APAC Regional Office, in consultation with States finalize the annual training programme and inform the selected States</li> </ul>
<b>B Regional support mechanisms</b>				
7	Cooperative Development of Operation Safety and Continuing Airworthiness Programme – South Asia (COSCAP-SA)	Technical Assistance	Safety capacity building for respective sub-regions	<ul style="list-style-type: none"> <li>• Technical Assistance is provided by each COSCAP to its respective member States/Administrations (Members: COSCAP-SA – 7, COSCAP-SEA – 11, COSCAP-NA – 6)</li> <li>• Funded by respective members and donors</li> </ul>

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
8	Cooperative Development of Operation Safety and Continuing Airworthiness Programme – South East Asia (COSCAP-SEA)	Technical Assistance		States/Administrations should contact respective Chief Technical Advisor/Programme Coordinator direct  COSCAP-SA CTA/PC - <a href="mailto:marie.zubryckyj@coscap-icao.org">marie.zubryckyj@coscap-icao.org</a> COSCAP-SEA CTA/PC - <a href="mailto:MVreedenburgh@icao.int">MVreedenburgh@icao.int</a> COSCAP-NA CTA/PC - <a href="mailto:wayne.loe@coscap-icao.org">wayne.loe@coscap-icao.org</a>
9	Cooperative Development of Operation Safety and Continuing Airworthiness Programme – North Asia (COSCAP-NA)	Technical Assistance		
10	Cooperative Aviation Security Programme – Asia and Pacific Region (CASP-AP)	Technical Assistance	Security capacity building	<ul style="list-style-type: none"> <li>• Technical Assistance is provided by CASP-AP to its member States/Administrations (28)</li> <li>• Funded by the members and donors</li> </ul> Contact CASP-AP at <a href="mailto:RAS04901@icao.int">RAS04901@icao.int</a> or Programme Coordinator/ Senior Aviation Security Advisor at <a href="mailto:kbarter@icao.int">kbarter@icao.int</a>
11	Asia-Pacific Flight Procedure Programme – Asia Pacific (FPP APAC)	Technical Assistance	ANS capacity building for implementation of Procedure Based Navigation (PBN)	<ul style="list-style-type: none"> <li>• 10 active and 10 user States on-board the Programme.</li> <li>• Active States are required to fund the programme through annual contributions and participate as Steering Committee members.</li> <li>• User States may use the Programme but bear certain expenses for assistance provided to them.</li> </ul> Application for assistance by Member States/Administrations to FPP APAC at <a href="mailto:mulan@icao.int">mulan@icao.int</a>
<b>II Non-ICAO Entities</b>				
1	Pacific Aviation Safety Office (PASO) for 10 Member States	Technical Assistance Services	Provides regulatory aviation safety and security services	PASO's technical assistance services are provided to their Member States. Contact PASO Office at <a href="mailto:info@paso.aero">info@paso.aero</a> .

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
2	European Union-South Asia Partnership (EU-SAP) Project	Technical Assistance	Improve safety and enhance environment protection/climate change in aviation	<p>A dedicated Project for South Asia States, focuses on: -</p> <ul style="list-style-type: none"> <li>• enhancing relations between South Asian and European institutions in the field of civil aviation;</li> <li>• increasing technical exchanges between the South Asian and European aviation industries;</li> <li>• supporting South Asia in developing its capacity for safety oversight; and</li> <li>• improving the environmental performance of the South Asian aviation sector</li> </ul> <p>Project implementation period December 2016 – 2020  Contact: Technical Cooperation Regional Manager – South Asia, European Union Aviation Safety Agency at, <a href="mailto:simon.sheldon@easa.europa.eu">simon.sheldon@easa.europa.eu</a></p>
3	European Union-South East Asia Aviation Partnership Project (EU-SEA APP)	Technical Assistance	Improve safety and enhance environment protection/climate change in aviation	<p>A dedicated Project for all SEA States to provide technical assistance to enhance political, economic and environmental partnership. The Project focuses on: -</p> <ul style="list-style-type: none"> <li>• enhancing policy dialogue and stronger institutional links;</li> <li>• safe and more harmonised market for aviation industry; and</li> <li>• raising the standard of environmental protection and climate change action.</li> </ul> <p>Contact: EU South East Asia APP Project Manager, European Union Aviation Safety Agency at <a href="mailto:raquel.sanz@easa.europa.eu">raquel.sanz@easa.europa.eu</a></p>

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
4	United Nations (UN) Green Climate Fund (GCF)	Loan, grant, equity, guarantee and project management	Climate change related areas	Applicable for Simplified Approval Process (SAP) for project that is ready for scaling up, and has the potential for transformation to adapt and/or mitigate to climate change; require a GCF contribution of up to USD 10 mil; and have minimal environmental and social risks and impacts. Online application for funding through the State's Accredited Entities (AE) or National Designated Authorities (NDA) at <a href="https://apps.gcfund.org/">https://apps.gcfund.org/</a> with submission of a concept note with General information; Environmental and social screening (ESS) checklist; Project/programme summary; Project/programme details; Indicative financing/cost information and Focal point. (Refer to Annex B, Attachment A for details). For projects that are more than \$10m, applicants will need to submit a concept note with the Project/programme summary, Project/programme information, Indicative financing/cost information and supporting documents (Refer to Annex B, Attachment B). Completed concept note should be sent to <a href="mailto:fundingproposal@gcfund.org">fundingproposal@gcfund.org</a> .

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
5	UN Global Environment Facility (GEF)	Funding	Address pressing environmental problems	<p>4 types of project under the GEF fund:</p> <ul style="list-style-type: none"> <li>• Full-sized project (stand-alone or child)</li> <li>• Medium-sized project (child/Project One-step or Project Two-Steps_</li> <li>• Enabling activity</li> <li>• Programme</li> </ul> <p>Criteria to be eligible: -</p> <ul style="list-style-type: none"> <li>• Country <ul style="list-style-type: none"> <li>○ has ratified the conventions the GEF serves and conforms with eligibility criteria decided by the Conference of the Parties of each convention; or</li> <li>○ eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2).</li> </ul> </li> <li>• National priority</li> <li>• GEF priorities</li> <li>• Financing</li> <li>• Participation</li> </ul> <p>Applicants are required to complete templates (Refer to Annex B, Attachment C) for their project/programme and send them to their respective State's GEF Focal Point. The full list of GEF Focal Points by States are at <a href="https://www.thegef.org/focal_points_list">https://www.thegef.org/focal_points_list</a>.</p>

S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
6	Asian Development Bank Fund	Grants	Infrastructure projects, policy support, production capacity, human development, environment, governance, regional cooperation	<p>Currently, 18 Developing Member Countries (DMC) are classified as concessional assistance only, 15 of which are eligible for ADF grants. Only DMCs with moderate to high risk of debt distress are allocated ADF grants. These DMCs fall under one of three groups based on risk of debt distress:</p> <ul style="list-style-type: none"> <li>• "grants-only" countries;</li> <li>• "ADF-blend" countries, which have access to both the ADF grants and concessional OCR loans (COL); and</li> <li>• "COL-only" countries.</li> </ul> <p>States will need to contact their State's respective Asian Development Bank (ADB)'s headquarters or resident mission to request for support. The contact list of ADB's headquarters or resident mission can be found at <a href="https://www.adb.org/contacts/main">https://www.adb.org/contacts/main</a>.</p> <p>Details could also be obtained from respective State Finance Ministry</p>
7	World Bank - International Bank for Reconstruction and Development; and - International Development Association	Loans, guarantees, risk management products and advisory services to low income States	Infrastructure, economic regulation support, policy dialogues, safety and security oversight, PPPs of airports and airlines	<p><u>International Bank for Reconstruction and Development:</u> (application information is not available)</p> <p><u>International Development Association:</u> Eligibility criteria:</p> <ul style="list-style-type: none"> <li>• Relative poverty defined as GNI per capita below an established threshold (updated annually). In fiscal year 2019, this was \$1,145.</li> <li>• Lack of creditworthiness to borrow on market terms and therefore have need for concessional resources to finance the country's development program.</li> </ul> <p>Applicants can contact World Bank's headquarters or country offices to request for support. The contact list of World Bank's headquarters or country offices can be accessed via <a href="http://www.worldbank.org/en/about/contacts">www.worldbank.org/en/about/contacts</a>.</p> <p>Details could also be obtained from respective State Finance Ministry.</p>

8	World Bank International Finance Corporation	Loan, equity, financing, advisory services and asset management services	Focused on private sector participation in developing States	<p>IFC provides support in the following forms: -</p> <ul style="list-style-type: none"> <li>• Loans</li> <li>• Equity</li> <li>• Trade and supply chain finance</li> <li>• Syndications</li> <li>• Treasury client solutions</li> <li>• Blended finance</li> <li>• Venture capital</li> <li>• Advisory</li> <li>• IFC asset management company</li> </ul> <p>Eligibility criteria for projects: -</p> <ul style="list-style-type: none"> <li>• located in developing country that is IFC member;</li> <li>• Be in the private sector;</li> <li>• Be technically sound;</li> <li>• Have good prospects of being profitable;</li> <li>• Benefit the local economy; and</li> <li>• Be environmentally and socially sound, satisfying our environmental and social standards as well as those of the host country.</li> </ul> <p>IFC does not lend directly to micro, small, and medium enterprises or individual entrepreneurs, but many of investment clients are financial intermediaries that on-lend to smaller businesses. Applicants will be required to submit an Investment Proposal containing: -</p> <ul style="list-style-type: none"> <li>• Brief description of the project;</li> <li>• Sponsorship, management &amp; technical assistance;</li> <li>• Market &amp; sales;</li> <li>• Technical feasibility, manpower, raw material resources &amp; environment;</li> <li>• Investment requirements, project financing, and returns;</li> <li>• Government support &amp; regulations; and</li> <li>• Timetable envisaged for project preparation and completion</li> </ul> <p>Completed proposal to be submitted via mail to: International Finance Corporation 2121 Pennsylvania Avenue, NW Washington, DC 20433 USA</p>
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S/N	Support Mechanism	Support Provided	Area of support	Description of Support Mechanism/ Application Procedure
				Or via email to <a href="mailto:MAnnanBrown@ifc.org">MAnnanBrown@ifc.org</a> (Mame Annan-Brown) and <a href="mailto:ESymons@ifc.org">ESymons@ifc.org</a> (Ms Emma-Kate Symons). Details could also be obtained from respective State Finance Ministry.
9	Sustainable Finance Collective (SFC) Asia	Funding Platform	Circular economy; sustainable energy;	<p>Eligibility criteria to qualify for funding:</p> <ul style="list-style-type: none"> <li>• Minimum funding amount of USD15 million for Circular Economy and Sustainable Energy Proposals. Funding Panel will consider and encourage Proposals for significantly larger.</li> <li>• Minimum funding amount of USD5 million for Social Impact Proposals. The Funding Panel will consider and encourage Proposals seeking amounts that are larger.</li> <li>• Proposals must be implemented in Asia have a positive impact.</li> <li>• Proposers may refer to the UNDP Environmental and Social Guideline and the 2012 IFC Performance Standards for Environmental and Social Sustainability and the applicable World Bank Group Environmental, Health and Safety Guidelines as minimal standards for mitigation of negative impact.</li> <li>• Proposals can be from all sectors except for nuclear power, the weapons industry, coal mining, coal-fired power plants, and the tobacco industry.</li> <li>• At least 25% of funding raised must be used within 3 months of receiving funding and remainder used within 9 months of receiving the funding, unless otherwise agreed upon on a proposal-by- proposal basis.</li> </ul> <p>Proposals are to be submitted via the submission section of the SFC Asia website (<a href="http://www.sfc-asia.com/uploadentry">www.sfc-asia.com/uploadentry</a>) – refer to proposal template at Annex B, Attachment. However, currently not accepting new applications.</p>

<b>S/N</b>	<b>Support Mechanism</b>	<b>Support Provided</b>	<b>Area of support</b>	<b>Description of Support Mechanism/ Application Procedure</b>
10	Asia Pacific Economic Cooperation (APEC) Transportation Working Group	Support in kind	Policy regulations; development of supply chains, corporate social responsibility, free and open trade	<p>APEC projects are funded from one of a number of project funding accounts and are selected on a competitive basis against established eligibility and scoring criteria.</p> <p>Projects typically include workshops, symposia, publications and research. They are open to participation from all 21 APEC member economies.</p> <p>Most APEC projects are focused on transferring knowledge and skills between members and building capacity so that each APEC member economy can move closer towards the Bogor Goals of free and open trade and investment.</p> <p>Applicants will need to submit a concept note and project proposal (refer to template at Annex B, Attachment E).</p>

## Communication Platforms and Mechanisms across the Asia-Pacific region

### Background and Context

At the face-to-face meeting of the Task Force for strengthening and evolving existing regional mechanisms for regional cooperation, the effectiveness of current communication platforms and methods was discussed. The meeting concluded that identifying means by which existing communications methods could be improved would be one way of effectively improving regional cooperation.

Currently, a variety of ‘tools’ are used for communications, including (and not limited to):

- Web-based platforms (e.g., APAC and the secure portal)
- State letters
- APAC newsletters
- APAC meetings (see <https://www.icao.int/APAC/Meetings/Pages/default.aspx>)
- e-documents (e.g., regional air navigation plans)
- training programmes
- face-to-face meetings.

The list above is not exhaustive. It simply serves to demonstrate the variety of communication methods employed to convey information and to encourage regional and sub-regional cooperation.

All communications are in English — the first language for some States, and a second language for many.

### Critical Issues

Effective communication methods are critical to:

- the ICAO Regional Office being able to disseminate and receive information to and from States in a timely and comprehensive manner
- States having awareness of initiatives to improve the regions’ safety and security performance, as well as the performance expectations ICAO is setting for States through the various Global Plans (e.g., the Global Aviation Safety Plan, the Global Air Navigation Plan, etc.)
- States being able to learn from one-another through understanding the context and issues some face, and the capacity/capability others have to assist those addressing challenging issues
- Ensuring that the diverse cultural characteristics of APAC states do not become barriers to understanding needs with respect to improving regional safety performance.

The underlying assumption for this stream of work of the Task Force is that strengthening and enhancing effective regional cooperation is dependent on effective communication.

### Barriers to Effective Communication

Effective communication is a dynamic process that is responsive to how we both send and receive information. The APAC region is complex:

- It is geographically spread, reaching from Afghanistan in the west to China and Mongolia in the north and the Pacific Islands and New Zealand to the east and south
- It includes 42 countries and territories with:
  - a wealth of cultural and linguistic diversity
  - diverse levels of economic development
  - differing national and strategic interests
  - diverse levels of adoption and implementation of ICAO Standards and Recommended Practices
  - diverse civil aviation sectors in terms of size, scale, and types of aviation activity
  - differently resourced and developed National Civil Aviation Authorities
  - differing political and legal structures.

The differences between the States themselves create barriers to effective communication. Language and cultural differences are obvious immediate barriers. However, the levels of resourcing within States, the distance for some States to ICAO regional offices, and the ability to engage with ICAO on the breadth of issues being canvassed create significant barriers to effective communication.

### **Principles of Effective Communication**

A number of scholarly articles discuss the principles of effective communication. Most articles identify between five and ten principles that support effective communication. For the purposes of this stream of work, five principles are identified and defined, which if adhered to, would ensure communications are more likely to be effective. The principles are:

1. **Clarity** — that is the idea being communicated is in easily understood and written in accessible language
2. **Attention** — that is that the author of the information or message thinks carefully about how to stimulate the interest of the recipient when writing the message (in other words, the author of a communication is thinking carefully about the audience, how to get their attention, and is not making assumptions about the recipients knowledge or understanding of the subject matter, or its importance to the recipient)
3. **Context** — that is the communication includes information that enables those receiving it to understand the circumstances that have given rise to the communication and thus why it is important
4. **Adequacy** — that is the communication includes all relevant information ensuring that the recipient is clear about why the communication is being sent, what the critical points or issues are, the actions that are expected of them, and the timeframes in which they must respond or act, and how to communicate to the author
5. **Consistency** — that all forms of communication are consistent with these principles (Clarity, Attention, Context, Adequacy and Consistency).

If existing written communications are assessed against the five principles, many of the communications are found wanting. For example, in a review of correspondence issued by the Regional Office following the 3 to 5 September 2018 APANPIRG meeting, at least 16 State Letters were issued. The letters, in addition to the final report of the meeting, required States to note and take

action as appropriate. However, none of the letters contained much information that provided context, nor were they clear about the nature of the actions required of States, why and by when.

From a States' perspective, 16 letters create:

- A significant administrative burden to with respect to allocating the letter to a person to action, tracking the action, and then responding to the Regional Office
- The opportunity for poorly coordinated responses
- The opportunity for actions to “tick box” — that is the State focusses in simply replying to the letter, not taking the action that is being sought.

Similarly, from the Regional Office perspective, 16 letters:

- Generates a significant administrative burden (16 letters, for 42 states means the regional office is tracking 672 responses)
- Results in poor quality responses containing inadequate information, leading to significant follow-up work to get responses
- Results in duplication as the letters reflect the content of the final report and its findings and recommendation.

Staying with this example, and applying the principles listed above, effective communication would have resulted in a single piece of correspondence that:

- Stated that the purpose of the State Letter was to:
  - Provide States with the final report from the APANPIRG meeting
  - Advise States of the actions arising from the meeting that they need to take
  - Advise States of the information or actions they need to note
  - Seek information on the steps being taken by States to address the actions arising from the meeting by a specified date
- Summarise the actions States were being asked to take
- Provided a template and a single date for response
- Included the final report for reference and context.

The administrative burden for both the Regional Office and States would be reduced, there would clarity about what is expected of States, and the timeframes and a means by which information ought to be provided back to the Regional Office.

### **Coordination**

As with communication, enhancing coordination between and within working groups hinges around clarity. Terms of reference for the various types of working group need to be clear, with clearly articulated purpose statements, defined scope of activities, and defined mechanisms for coordinating work and responses to requests for information or action.

Annex D provides guidance on how coordination can be enhanced for working groups.

### **Information Repositories**

To help States more effectively engage with the Regional Office, streamlining and restructuring existing information repositories would be helpful. Currently, the ICAO APAC secure site holds information repositories for:

<b>APAC Sure Portal Site</b>	<b>Date or Time of last modification (as 8 January 2019)</b>	<b>Comments</b>
APANPIRG Meetings	APANPIRG/25, 8–11 Sept 2015	
APAC ASTC Coordination	Inaugural Asia Pacific Aviation Security Training Centre Cooperation meeting 22 May 2013	
Annual Safety Reports	Annual Safety Report 2016	
Pacific Collaborative Capacity Building	Regional Capacity Development Meeting, Auckland, NZ 14–15 March 2013	
RASCF-APAC Meetings	RASCF-APAC/6, Sixth Regional Aviation Security Coordination Forum Asia-Pacific Region, 3–4 July 2018	
RASG-APAC Meeting	RASG-APAC/8, Eighth Meeting of the RASG Asia-Pacific Region, 6–7 September 2018	
State Letters	AP001-19-ASF Risk Management Workshop, 6 January 2019	For calendar year 2018, over 124 State Letters are included on this sub-site. The letters are a mixture of advisory letters (e.g., those advising of workshops, secondment opportunities, etc.) and letters requiring specific actions by States, or seeking specific advice from States
CNS More Documents	Frequency List No.1, issues May 2017	
Meetings (including lists)	APANPIRG List, last modified 3 years ago RASCF List, last modified 6 months ago RASG-APAC list, last modified 6 months ago	

	Workflow tasks, last modified 3 years ago	
Meetings (including libraries)	Document libraries with modifications ranging from 4 months ago to 3 years ago	Note: document libraries include libraries for RASG, RASCF, APANPIRG meetings

Information repositories are aids to effective communication when they are current, consistent, and easy to navigate. The Secure portal elements are not up-to-date; or hold information in an unstructured and difficult to navigate way (for example, the State letters element). These need to be structured and managed to support effective communication.

### **Recommendations**

It is recommended that:

1. Five principles of effective communication be adopted and applied to all APAC region communications, those principles being:
  - a. Clarity
  - b. Attention
  - c. Context
  - d. Adequacy
  - e. Consistency
2. Adopt the attached template (Annex A) for all formal reports from meetings, workshop groups, etc.
3. Adopt the attached template (Annex B) for recording the outcomes of meetings
4. Adopt the attached template (Annex C) for all State letters
5. Consideration be given to streamlining and simplifying communication arising from forums such as APANPIRG, RASG, RASCF, etc., such that actions required of States arising from meetings are sent out in one single communication, with the finalised meeting report (consistent with the measures outlined in Annex D)
6. Document and communication repositories be revised, restructured and kept current; and
  - a. That the State Letters repository be structured such that it logically groups letters according to whether they:
    - i. Advise of training and development workshops and seminars
    - ii. Are seeking specific actions from States in relation to proposed changes (e.g. to the Global Air Navigation Plan) or recommendations arising from meetings
    - iii. Are reports from working groups, task forces, etc.
    - iv. Information papers only
  - b. That repositories relating to APANPIRG, RASG, RASCF, and DGCA meetings be structured according to reports and actions required of States, and be

- i. kept current
    - ii. organised in a way that is easy to access, use and understand
  - c. That resourcing of the ICAO Regional Office be sufficient to enable it to effectively curate and manage the information repositories on an ongoing-basis
7. The ICAO Regional Office provide a single list of ICAO focal points and that each State provides information to ICAO about who (individuals or offices) are the contacts for the focal points
  8. That the ICAO Regional Office create and maintain a consolidated reference list of focal points requested of individual States.

Annex A: Report Template

**Report** — [title of meeting/workshop/seminar/etc.]

**Date and Place of Meeting** —

**Purpose and Context of Meeting**

[brief description that describes the context of the meeting, and its purpose or objectives]

**Outcomes of the Meeting**

[a summary of what was achieved — the key decisions made]

**Actions Arising from the Meeting**

[a succinct listing of the actions arising, the dates the actions need to be completed by, who needs to complete the actions, and how and who to report the completion of the actions to]

<b>No.</b>	<b>Action</b>	<b>Date Due</b>	<b>Action to be implemented/completed by:</b>	<b>Action Implementation or completion is to be reported to:</b>	<b>Report date &amp; method:</b>
1.0	[describe the action]	[date the action is due to be implemented or completed by]	[the state or organisation or working group or person that is to complete or implement the action]	[The person and organisation to whom advice on progress in implementing the action, or completion is to be reported]	[The date by which the report is to be provided, and by what means (e.g., formal reporting document, email, etc.)]

**Participants**

<b>Name</b>	<b>Organisation</b>
Chair	
Vice Chair	
Member	

Annex B: Record of Meeting Outcomes Template

**Record of the Outcomes of the Meeting**

[for each agenda item, record the outcome, a single paragraph of text summarising the key points arising from the discussion at the meeting (with additional information recorded as necessary)]

<b>No.</b>	<b>Outcome</b>	<b>Summary of Key Issues Discussed</b>	<b>Other Comments</b>
1.0	[record the outcome of the discussion for the agenda item]	[in one or two paragraphs that summarises the key issues discussed]	[record specific comments individual states request be recorded in relation to the discussion — generally where there is a disagreement or dissenting view with respect to the agreed outcome]

Annex C: Proposed Template for State Letters

**Purpose:** [state the purpose of the letter — for example: whether it is an invitation to attend a meeting, advice about a changed requirement, etc]

**Action required:** [summarise the action required of the State]

**Deadline for Response:** [state the deadline by which the State is required to reply]

**Contact Points in the State:** [list the contact points within the State the letter has been sent to, in order to enable a State to coordinate its response]

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**Substance of the letter** — this section should provide the detailed information that relates to the summary information above.

Annex D: Strengthening Coordination and Alignments amongst and between working groups and task forces

**1. Forming a Systematic Means in Treating Cross Sub-group Conclusion & Decision**

Riding on the analysis carried out by a Small Working Group on effectiveness of empowerment to Sub-groups, the Small Working Group recommended to enhance the mechanism in treating Cross Sub-group Conclusion/Decision by the following: -

- a) *There should be clear indication in “Who” item of the box as to which Sub-group (can be more than one for Cross Sub-group Conclusion/Decision) to be responsible for the Conclusion/Decision. Currently, there is only a generic “tick” for Sub-group, which seems inadequate for cross Sub-group situation*
- b) *ICAO to indicate clearly in the report of the Sub-group meeting on how the cross Sub-group Conclusions/Decisions to be coordinated and endorsed*
- c) *ICAO to deliberate on a systematic workflow, if appropriate, for treating cross Sub-group Decisions/Conclusions*

Hong Kong China would like to provide our further recommendation on this subject.

To cater for the case of Conclusion/Decision involving multiple Sub-groups, under the “Who” item in the template for Conclusion/Decision, it should be expanded to include names of all Sub-groups, so that all the relevant Sub-groups to be involved can be ticked. Besides, the template should allow a provision to indicate which Sub-group to take lead (Lead Sub-group) and the Match Sub-group(s), so that the Lead Sub-group should coordinate with Match Sub-group(s) in formulation of the Conclusion/Decision. For example, the below template shows our recommended text (marked in red) to be inserted to the template:

Title of Conclusion/Decision					
What: xxx	Expected Impact <input type="checkbox"/> Political / Global <input type="checkbox"/> Inter-regional <input type="checkbox"/> Economic <input type="checkbox"/> Environmental <input type="checkbox"/> Ops / Technical				
Why : xxx					
When : xxx			Status : Draft to be adopted by Sub-group		
Who : <input type="checkbox"/> Sub-groups <input type="checkbox"/> APAC States <input type="checkbox"/> ICAO APAC RO <input type="checkbox"/> ICAO HQ <input type="checkbox"/> Others :					
Cross Sub-group <input type="checkbox"/> Yes <input type="checkbox"/> No					
	AOP	ATM	CNS	MET	RASMAG
Lead	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Match	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

During formulation of the Draft Conclusion/Decision at the Task Force/Work Group level, the Task Force/Work Group should determine if the Draft Conclusion/Decision will involve multiple Sub-groups. In such case, the Task Force/Working Group should propose the Draft Conclusion/Decision as “Cross Sub-group” in nature by ticking the box in the template. The Task Force/Working Group should also propose and tick the “Lead Sub-group” and the “Match Sub-group” (can be more than one) in the boxes of template. In proposing such, it is expected that the Lead Sub-group should coordinate with the Match Sub-group(s) to ensure alignment of wordings of the Draft Conclusion/Decision before it is endorsed.

The Secretariat of the originating Task Force/Work Group should seek views/comments from the Chairperson of the Lead Sub-group on the proposal. Upon agreement, the Chairperson of the Lead Sub-Group should task the Secretariat of the Lead Sub-Group to coordinate with the Secretariats/Chairpersons of relevant Match Sub-group(s) and associated Task Force/Work Groups to initiate discussion on the Draft Conclusion/Decision. The Chairpersons of relevant Match Sub-group(s) and associated Task Force/Work Groups would determine if it is appropriate to invite working papers to be presented in their meetings to facilitate discussion on the Draft Conclusion/Decision. It is expected that the Secretariat of the Lead Sub-group should play a key role in coordination with relevant Match Sub-group(s) and associated Task Force/Work Groups to review and finalize the Draft Conclusion/Decision, so that it can be submitted to the Lead Sub-group for endorsement.

It deems unavoidable that the success will be hinged on the coordination work among the ICAO Secretariats. For example, the Secretariat of the originating Task Force/Work Group would join the meetings of the Lead and Match parties, as far as practicable, to explain and provide information for discussion. In case decision cannot be reached, formation of a small working group across Sub-groups should be considered as an effective means of coordination.

In consideration of the complexity and multiple parties involved, there is a need for ICAO to develop a systematic workflow in treating Cross Sub-group Conclusion/Decision. The workflow should also cater for scenarios when disagreement exists between the Lead and Match parties.

## **2. Establishing a Centralised Project Registrar and Assigning Ownership to Each Initiative**

For the implementation of each initiative in enhancing efficiency, capacity and safety of air navigation service, there are often various associated tasks under the same initiative. In many cases, tasks are assigned in the form of Conclusions as agreed by APANPIRG or its Contributory Bodies. However, when one task is done from the perspective of one party, e.g. after a State Letter is issued by ICAO, there may be other outstanding tasks under the same initiative.

To enhance oversight of project progress and implementation, it is recommended that each initiative to be defined as a “Project” which should be assigned to and owned by a Lead Sub-group or Task Force / Work Group with defined timeline. Each task under the same initiative should then be grouped under the “Project”. The idea is in line with the concept of “project management principles” which was discussed in APANPIRG Contributory Bodies Structure Review Task Force (ABSRTF) meeting in 2015. The Lead Sub-group or Task Force / Work Group should work with ICAO to ensure appropriate action is being / will be taken by relevant States with timeline, which forms part of the oversight on project progress.

For the above purpose, it is recommended that a project registrar listing all the projects to be established and maintained by the Secretariat on behalf of APANPIRG. Regular review could then be conducted by APANPIRG, its Sub-groups or Task Force / Work Groups as appropriate.

### 3. Identifying Working Partners of Task Force and Work Groups to Achieve Common Objectives

In the current establishment of the Task Force / Work Groups under APANPIRG (see Appendix 1), some of the Task Force / Work Groups are closely related in their work in terms of achieving common objectives in enhancing efficiency, capacity and safety of air navigation service. They can be classified as “working partners” so that they can be brought to collaborate closer to work on such specific objectives. For example: -

Item	Objectives / Projects	Involved Task Force / Work Groups	Reference in APAC Seamless ATM Plan (V2.0)
1.	Linking ATFM with A-CDM at high density airports to provide enhanced ATFM	ATFM/SG APA-ACDM/TF	Para 7.32 & 7.55
2.	Making use of CRV to support SWIM implementation	CRV/OG SWIM/TF	Para 5.66
3.	Making use of SWIM to share ATFM data	SWIM/TF ATFM/SG	Para 5.43
4.	Making use of SWIM to share MET data	SWIM/TF MET/IE/WG	Para 5.30
5.	Making use of SWIM to share aeronautical data	SWIM/TF AAITF	Para 5.12
6.	Making use of SWIM to share surveillance data	SWIM TF SURICG	Para 5.43
7.	Making use of DAPS to support ATM and MET applications in enhancing ATC operation	DAPS/WG SEACG & SAIOACG MET/IE/WG	Para 7.39
8.	Enhancing surveillance and DCPC VHF coverage to support reduced separation for air traffic routes	SURICG ACSICG SEACG & SAIOACG	Para 5.17 & 7.39
9.	Making use of surveillance technology to support UAS detection	SURICG APUAS/TF	Para 5.40
10.	Making use of AIDC to reduce LHD hotspots	APA/TF RASMAG	Para 7.43

11.	Integrating UAS into ATM to enhance ATC operation	APUAS/TF SEACG & SAIOACG	Para 5.40
12.	Integrating MET into ATM to enhance ATC operation	MET/IE/WG SEACG & SAIOACG	Para 5.29

In line with the recommendation under paragraph 2 above, one of the Task Force / Work Group involved should be designated as the Leading party subject to the discussion and consensus by the relevant Contributory Bodies. Through coordination work among the ICAO Secretariats, such “working partners” can strengthen their communication in terms of working on the specific objectives. For example, the Secretariats can organize tele-conferences/meetings among chairpersons of the “working partners” to derive collaborative plans with tasks and timelines in achieving the objectives. Small working groups may be considered to be created among the “working partners” to work on the tasks based on the collaborative plans.

#### 4. Streamlining Status Reporting

Currently, States/Administrations are requested to provide status reports on various initiatives from time to time to facilitate monitoring of progress of implementation. In some cases, reporting on similar items is called for at different times. For example, States/Administrations have been requested to provide the following update: -

- a) to update the information in the AIM Transition Table at least once annually, by 30 April each year [Re Conclusion APANPIRG/25-15]
- b) to provide a documented status report on the implementation of Asia/Pacific Regional Plan for Collaborative AIM monitoring elements in the forthcoming AAITF/14 to be held in 20-24 May 2019 [Re State Letter AP161/18 (ATM) dated 23 November 2018]
- c) to submit Regional AIM Plan Monitoring and Reporting Form by 1 March 2019 [Re State Letter AP166/18 (ATM) dated 24 December 2018]

As both States/Administrations and ICAO Regional Office (RO) have to go through their respective internal processes to collect and consolidate the information required, it is recommended that the reporting mechanism and timing for all the status reports and updates be aligned across APANPIRG and its Contributory Bodies, and a single annual reporting mechanism be established in order to streamline reporting by avoiding duplicated efforts, to enable APANPIRG and its Contributory Bodies to have a better picture on the overall and latest air navigation planning and implementation performance in this region, as well as to reduce workload of both ICAO RO and State/Administrations. Further, the mechanism should feature electronic reporting means similar to that used for Seamless ATM Reporting and a single cut-off date. It is suggested that the updates should be collected by around March each year prior to Mid-year Review Meeting of APANPIRG.

#### 5. Strengthening the role of ICAO Regional Office

This region sees the need to enhance route capacity and airspace to accommodate the traffic growth. To this end, it is necessary to revamp operation procedures as well as utilize new technology such as PBN. Accordingly, the region has agreed on the Seamless ATM Plan which contains various initiatives. However, the implementation progress of Seamless ATM Plan has not been satisfactory, despite repeated urges under the Ministerial Conference, APANPIRG and DGCA Conference.

Considering the slow progress, a stronger steering force is required. Until another body is established for this purpose, the ICAO Regional Office seems to be in the best position to provide this steering role and therefore, it is recommended that ICAO Regional Office should take a more proactive role on the coordination of the projects across the contributory bodies of APANPIRG, and monitor and report on implementation progress to all APAC ICAO States. It is noted an Action Item (55/41) from the 55<sup>th</sup> DGCA Conference noted the challenges and resource constraints faced by the Asia Pacific Region and request ICAO to allocate an appropriate increase in the next triennium (2020 – 2022) budget for the Asia Pacific Regional Office to strengthen ongoing implementation activities in the region to fulfil the commitments made in the Beijing Declaration. It is suggested that this Action Item should be firmly and perseveringly pursued.

Annex E: Additional Resources for Management of State Letters

**Handling of ICAO State Letters – Hong Kong, China**

1. The CAD of Hong Kong, China has set up a dedicate office under the Air Services & Safety Management Division (ASMD) and acts as the focal point of contact with ICAO on aviation related matters.
2. The CAD has registered a dedicated e-mail address ([hkcad\\_icao@cad.gov.hk](mailto:hkcad_icao@cad.gov.hk)) with the ICAO to receive ICAO correspondences electronically. The recipients granted access to this email address a team of several dedicated staff including the Head of ASMD at Assistance Director-General level to handle ICAO correspondence.
3. State Letters from ICAO (HQ/RO) are generally of the following nature:
  - I) Invitation to events;**
  - II) Adoption/proposal for amendments of Annex/Doc;**
  - III) Request of information from State/Administration; and**
  - IV) Others.**

Depending on the actual contents/key issues concerned, copies of the State Letters will be distributed to the subject CAD Divisions for consideration and comments. Other government department of Hong Kong, China may also be notified when necessary, e.g.

- i) the Hong Kong Observatory for Meteorological matter,*
- (ii) the Immigration Department/ Customs and Excise Department for matter concerning Facilitation/Aviation;*
- (iii) the Department of Health for matter concerning public health;*
- (iv) the Department of Justice for legal matter; and*
- (v) the Transport & Housing Bureau for matter concerning air transport liberalization/air services agreement.*
- (vi) industry partners including airlines, maintenance organizations, airport operator, etc.*

4. A **Registry System** for all ICAO State Letters is maintained. Information regarding action taken in response to the particular State Letter, action party and deadlines are all included to facilitate the timely and effective reply to ICAO.

5. In relation to Item 3. II) above, a **systematic workflow** has been devised and adopted in handling State Letters concerning the **Adoption of Amendment of Annexes** in a timely manner. The timeline is created from the receipt of the above mentioned State Letters to the final replies from CAD. Internal actioning parties, as well as tasks to complete by stages, are clearly defined. Similar to the handling the Adoption of Amendment of Annexes, the workflow also applies on the **annual review of differences on SARPs filed to ICAO**.

6. Such handling procedures are recorded in an office manual endorsed by the Assistant Director-General of ASMD and reviewed from time to time.

### Handling of ICAO State Letters – Singapore

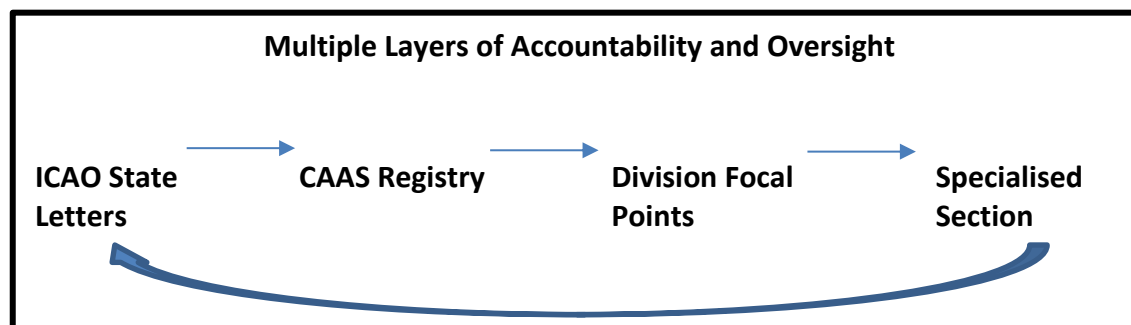
1. Singapore's handling of State Letters is based on three principles: (i) streamlined workflow; (ii) multi-layers of accountability; and (iii) constant improvements. These principles form the foundation of our system to ensure timely and comprehensive responses to ICAO State Letters.

#### (i) *Streamlined Workflow*

2. A specialised section of the Registry is established as the first-line to receive and sieve out ICAO State letters, categorising them based on the source, and assigning each letter to lead Divisions. Each Division has a formally-appointed officer – the Division Focal Points (DFP) for ICAO matters.

3. All ICAO State Letters with the assigned Division DFPs are uploaded into an integrated Document Management System (DMS) which tracks and manages the responses to State Letters. For ICAO State Letters involving multi-Divisions, all the relevant DFPs would be assigned with a clear indication of the lead Divisional DFP, who will be responsible for consolidating all inputs from the other relevant Divisions. The DMS alerts the DFPs of new State Letters alongside its deadline, requirements and general description.

4. The DFPs perform a second-level assignment of the ICAO State Letter to the specialised section within the Division. The subject matter experts assess, recommend the follow up actions to address the ICAO letters, track the progress of the actions, account for the completion of the actions to senior management and respond to ICAO. The DMS System requires responses to be uploaded onto the DMS, accessible to the senior management, before the ICAO State Letters can be closed internally and taken off the tracking system. This streamlined workflow is illustrated in Figure 1 below.



**(ii) Multi-layers of Accountability and Oversight**

5. There are multi-layers of oversight in the process. Besides the automated tracking at the DMS's level, the formal appointment of DFPs assigns responsibility and accountability to monitor and track the progress on responding to all ICAO State Letters related to the Division. The DMS aids DFPs by providing automated updates on approaching and overdue deadlines on State Letters.

6. Concurrently, Directors exercise oversight over the DFPs, with the DMS providing updates electronically of the progress on ICAO State Letters under their respective Divisions. This oversight extends to the level of Directorate, with a Monitoring Report consolidated and submitted to them on a monthly basis by an independent neutral Division. This multi-layered system provides for accountability to the DFPs with further oversight exercised by Directors and the Directorate ensures the ICAO State Letters are responded timely and appropriately.

**(iii) Constant Improvements**

7. There is a process in place for suggestions and feedback to improve the system to be evaluated and implemented. Some improvements made included improvements to the automated reminder function on the DMS to better account for ICAO State Letters with multiple deadlines. In terms of structure, the DFP structure has been kept agile by leaving Divisions to organise themselves flexibly according to the most efficient structure of their preference, be it a centralised or dispersed.

8. There is no one-size-fits-all system to manage ICAO State Letters as every State/Administration system would have to be adapted to its own unique circumstance. Nonetheless, the three principles of streamlined workflow, multi-layers of accountability, and constant improvements are useful as a foundation for developing a system that best meets their needs.

*For further information, please contact Mr Gary Chew at [gary\\_chew@caas.gov.sg](mailto:gary_chew@caas.gov.sg).*