ASIA/PACIFIC AIR NAVIGATION PLANNING AND

IMPLEMENTATION REGIONAL GROUP (APANPIRG)

PROCEDURAL HANDBOOK

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RECORD OF AMENDMENT

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FOREWORD

1. Introduction

1.1 The Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG) Procedural Handbook is an informal publication prepared by the Secretariat, intended to provide, for easy reference of interested parties, a consolidation of material, particularly of a procedural nature, about the work of the APANPIRG and its contributory bodies[1]. It contains the Terms of Reference of the APANPIRG recommended by the Air Navigation Commission and approved by the Council of ICAO. It also contains the working arrangements and internal instructions developed by the Group for the practical application of its Terms of Reference.

1.2 The document describes; Terms of Reference; Composition; Position within ICAO; Working Arrangements; Rules of Procedure and Practices governing the Conduct of Business.

1.3 The framework of Part and Sections headings in addition to the page numbering has been devised to provide flexibility and the facilitation of the revision of additional or new material. Each Part includes an Introduction giving its purpose and status. A Table of Contents is also provided which serves also as a subject index and as a check list for the current pages.

1.4 All pages bear the date of issuance. Replacement pages will be issued as necessary and any portion of a page that has been revised will be identified by a vertical line in the margin. Additional material will be incorporated in the existing Sections or will be the subject of new Sections, as required.

1.5 For practical reasons, this shall not be applied to title pages or to the routine insertion and deletion of Conclusions and Decisions. The absence of change bars, when data or page numbers have changed, will signify reissue of the section concerned or rearrangement of text (e.g., following an insertion or deletion with no other changes).

1.6 The Procedural Handbook will be distributed to Members and Observers of APANPIRG, the ICAO Secretariat, and to other States and international organizations participating in meetings, contributing to, or having interest in the work of the APANPIRG and/or its contributory bodies.

[1] Refer to paragraph 4 of Part I for additional information

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ASIA/PACIFIC AIR NAVIGATION PLANNING AND IMPLEMENTATION REGIONAL GROUP (APANPIRG)

PROCEDURAL HANDBOOK

PART I

TERMS OF REFERENCE, COMPOSITION AND POSITION IN ICAO OF THE APANPIRG

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1. Background

1.1 The Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG) has been established by the ICAO Council in 1991 [C-MIN.133/18, 26 June 1991].

1.2 This Section sets out the Terms of Reference of the APANPIRG and its position with in ICAO. These guidelines will govern the APANPIRG's working arrangements including relation with States, International Organizations and ICAO specialized regional bodies, the Rules of Procedure for the conduct of its meetings and those of its contributory bodies.

2. Terms of Reference of the APANPIRG

2.1 The Terms of Reference of APANPIRG was approved by the Council of ICAO in 6th Meeting of its 171st Session on 27 February 2004 and revised consequent to the decision of the Council [C-DEC 183/9, March/April 2008 and C-WP/13558, C190/4 25 May 2010]. The Membership and Terms of Reference are as follows:

2.1.1 Membership

All ICAO Contracting States, who are service providers in an air navigation region and part of that region's Air Navigation Plan, should be included in the membership of that region's PIRG. Furthermore user States are entitled to participate in any other PIRG Meetings as a non-member. International Organisations recognised by the Council may be invited as necessary to attend PIRG meetings as observers.

2.1.2 Terms of Reference of APANPIRG

The objectives of the Group are to:

a) to ensure continuous and coherent development of the Asia/Pacific Regional Air Navigation Plan and other relevant regional documentation in a manner that is harmonized with adjacent regions, consistent with ICAO SARPs and Global Air Navigation Plan (DOC 9750) and reflecting global requirements;

b) to facilitate the implementation of air navigation systems and services as identified in the Asia/Pacific Regional Air Navigation Plan with due observance to the primacy of air safety, regularity and efficiency; and

c) to identify and address specific deficiencies in the air navigation field.

2.1.3 In order to meet the Terms of Reference, the Group shall:

a) review, and propose when necessary, the target dates for implementation of facilities, services and procedures to facilitate the coordinated development of the Air Navigation Systems in the Asia/Pacific Region;

b) assist the ICAO Asia/Pacific Regional Office in fostering the implementation of the Asia/Pacific Regional Air Navigation Plan;

c) in line with the Global Aviation Safety Plan (GASP), facilitate the conduct of any necessary systems performance monitoring, identify specific deficiencies in the air navigation field, especially in the context of safety, and propose corrective action;

d) facilitate the development and implementation of action plans by States to resolve identified deficiencies, where necessary;

e) develop amendment proposals to update the Asia/Pacific Regional Air Navigation Plan to reflect changes in the operational requirements;

f) monitor implementation of air navigation facilities and services and where necessary, ensure interregional harmonization, taking due account of organizational aspects, economic issues (including financial aspects, cost/benefit analyses and business case studies) and environmental matters;

g) examine human resource planning and training issues and propose where necessary human resource development capabilities in the region that are compatible with the Asia/Pacific Regional Air Navigation Plan;

h) ~~review the Statement of Basic Operational Requirements and Planning Criteria and recommend to the Air Navigation Commission such changes as may be required in the light of new developments in the air navigation field~~;

i) request financial institutions, on a consultative basis as appropriate to provide advice in the planning process;

j) maintain close cooperation with relevant organizations and State grouping to optimize the use of available expertise and resources;

k) conduct the above activities in the most efficient manner possible with a minimum of formality and documentation and call meetings of the APANPIRG when deemed necessary to do so; and

l) coordinate with RASG APAC on safety issues.

Note: With regard to item h) of the APANPIRG Terms of Reference secretariat informed that AN 186-6 confirmed that the BORPC was no longer used. The Council on 18th June 2014 approved the format of the new e ANP without a BORPC. Therefore, the need to review the BORPC was no longer required as part of the TOR of PIRGs

3. Composition of the APANPIRG

3.1 The APANPIRG is composed of all APAC Member States providing air navigation services in the Asia and Pacific Regions.

3.2 The Group shall invite representatives of international organizations recognized by the Council as representing important civil aviation interests to participate in its work in a consultative capacity.

3.3 User States may participate as non-members in APANPIRG Meetings. Also other APAC International Organizations and/or bodies may also participate when invited specifically by the APANPIRG as observers.

3.4 States should ensure that their representatives to be designated as members of APANPIRG have knowledge and good experience in the provision of the full range of international air navigation systems and serve for a sufficiently lengthy period to maintain continuity in the activities of APANPIRG. The designated representative can be assisted, when required, by technical advisers during meetings of the APANPIRG.

4. Creation and dissolution of contributory bodies

4.1 To assist in its planning and implementation work, APANPIRG may create contributory bodies (sub groups, working groups, steering groups, coordination groups, task forces, etc.), charged with preparatory work on specifically defined problems requiring expert advice for their resolution. To facilitate the coordination and reporting structure of the contributory bodies, a sub-group may be appointed as the 'parent'

group for other contributory bodies working towards the same area of technical expertise for APANPIRG. Representation in APANPIRG contributory bodies should be by specialists in the subjects concerned and familiar with the area under consideration. The establishment of the contributory bodies shall be governed by the following considerations:

a) a contributory body shall be formed when it is clearly established that it can make a substantial contribution to the resolution of the problem(s) in question;

b) it shall be given clear and concise terms of reference describing not only its task but also an expected target date for its completion;

c) its composition shall be such that, while being kept as small as possible, all States and organizations which can make valid contributions are given the opportunity to participate in it;

d) its work progress and co-ordination requirements shall be subject to review by APANPIRG to avoid duplication of effort in fields already covered by other activities; and

e) a contributory body shall be dissolved when it has either completed its assigned task or it has become apparent that work on the subject in question cannot be usefully continued.

4.2 The structure of the contributory bodies created by APANPIRG, including their terms of reference, shall be kept under regular review by APANPIRG to optimize the assistance provided to APANPIRG. The current structure of APANPIRG and the current Terms of reference of the sub groups are placed at Attachment A and B respectively.

4.3 Where appropriate, the contributory bodies should adopt a project-management-driven approach to regional air navigation planning and implementation, which is guided by, and aligned with agreed regional priorities and the Global Air Navigation Plan (GANP)/Aviation System Block Upgrade (ASBU) strategy and framework. APANPIRG 26 adopted the 'Project Management Principles', placed at Attachment C, as additional guidance in this respect.

5. Position within ICAO

5.1 APANPIRG shall be the guiding and co-ordinating organ for all activities conducted within ICAO concerning the Air Navigation System for the Asia/Pacific Region. However it shall not assume authority vested in other ICAO bodies, except where such bodies have specifically delegated their authority to the APANPIRG. The activities of APANPIRG shall be subject to review by the Council.

5.2 The work of groups established and meetings held within the framework of ICAO, concerned with the Asia/Pacific air navigation system shall be coordinated with the APANPIRG to ensure full harmonization with all regional activities regarding the development and operation of the Asia/Pacific air navigation system.

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PART II

WORKING ARRANGEMENTS

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1. Relations with States

1.1 States located geographically in the Asia/Pacific Region, States having dependent territories in the Region, and States having aircraft on their register that operate in the Region, shall be kept fully informed of activities of the APANPIRG. To achieve this objective, States should receive, regularly:

a) Proposed agenda for meetings of the Group;

b) The reports on meetings of the Group; and as appropriate; and

c) The summaries or reports on meetings of its contributory bodies.

1.2 States should ensure necessary co-ordination and follow-up of the APANPIRG activities within their Administrations.

1.3 APANPIRG may obtain information from Asia/Pacific provider States on specific questions and offer them advice on specific proposals for action.

2. Relations with other Bodies and Organizations

2.1 APANPIRG shall keep itself informed of the activities of other bodies and organizations to the extent that such activities are likely to have an impact on the planning and operations of the Asia/Pacific air navigation system.

2.2 When necessary, the APANPIRG shall provide information and advice to such bodies and organizations, if this is required, to:

a) avoid duplication of studies and/or effort; and

b) engage their assistance in matters that, while having a bearing on the air navigation system, are outside the competence of ICAO and/or the Terms of Reference of the Group.

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

a) APANPIRG and RASG-APAC shall coordinate and provide mutual support with respect to meeting the targets related to the regional priorities and implementation plans endorsed by each group;

b) APANPIRG and RASG-APAC work programmes shall be coordinated specifically to avoid both the duplication of effort and the presence of gaps, as well as to ensure alignment and harmonization of the two groups' priorities, plans and activities;

c) APANPIRG and RASG-APAC coordination activities shall be reported to both the respective plenary meetings as well as to key contributory bodies of the groups, if necessary;

d) APANPIRG and RASG-APAC special coordination meetings should be conducted annually by the Chairs with supplementary tele- or web- meetings, if necessary;

e) APANPIRG and RASG-APAC shall be mutually responsible for assigning the 'lead' group to work on each of the coordinated activities of the groups and for ensuring

that the lead group effectively coordinates with, shares information and cross-reports to the other group, taking special care to identify and highlight any implications of the work on the activities of the other group. The Chairs shall ensure the smooth transition of the assigned 'lead' group for a coordinated work activity whenever a change is necessary; and

f) Details of the coordinated work activities assigned to each group as the 'lead' shall be reviewed and recorded at the APANPIRG and RASG-APAC special coordination meetings and reported to the respective plenary meetings of the groups.

3. Administration of the APANPIRG

3.1 The APANPIRG shall be administered as follows:

a) by a Chairperson, elected from the Representatives designated by Member States of the Group. A First and Second Vice-Chairperson shall be elected from the said representatives; and

b) by ICAO Regional Director, Asia Pacific Regional Office designated as Secretary APANPIRG by the Secretary General of ICAO. In the execution of duties the Secretary will be supported by the Asia Pacific Regional Office.

3.2 The Chairperson, in close co-ordination with the Secretary, shall arrange for the most efficient working of the Group. The Group shall always work with a minimum of formality and paperwork.

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

4. Meetings of the APANPIRG

4.1 Based on the advice of the designated representatives and Secretary, the Chairperson shall decide the date and duration of meetings of the Group.

4.2 Meetings are normally convened at the location of the ICAO Asia Pacific Regional Office in Bangkok. If a State offers to host a meeting it shall be responsible for providing a venue, services and all costs of travel and subsistence allowance for secretariat attendees.

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

4.4 The ICAO Asia Pacific Regional Office in Bangkok shall provide the requisite secretariat services to APANPIRG.

5. Establishment of Sub-Groups

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

5.2 The establishment and the work of sub-groups shall be governed by the procedures in Part I, paragraph 4.1.

5.3 Participation in sub-groups should be by specialists in the subjects under consideration. Such specialists should be provided by States, and international organizations having relevant experience in the field concerned.

5.4 Secretaries of sub-groups established by APANPIRG will be appointed by the Secretary of APANPIRG.

6. Working Groups, Steering Groups, Coordination Groups, Task Forces, etc.

6.1 The APANPIRG or its sub-groups may appoint working groups, steering groups, coordination groups, task forces, etc., as necessary, composed of experts from APANPIRG or its sub-groups to perform studies or tasks, or prepare supporting documentation on defined subjects, for consideration by APANPIRG or its sub-groups as a whole. User States and other international organizations may also be invited to provide experts to participate, as required, and the Chairpersons of working groups, steering groups, coordination groups, task forces, etc., may authorize co-opting of experts as advisors to provide technical inputs.

7. Role of Designated Members

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

8. Status of Observers

8.1 According to the provision of Part I, paragraph 3.3, States that are neither located nor have aircraft on their register operating in the Asia Pacific Region will have the status of Observer at APANPIRG meetings.

8.2 According to the provisions of Part I, paragraph 3.2, International Organizations invited to participate at Meetings of APANPIRG will have the status of Observer.

9. Co-ordination and Reporting Lines

9.1 APANPIRG reports to the ICAO Council through its Secretary and the ICAO Secretariat as follows:

a) proposals for amendment of the APAC Regional Air Navigation Plan and proposals for amendment of the Regional Supplementary Procedures (SUPPs) originated by the APANPIRG will be processed according to the approved amendment procedures;

b) suggestions by the APANPIRG calling for amendment or modification of the ICAO world-wide provisions (Annexes and PANS) will be submitted to the Air Navigation Commission (ANC) for consideration and action as appropriate;

c) items concerning serious shortcomings in implementation of the Asia Pacific Regional Air Navigation Plans will be reported to the States concerned, and, after all possible efforts for implementation have been exhausted to the attention of the ANC;

d) specific policy issues emanating from the work of the APANPIRG and matters which impact other regions will be submitted to the Council;

e) matters concerning the Group's terms of reference, its composition, position in ICAO and working arrangements, will be submitted to the Council.

9.2 Sub-groups report to APANPIRG. Co-ordination among sub-groups will primarily be ensured by APANPIRG when establishing the terms of reference and work programme or taking action on the reports of the sub-groups. In addition, the work of the contributory bodies should be co-ordinated through their respective Chairperson and Secretaries, assisted, as required, by the ICAO Secretariat, in the Asia Pacific Regional Office.

9.3 Routine relations between the APANPIRG or its contributory bodies and other ICAO groups and meetings concerning the Asia Pacific Region shall be conducted through the respective Secretaries and/or the ICAO Regional Director of the Asia Pacific Regional Office.

9.4 Relations with representatives of States designated as Members of APANPIRG and representatives of International Organizations regularly attending the meetings of the APANPIRG shall be conducted through the Secretary of APANPIRG. Other ICAO Regional Offices shall be kept informed of correspondence whenever it may have an impact on their work.

9.5 Relations with States and International Organizations whether represented in the Group and relations with Asia or Pacific bodies and Organizations will normally be conducted through the ICAO Regional Director of the Asia Pacific Regional Office.

9.6 Relations with the experts provided by States as Members of APANPIRG or sub-groups shall be conducted by the Secretary of the sub-group concerned.

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ASIA/PACIFIC AIR NAVIGATION PLANNING AND IMPLEMENTATION REGIONAL GROUP (APANPIRG)

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PART III

RULES OF PROCEDURES FOR THE CONDUCT OF MEETINGS OF THE APANPIRG

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1. General

1.1 The APANPIRG shall always work with a minimum of formality and paper work. To achieve this aim, the rules of procedure for the conduct of meetings should be as flexible and simple as possible. The Group is expected to conduct its business by general consensus of interested parties. The following provisions do not therefore include any procedures for handling motions or voting.

1.2 There shall be no minutes for the meetings of the Group. Reports on meetings should not include formal Statements by members, non-members or observers. However, where consensus was achieved after specific divergent views were expressed in relation to the decisions taken or the conclusions reached, those views shall be recorded as an integral part of the Report.

2. Participation

Note: The following rules of procedure are based on the provisions contained in paragraphs 3 of Part I and in paragraphs 2, 7 and 8 of Part II.

2.1 Representatives of ICAO Member States designated as Members of the APANPIRG should participate regularly in all meetings of the Group.

2.2 APANPIRG shall normally invite International Organizations recognized by the Council as representing important civil aviation interests to participate in the work of the APANPIRG in a consultative capacity. Among the international organizations, ACI, CANSO, IBAC, IATA, ICCAIA, IFALPA and IFATCA should be invited on a regular basis. Other international organizations and/or Asia/Pacific bodies and organizations may participate when specifically invited by the Group.

2.3 The ICAO Regional Director, the Asia Pacific Regional Office should endeavour to ensure representation by States, International Organizations, Asia/Pacific bodies and organizations invited by the Group to participate in its meetings.

Note: The Secretary of the APANPIRG, in consultation with the Chairperson, shall undertake to keep the total number of participants to a level consistent with the required efficiency and informality of the proceedings.

3. Convening of Meetings

Note: Besides the working arrangements set forth in paragraph 4 of Part II, the rules of procedure below should be followed in convening meetings of the Group.

3.1 At each of its meeting APANPIRG should endeavour to agree on the date and duration of its next meeting.

3.2 According to its objectives the APANPIRG shall;

a) ensure the continuous and coherent development of the Asia Pacific Regional Plan as a whole and in relation to that of adjacent Regions; and

b) identify specific problems in the air navigation field concerning the Asia Pacific Region and propose, in appropriate form, resolving action addressed to parties concerned.

Note: To achieve these objectives the convening of one meeting per year would generally suffice. Still, to safeguard coherent and orderly air navigation planning in the interest of States and airspace users in the Asia Pacific Region, the Group may determine the need for an additional meeting in any given year.

3.3 A letter for convening a meeting shall be addressed by the APANPIRG Secretary normally 90 days prior to the meeting, to representatives of:

a) States designated as members;

b) States not designated as Members, that have decided to attend regularly the meetings of the APANPIRG;

c) International Organizations invited to participate regularly in the activities of the Group.

3.4 The convening letter should include the agenda, with explanatory notes to assist participants in preparing for the meeting.

3.5 The ICAO Regional Director, the Asia Pacific Regional Office, shall ensure that States and International Organizations concerned are informed of the convening of APANPIRG meeting and the subjects planned for discussion. This should be done by a State Letter.

4. Establishment of the Agenda

4.1 The Secretary, in consultation with the Chairperson of APANPIRG, shall establish a draft agenda based on the work programme adopted.

4.2 The draft agenda shall be circulated with the convening letter, as specified in sub-paragraph 3.3 above, for comments.

4.3 Comments in relation to the draft agenda or the work of the Group received up to 10 days prior to the meeting will be presented to the meeting as a Working Paper.

4.4 At the opening of the meeting any State or international organization may propose the inclusion of additional items on the agenda, and this shall be accepted if most States attending so agree.

5. Languages

5.1 The language of the meeting of the APANPIRG shall be English.

5.2 The report on meetings and supporting documentation for meetings of the Group will be prepared in English.

6. Officers and Secretariat of the APANPIRG

Note: The following rules of procedure are supplementary to the working arrangements for the administration of the APANPIRG contained in paragraph 3 of Part II.

6.1 APANPIRG/20 approved the Terms of Reference of Chairperson, First Vice Chairperson and Second Vice Chairperson as below:

- The Chairperson/First Vice Chairperson/Second Vice Chairperson shall be a serving official of their State Administration, holding position of progressive responsibilities. He/she should have vast experience in the administration and management related to international civil aviation matters.

- The term of the Chairperson, First Vice Chairperson and Second Vice Chairperson shall be for a maximum period of three years. If an elected Chairperson is due for retirement or resigns from his organization during this period, the Group may elect a new Chairperson.

6.2 To ensure the necessary continuity in the work of the Group and unless otherwise determined by special circumstances, the Chairperson, the First Vice-Chairperson and Second Vice-Chairperson of the APANPIRG should assume their functions at the end of the meeting at which they are elected.

6.3 Designated Members of the Group may request that the election of the Chairperson and/or Vice-Chairpersons be included on the agenda.

6.4 The Secretary of the APANPIRG will serve as Secretary of the meetings of the Group and will be assisted by Officers of the ICAO Asia Pacific Regional Office.

6.5 Presentation of reports of sub-groups or of other ICAO regional planning groups or meetings should normally be made by the Secretary of the respective sub-group, regional planning group or meeting, as the case may be. Exceptionally, and in particular, when reports raise questions of principle or of a policy nature, the Group may request that their presentation be made by the Chairperson of the body concerned.

7. Meeting Documentation

7.1 Documentation for meetings of the APANPIRG will be prepared by the ICAO Secretariat, Member States and International Organizations participating regularly in the activities of the Group. Distribution of the supporting documentation of APANPIRG, as well as the reports of the meetings will be posted on the ICAO APAC website www.icao.int/apac under the APANPIRG meeting page.

7.2 Any State, International Organization and Asia/Pacific body or Organization, attending or not, may submit material for consideration by APANPIRG. In cases where the material submitted is as supporting documentation on a specific subject, the originator is expected to attend the meeting to which it is presented, at least during the discussions on the subject concerned.

7.3 Supporting documentation shall be presented as:

a) Working Papers

b) Discussion Papers and Flimsies

c) Information Papers

7.4 Working Papers are the main basis of the discussion on the various items of the agenda.

7.5 Working Papers shall be presented in a standardized format, based on a template provided on the ICAO APAC website. Each paper should be limited to one agenda item or sub-items and contain, as appropriate, introduction of the matter, brief discussion and conclusions with specific proposals for action.

7.6 Working Papers should be made available to the ICAO Secretariat as early as practicable (14 days), before the meeting at which they are intended to be considered.

7.7 Working Papers shall be posted on the ICAO APAC website by the Secretariat.

7.8 Discussion Papers and Flimsies are papers prepared on an ad hoc basis during a meeting, with the purpose of assisting participants in their discussions on a specific matter or in the development of conclusions for the draft report of the meeting. Whenever practicable, Discussion Papers and Flimsies shall be posted on the ICAO APAC website by the Secretariat.

7.9 Information Papers are intended solely to provide participants at a meeting with information on developments of technical or administrative matters of interest to the Group. Information Papers shall be posted on the ICAO APAC website by the Secretariat.

7.10 In order to conduct APANPIRG meetings in a paperless meeting environment, printed copies of Working Papers, Discussion Papers, Flimsies and Information Papers shall not normally be distributed at meetings. The participants are expected to download Working Papers and Information Papers from the ICAO APAC website prior to the meeting.

7.11 To facilitate effective coordination on technical matters, papers of a technical nature shall not be accepted by APANPIRG and shall be referred to the appropriate sub-group (Chair/Secretary) for further consideration unless the paper is provided specifically to support a Conclusion or Decision already adopted by a sub-group.

8. Conclusions and Decisions of the Meetings

8.1 Action to be taken by the APANPIRG shall be recorded as:

a) Conclusions; and

b) Decisions

8.2 Conclusions deal with matters that, according to the APANPIRG's Terms of Reference, merit directly the attention of States, or on which further action is required to be initiated by the Secretary according to established procedures.

8.2.1 Conclusions are mainly aimed at the furtherance of studies and programmes being undertaken by the APANPIRG, its contributory bodies and other ICAO groups or meetings. For the implementation of Conclusions, the Secretary shall:

a) initiate the required action; or

b) through the relevant ICAO Regional Office, invite States and international organizations or other bodies as appropriate to undertake the tasks called for by the Conclusion concerned; or

c) refer them to Council and the Air Navigation Commission for appropriate action.

8.2.2 The Secretary will ensure that Conclusions are transmitted to the States concerned through the relevant ICAO Regional Office and will take whatever action may be required to monitor their implementation.

8.3 Decisions relate solely to matters dealing with the internal working arrangements of the APANPIRG and its contributory bodies.

8.4 In general, the Conclusions and Decisions recorded by APANPIRG shall be based on the actions proposed by the contributory bodies of APANPIRG, which have already been reviewed and adopted at the sub-group level and recorded as draft Conclusions and draft Decisions in the reports submitted to APANPIRG by the sub-groups (cf. sub-paragraph 8.4.1 of Part IV).

8.5 A template to guide the formulation of Conclusions and Decisions, which requires the indication of why, who, when and what with respect to the action proposed, and whether it requires additional political, economic or environmental consideration, is provided below:

<table>
<tr><td colspan="2">Conclusion/Decision XX/XX - TITLE</td></tr>
<tr><td>that:</td><td>Expected impact:
☒Political / Global
☐Inter -Regional
☐Economic
☐Environmental
☐Ops/Technical</td></tr>
<tr><td colspan="2">Why:</td></tr>
<tr><td>When:</td><td>Status: Draft to be adopted by xx</td></tr>
<tr><td colspan="2">Who: ☐Sub Groups ☐APAC States ☐ICAO APAC RO ☐ICAO HQ ☐Other: XXXX</td></tr>
</table>

9. Conduct of Business

9.1 The meetings of the APANPIRG shall be conducted by the Chairperson or, in their absence, by the First or Second Vice-chairman of the Group, in that order.

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

9.3 Every meeting of the APANPIRG will consider, as required:

a) reports by its sub-groups;

b) reports by regional bodies;

c) specific implementation matters; and

d) review and up-date of the Work Programme.

9.4 At each of its meetings, the Group shall establish a tentative meeting programme (including meetings of its contributory bodies) for, at least, the following two calendar years (cf. sub-paragraph 3.2 Part IV).

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

10. Reports

10.1 Reports on meetings shall be of a simple layout and as concise as possible and shall include:

a) a brief history of the meeting (duration, attendance, agenda and list of Conclusions and Decisions);

b) a summary of the discussions by the Group on the different items of the agenda including, for each of them, the relevant Conclusion(s) and/or Decision(s);

c) the work programme and future action by the Group; and

d) the tentative programme of future meetings of the Group and of its sub-groups.

10.2 A draft report will be prepared by the Secretariat for approval by the Group before the closing of each meeting.

10.3 The approved Meeting Report shall be circulated by the Secretary to:

a) Members of the Group; and

b) Other States and international organizations and Asia/Pacific bodies and organizations having attended the relevant meeting.

10.4 The report shall also be posted on the ICAO APAC website.

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ASIA/PACIFIC AIR NAVIGATION PLANNING AND IMPLEMENTATION REGIONAL GROUP (APANPIRG)

PROCEDURAL HANDBOOK

PART IV

RULES OF PROCEDURE FOR THE CONDUCT OF MEETINGS OF THE CONTRIBUTORY BODIES OF THE APANPIRG

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1. General

1.1 Contributory bodies of the APANPIRG shall work with a minimum of formality and paperwork. There shall be no minutes kept for the meetings.

2. Participation

Note: The following rules of procedure are based on the provisions contained in paragraph 5 of Part II.

2.1 Contributory bodies of the APANPIRG shall be composed of experts to be provided by States, whether Members or not of the APANPIRG, International Organizations and/or bodies and Organizations having experience in the relevant field.

2.2 When deciding the creation and establishing the mandate and Terms of Reference of any of its contributory bodies, APANPIRG or the parent sub-group of APANPIRG shall indicate the States, International Organizations and/or bodies and Organizations that are to be invited to provide experts for that body. The composition of contributory bodies shall be kept as small as possible to ensure the efficiency of their work and the informality of proceedings.

2.3 States other than those specified by APANPIRG which can make valid contributions to the work of an APANPIRG contributory body are entitled to provide experts for that body if they so wish. To this effect, they should notify the ICAO Regional Director, the Asia Pacific Regional Office of their intention to participate and of the name and title of the expert(s) designated.

2.4 States and international organizations and/or Asia/Pacific bodies and organizations should ensure that the experts they provide in contributory bodies of the APANPIRG have the required qualifications and experience to contribute to the work of the body concerned.

3. Convening of Meetings

3.1 The date and duration of meetings of the contributory bodies of the APANPIRG shall be decided by the Chairperson, in consultation with Members and the Secretary of that body.

3.2 As a rule, contributory bodies should agree, at each meeting, on the date and duration of the next meeting and on a tentative schedule of future meetings to assist the APANPIRG in establishing its meeting programme (cf. sub-paragraph 9.4 of Part III).

3.3 For every meeting of a contributory body of the APANPIRG, a convening letter shall be addressed by the respective Secretary to the Members of that body. This convening letter should include the agenda, with explanatory notes as required, to assist participants in preparing for the meeting.

4. Establishment of the Agenda

4.1 The Secretary of a contributory body of the APANPIRG, after co-ordination with the ICAO Asia Pacific Regional Office and in consultation with the Chairperson, shall establish a draft agenda based on the work programme adopted and the documentation available.

4.2 The draft Agenda shall be circulated with the convening letter and submitted to the meeting to which it refers, for approval.

5. Languages

5.1 The language of, and supporting documentation for, meetings of contributory bodies of the APANPIRG shall be English.

Note: Documentation prepared by States and international organizations should be forwarded to the Secretary of the contributory body, if possible, at least 14 days before the meeting preferably as an 'MS Word' attachment via e mail to apac@icao.int for which it is intended, to permit timely processing.

5.2 The reports of meetings of the contributory bodies of APANPIRG shall be in English.

6. Officers and Secretariat of contributory bodies of the APANPIRG

6.1 Each contributory body of the APANPIRG shall at its first meeting elect, from the experts provided by States as Members of the body, a Chairperson. A Vice-Chairperson may also be elected if needed.

6.2 Based on the Decision 22/53 of APANPIRG 22, the term of the Chairperson and Vice Chairperson of the contributory bodies shall be for a maximum period of four years. The incumbent may stand for re-election.

6.3 Members of a contributory body may request that the election of the Chairperson and/or Vice-Chairperson be included in its meeting agenda.

7. Meeting Documentation

7.1 Documentation for meetings of the contributory bodies of APANPIRG should be prepared based on the provisions in paragraph 7 of Part III, and in keeping with the general principles provided in paragraph 1 of Part III and Part IV.

8. Conclusions/Decisions and draft Conclusions/Decisions

8.1 Action proposed by a contributory body of APANPIRG shall be recorded in the report of the contributory body as either draft Conclusions or draft Decisions (of APANPIRG). Additionally, Sub Groups are empowered to adopt Conclusions and Decisions on technical matters (especially those concerning guidance to States in the implementation of ICAO SARPs, GANP, RANP, Seamless ATM Plan) that do not have additional economic, environmental inter-regional or political effects, which should be considered at a higher level at APANPIRG.

8.2 The general principles for determining whether proposed action is categorized as either a Conclusion or Decision, and guidance on the formulation of Conclusions and Decisions, are provided under paragraph 8 of Part III.

8.3 Proposals for action which are intended to be submitted to a contributory body of APANPIRG for further consideration and adoption (either as Conclusions, Decisions, draft Conclusions or draft Decisions) should normally be checked for consistency with the provisions of this Handbook and coordinated, as necessary, with other sub-groups of APANPIRG.

8.4 Action proposed by a contributory body that requires the prior agreement of the APANPIRG before it can be implemented or otherwise shall be recorded in the report of the contributory body as draft Conclusions or draft Decisions (of APANPIRG). In general, action proposed shall be recorded as draft Conclusions or draft Decisions when:

a) the attention of the ICAO Air Navigation Commission is required (such as the need for changes to ICAO SARPs); or

b) additional economic, environmental or political consideration is required, over and above that already established by ICAO SARPs or already agreed by existing regional policies and procedures; or

c) there is any doubt as to whether the action proposed requires additional economic, environmental or political consideration.

8.4.1 All such proposed actions shall be submitted to, and considered by the APANPIRG at its next meeting after the issue of the contributory body's report. Normally, draft Conclusions and draft Decisions recorded by the contributory bodies of APANPIRG shall be reviewed, and adopted as necessary by the parent sub-groups prior to consideration by APANPIRG (cf. sub-paragraph 8.4 of Part III).

8.5 Action adopted by the sub groups that does not require the prior agreement of the APANPIRG before it can be implemented or otherwise shall be recorded in the report of the sub groups as Conclusions or Decisions (of the sub groups). In general, action proposed shall be recorded as Conclusions or Decisions (of the sub groups) when the action:

a) relates solely to the ICAO regional office (e.g., seminars and workshops) and does not need to be elevated to APANPIRG; or

b) is of a purely technical nature related solely to the work programme of the sub groups of APANPIRG (e.g., especially action concerning guidance to States on the implementation of ICAO SARPs, policies, plans and procedures).

8.5.1 All sub-group adopted Conclusions or Decisions shall be reported to APANPIRG in the sub-group reports (note: this may result in the review of, and subsequent amendment to the action proposed following consultation between the APANPIRG and the sub-group Chair concerned).

8.5.2 All sub-group adopted Conclusions or Decisions must be labelled as such, and not as an APANPIRG Conclusion or Decision.

9. Conduct of business

9.1 In general, the meetings of a contributory body of APANPIRG shall be conducted in a similar manner to the provisions at paragraph 9 of Part III.

10. Reports of Meetings

10.1 Proceedings of meetings of contributory bodies of APANPIRG should be recorded in the form of a Report or a Summary.

10.2 A contributory body shall decide for each of its meetings whether a Report is required or whether a Summary will be sufficient. A summary would normally suffice when there is no meeting of the APANPIRG before the next scheduled meeting of the body. A consolidated Report may be prepared covering more than one meeting.

10.3 A meeting of a contributory body will submit a Report whenever, it has:

a) completed action on any part of its work programme; or

b) found that it needs further directives or guidance from the APANPIRG to proceed in its work.

10.4 For all other meetings, the Secretary of that body will prepare a summary on the business conducted by the meeting to keep the APANPIRG and States informed of development in its activities.

10.5 Reports on meetings of Contributory bodies of APANPIRG shall be of a simple layout and as concise as practicable. To the extent feasible the reports should be presented in a summary format setting aside reporting on non-essential proceedings and on matters of solely internal interest to the Contributory bodies themselves. They should normally cover:

a) short introduction (brief history of the meeting, agenda, tasks at hand);

b) in the sequence of the agenda, summary of findings on different tasks or specific elements of it including, as appropriate, draft conclusions and/or decisions; and

c) the work programme and future meetings.

10.6 Reports or Summaries on meetings of contributory bodies of APANPIRG shall be posted on ICAO APAC website.

10.7 In general, Reports or Summaries on meetings of contributory bodies shall be submitted to the APANPIRG for review and action. Normally, the Reports or Summaries on meetings of a contributory body of APANPIRG shall be reviewed by the parent sub-group, and action initiated as necessary, prior to the regular meetings of APANPIRG. Then, at each of its meetings, the APANPIRG shall review the reports or summaries on all meetings of its sub-groups having taken place since its last meeting, including reports on earlier meetings of sub-groups or other contributory bodies still requiring action by APANPIRG.

10.8 Action taken by the APANPIRG on reports of its contributory bodies shall be the object of a Supplement to the Report concerned. This Supplement shall be circulated by the Secretary of the contributory body concerned to the Members of that body and by the ICAO Regional Director, ICAO Asia Pacific Regional Office to the interested States, international and national Organizations and bodies concerned.

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ASIA/PACIFIC AIR NAVIGATION PLANNING AND
IMPLEMENTATION REGIONAL GROUP (APANPIRG)

PROCEDURAL HANDBOOK

PART V

PROCEDURE FOR THE ENDORSEMENT AND APPLICATION OF ASIA/PACIFIC REGIONAL GUIDANCE MATERIALS IN VARIOUS AIR NAVIGATION FIELDS

UNIFORM METHODOLOGY FOR THE IDENTIFICATION, ASSESSMENT AND REPORTING OF AIR NAVIGATION SHORTCOMINGS AND DEFICIENCIES

AND

ASIA/PACIFIC SUPPLEMENT TO THE UNIFORM METHODOLOGY FOR THE IDENTIFICATION, ASSESSMENT AND REPORTING OF AIR NAVIGATION DEFICIENCIES

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1. PROCEDURE FOR THE ENDORSEMENT AND APPLICATION OF ASIA/PACIFIC REGIONAL GUIDANCE MATERIALS IN VARIOUS AIR NAVIGATION FIELDS

1. Procedure

The following procedure suggested by APANPIRG/7 (Conclusion 7/39) for the processing of the ASIA/PAC regional guidance materials was noted by the ICAO Council (150/18) for inclusion in the Procedural Handbook.

- APANPIRG and its contributory bodies, as well as States of the ASIA/PAC Regions in a position to do so, are encouraged to develop uniform guidance material for facilitating the implementation of international air navigation systems in the Asia/Pacific Region.

- Such guidance material should not conflict with ICAO Provisions.

- Such guidance material should be examined by the APANPIRG States and included in APANPIRG Reports.

- With regard to cases where regional guidance material prepared by APANPIRG contributory bodies needs to be dealt more speedily, the material may be circulated to States for appropriate action following consultation with the APANPIRG Chairperson and examination by ICAO Headquarters.

- The material resulting from the above should be forwarded to States by the ICAO Regional Office recommending States to use/adopt the material to facilitate their work.

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2. UNIFORM METHODOLOGY FOR THE IDENTIFICATION, ASSESSMENT AND REPORTING OF AIR NAVIGATION DEFICIENCIES

(Approved by the Council on 30 November 2001)

1. Introduction

1.1 Based on the information resulting from the assessment carried out by ICAO on the input received from various regions regarding shortcomings and deficiencies in the air navigation field, it became evident that improvements were necessary in the following areas:

a) collection of information;

b) safety assessment of reported problems;

c) identification of suitable corrective actions (technical/operational/financial/organizational), both short-term and long-term; and

d) method of reporting in the reports of ICAO planning and implementation regional groups (PIRGs).

1.2 This methodology is therefore prepared with the assistance of ICAO PIRGs and is approved by the ICAO Council for the efficient identification, assessment and clear reporting of air navigation deficiencies. It may be further updated by the Air Navigation Commission in the light of the experience gained in its utilization.

1.3 For the purpose of this methodology, the definition of deficiencies is as follows:

> A *deficiency* is a situation where a facility, service or procedure does not comply with a regional air navigation plan approved by the Council, or with related ICAO Standards and Recommended Practices, and which situation has a negative impact on the safety, regularity and/or efficiency of international civil aviation.

2. Collection of Information

Regional Office sources

2.1 As a routine function, the Regional Offices are expected to maintain a list of specific deficiencies, if any, in their regions. To ensure that this list is as clear and as complete as possible, it is understood that the Regional Offices take the following steps:

a) compare the status of implementation of the air navigation facilities and services with the regional air navigation plan documents and identify facilities, services and procedures not implemented;

b) review mission reports with a view to detecting deficiencies that affect safety, regularity and efficiency of international civil aviation;

c) make a systematic analysis of the differences with ICAO Standards and Recommended Practices filed by States to determine the reason for their existence and their impact, if any, on safety;

d) review aircraft accident and incident reports with a view to detect possible systems or procedures deficiencies;

e) review inputs, provided to the Regional Office by the users of air navigation services on the basis of Assembly Resolution A33-14, Appendix M;

f) assess and prioritize the result of a) to e) according to paragraph 4;

g) report the outcome to the State(s) concerned for resolution; and

h) report the result of g) above to the related PIRG for further examination, advice and report to the ICAO Council, as appropriate through PIRG reports.

States sources

2.2 To collect information from all sources, States should, in addition to complying with the Assembly Resolution A31-10, establish reporting systems in accordance with the requirements in Annex 13, paragraph 7.3. These reporting systems should be non-punitive in order to capture the maximum number of deficiencies.

Users sources

2.3 Appropriate International Organizations, including the International Air Transport Association (IATA) and the International Federation of Air Line Pilots' Associations (IFALPA) are valuable sources of information on deficiencies, especially those that are safety related. In their capacity as users of air navigation facilities they should identify facilities, services and procedures that are not implemented or are unserviceable for prolonged periods or are not fully operational. In this context it should be noted that Assembly Resolution A33-14, Appendix M and several decisions of the Council obligate users of air navigation facilities and services to report any serious problems encountered due to the lack of implementation of air navigation facilities or services required by regional plans. It is emphasized that this procedure, together with the terms of reference of the PIRGs should form a solid basis for the identification, reporting and assisting in the resolution of non-implementation matters.

3. Reporting of Information on Deficiencies

3.1 In order to enable the ICAO PIRGs to make detailed assessments of shortcomings and deficiencies, States and appropriate international organizations including IATA and IFALPA, are expected to provide the information they have to the ICAO Regional Office for action as appropriate, including action at PIRG meetings.

3.2 The information should at least include: description of the deficiency, risk assessment, possible solution, time-lines, responsible party, agreed action to be taken and action already taken.

3.3 The agenda of each PIRG meeting should include an item on air navigation deficiencies, including information reported by States, IATA and IFALPA in addition to those identified by the Regional Office according to paragraph 2.1 above. Review of the deficiencies should be a top priority for each meeting. The PIRGs, in reviewing lists of deficiencies, should make an assessment of the safety impact for subsequent review by the ICAO Air Navigation Commission.

3.4 In line with the above, and keeping in mind the need to eventually make use of this information in the planning and implementation process, it is necessary that once a deficiency has been identified and validated, the following fields of information should be provided in the reports on deficiencies in the air navigation systems. These fields are as follows and are set out in the reporting form attached hereto.

a) Identification of the requirements

As per ICAO procedures, Regional Air Navigation Plans detail *inter alia* air navigation requirements including facilities, services and procedures required to support international civil aviation operations in a given region. Therefore, deficiencies would relate to a requirement identified in the

regional air navigation plan documents. As a first item in the deficiency list, the requirements along with the name of the meeting and the related recommendation number should be included. In addition, the name of the State or States involved and/or the name of the facilities such as name of airport, FIR, ACC, TWR, etc. should be included.

b) Identification of the deficiency

This item identifies deficiency and would be composed of the following elements.

i) a brief description of the deficiency;

ii) date deficiency was first reported;

iii) appropriate important references (Meetings, Reports, Missions, etc)

c) Identification of the corrective actions

In the identification of the corrective actions, this item would be composed of:

i) a brief description of the corrective actions to be undertaken;

ii) identification of the executing body;

iii) expected completion date of the corrective action*; and

iv) when appropriate or available, an indication of the cost involved.

* It should be noted that a longer implementation period could be assigned in those cases in which the expansion or development of a facility was aimed at serving less frequent operations or entailed excessive expenditures.

4. Assessment and Prioritization

4.1 A general guideline would be to have three levels of priority organized on the basis of safety, regularity and efficiency assessment as follows:

"U" priority = Urgent requirements having a direct impact on safety and requiring immediate corrective actions.

Urgent requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is urgently required for air navigation safety

"A" priority = Top priority requirements necessary for air navigation safety.

Top priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation safety.

"B" priority = Intermediate requirements necessary for air navigation regularity and efficiency.

Intermediate priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation regularity and efficiency.

5. Model Reporting Table for use in the Reports of PIRGs

5.1 Taking the foregoing into account, the model table at the Appendix is for use by PIRGs for the identification, assessment, prioritization etc. of deficiencies. It might be preferred that a different table would be produced for each of the different topics i.e. AGA, ATM, SAR, CNS, AIS/MAP, MET. However, all tables should be uniform.

6. Action by the Regional Offices

6.1 Before each PIRG meeting, the Regional Office concerned will provide advance documentation concerning the latest status of deficiencies.

6.2 It is noted that the Regional Offices should document serious cases of deficiencies to the Air Navigation Commission (through ICAO Headquarters) as a matter of priority, rather than waiting to report the matter to the next PIRG meeting and that the Air Navigation Commission will report to the Council.

REPORTING FORM ON AIR NAVIGATION DEFICIENCIES IN THE .... FIELD IN THE .... REGION

Identification		Deficiencies			Corrective action			
Requirements	**States/facilities**	**Description**	**Date first reported**	**Remarks**	**Description**	**Executing body**	**Date of completion**	**Priority for action***
Requirement of Part .., paragraph (table) .. of the air navigation plan	Terra X Terra Y	Speech circuits not implemented Villa X - Villa Y	12/12/2..X	Co-ordination meeting between Terra X and Terra Y on 16/07/9X to finalize arrangements to implementation circuit via satellite	Implementation of direct speech circuit via satellite	Terra X	20/8/2..X	A

* Priority for action to remedy a deficiency is based on the following safety assessments:

"U" priority = Urgent requirements having a direct impact on safety and requiring immediate corrective actions.

Urgent requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is urgently required for air navigation safety.

"A" priority = Top priority requirements necessary for air navigation safety.

Top priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation safety.

"B" priority = Intermediate requirements necessary for air navigation regularity and efficiency.

Intermediate priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation regularity and efficiency.

-END-

3. ASIA/PACIFIC SUPPLEMENT TO THE UNIFORM METHODOLOGY FOR THE IDENTIFICATION, ASSESSMENT AND REPORTING OF AIR NAVIGATION DEFICIENCIES

(APANPIRG Conclusion 18/60)

1. INTRODUCTION

1.1. Considerable attention is being given by ICAO to eradicate deficiencies in the air navigation field. On 30 November 2001, the Council of ICAO approved the *Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies* (hereinafter referred to as "Uniform Methodology") for the efficient identification, assessment and clear reporting of air navigation deficiencies. A copy of the Uniform Methodology contained in the APANPIRG Procedural Handbook is available on the ICAO website: www.icao.int/apac . This Asia/Pacific Supplement to the Uniform Methodology provides more detailed procedures and a management tool to assist the APANPIRG in applying the Methodology.

1.2. The Uniform Methodology contains the following definition of a deficiency.

> A deficiency is a situation where a facility, service or procedure does not comply with a regional air navigation plan approved by the Council, or with related ICAO Standards and Recommended Practices (SARPs), and which situation has a negative impact on safety, regularity and/or efficiency of international civil aviation.

1.3. In certain areas, there may be deficiencies related to the organization, management and institutional aspects which affect the operation of civil aviation organizations. This could have a direct impact on the provision of air navigation facilities, services and procedures, which are elements listed in the ICAO Regional Air Navigation Plan. Deficiencies related to the primary national legislation and regulations and related to States' safety oversight functions are dealt with by the ICAO Universal Safety Oversight Audit Programme (USOAP).

2. BACKGROUND

2.1 States, in recognition of their responsibilities under Article 28 of the Convention on International Civil Aviation for the provision of safe air navigation services, undertake to accord highest priority to the rectification and elimination of all identified air navigation deficiencies.

2.2 As required by APANPIRG, the ICAO Asia/Pacific Regional Office maintains an on-line database of deficiencies that exist in the Asia/Pacific Region and adopts the necessary procedures for the collection of information in order to identify, evaluate and classify deficiencies and priorities in accordance with the Uniform Methodology.

2.3 The purpose of this database of deficiencies is to share among States information about deficiencies in a transparent manner, to assist States to define their implementation priorities and to indicate remedial action required. Information on deficiencies from the database is provided to APANPIRG meetings for review under its terms of reference, *inter alia*, make detailed assessment of the safety impact of the deficiencies as shown and propose remedial action required by States for subsequent review by the Air Navigation Commission and Council.

2.4 The format of reporting of resolution of deficiencies by provider States is in accordance with the Uniform Methodology. States are required to provide to the Regional Office, in a timely manner, an action plan comprising a detailed description of the actions to be taken for the expeditious rectification of the listed deficiencies.

2.5 The Regional Office submits the updated information to APANPIRG for further actions as deemed necessary, and coordinates with the provider States concerned on decisions taken by APANPIRG, the Council and Air Navigation Commission on the deficiencies.

2.6 APANPIRG and its respective Sub-Groups, as part of their TORs are intensifying their efforts in dealing with deficiencies, with a greater focus on prioritization and monitoring of corrective action taken by States and other responsible bodies.

3. OBJECTIVE

3.1 The main objective of this Supplement to the Uniform Methodology is to provide for a systematic approach to the management of deficiencies in the Asia/Pacific Region by detailing the procedures to be followed by the Users, States and the Asia/Pacific Regional Office in implementing the Uniform Methodology.

3.2 In addition, an objective of this Supplement is to provide clear definition of the responsibilities and obligations of the parties involved in the management of the deficiencies.

4. REGIONAL PROCEDURES

4.1 The process of dealing with deficiencies involves a number of stages as follows:

- Identification
- Assessment, prioritization and verification against ICAO documents
- States' validation of deficiencies reported
- Development of action plans for rectification and elimination
- Monitoring of follow-up actions
- Rectification of deficiency and removal from the list of Open deficiencies

4.2 The purpose of this section is to outline the procedures to be followed by the parties involved at each of the above stages to deal with the deficiencies. These procedures are presented in the form of a structured flow chart attached to this Supplement aimed at facilitating the actions required to eliminate the deficiencies.

Identification

4.3 In Appendix M to Assembly Resolution A35-14, Users of air navigation facilities and services are urged to report any serious problems encountered due to lack of implementation or unsatisfactory operation of air navigation facilities or services required by the air navigation plans. States should act on such reports to resolve the problem and when remedial action is not taken, Users should inform ICAO, through the medium of an international organization where appropriate.

Notification/Sources

- Users
- States
- Regional Office (information from missions, meetings, accident/incident reports)

4.4 The deficiencies identified shall follow the SMART concept where the description of a deficiency will be:

- Specific – clear task on what needs to be done
- Measurable – precise requirements
- Achievable – task sensible in scope
- Realistic – task has deadlines and completion requirements
- Time-bounded – sensible guide for completion and imposes a schedule

Assessment, Prioritization and Verification against ICAO documents

4.5 An assessment is made by the Regional Office to determine whether the reported deficiency is non-compliant with the ASIA/PAC ANP or relevant SARPs. If a deficiency exits, it is evaluated as to its effect on safety, efficiency and regularity, and under the Uniform Methodology, prioritized as follows:

U - Urgent requirements having a direct impact on safety and requiring immediate corrective actions

A - Top priority requirements necessary for air navigation safety

B - Intermediate requirements necessary for air navigation regularity and efficiency

4.6 To facilitate the prioritization process, the Regional Office is guided by the principal that a deficiency with respect to an ICAO Standard is accorded a "U" status, while a non-compliance with a Recommended Practice or a PANS is considered as "A" or "B" subject to additional expert evaluation. The final prioritization of the deficiencies is the prerogative of APANPIRG.

Validation by States

4.7 The Regional Office, on determining that a reported deficiency exists and after initial assessment and prioritization, informs the State(s) concerned of the full details of the report and results of the assessment and advises that the deficiency will be recorded in the APANPIRG Deficiencies Database. The State(s) are requested to acknowledge and validate the deficiency, and to develop a Corrective Action Plan (CAP) to resolve the deficiency.

4.8 In the event of deficiencies which impose immediate large scale safety risks and their resolution by the State(s) concerned is not feasible in an acceptable timeframe, the Regional Office will notify the Air Navigation Commission as a matter of priority.

Development of CAPs

4.9 States are required to develop CAPs to rectify deficiencies in consultation with appropriate bodies with defined target dates based on the prioritization determined by the Regional Office. The following factors should be taken into account:

- deficiencies with "U" priority must be dealt with on a high priority basis;
- in developing the CAP, advice may be sought from the Regional Office, in particular, when international assistance (via the ICAO Technical Cooperation Programme or other means) is required;

- the CAP should be submitted to the Regional Office not later than one month after receiving the notification from the Regional Office;
- CAPs should in a concise and concrete format for inclusion in the Deficiency Database; if more detailed information is necessary, it should be provided as an Attachment;
- The CAPs are reviewed by the relevant APANPIRG contributing bodies where an assessment of the Plan is done at expert level and, if necessary, feed-back is provided to the State(s) concerned to optimize the Plan.
- APANPIRG at its regular meetings reviews the status of progress of all CAPs and provides advice to States as necessary.

Monitoring of follow-up actions

4.10 States should keep the Regional Office informed on progress with action taken to rectify deficiencies. The Regional Office may request updates as necessary to keep APANPIRG and its contributory bodies informed. Periodic annual updates should be made to the Regional Office no later than April each year.

4.11 The Regional Office will maintain regular contact with States and before the holding of APANPIRG and Sub-Group meetings, updates will be requested. An agenda item on deficiencies will be included on the Agenda of APANPIRG Sub-Groups and afforded a high priority by the meetings.

4.12 Users who reported deficiencies will be kept informed of progress and contacted before APANPIRG and Sub-Group meetings to seek their views on the status of deficiencies and any changes in circumstances.

Rectification of Deficiency & Removal from the Open List

4.13 States, on reporting that a deficiency recorded on the APANPIRG Deficiency Database has been rectified, will submit in writing an official report to the Regional Office providing full details of the action taken. On receipt of a report, the Regional Office will validate the action taken with the User who made the report. In the event that the User does not agree with the action taken, the deficiency will remain open until confirmation has been gained by all concerned. Once confirmation is made, APANPIRG will be informed, the status of the deficiency reviewed and removed from the Open List.

5. RESPONSIBILITIES

Regional Office

5.1 The Regional Office, as a primary party in the management of deficiencies, will keep under review and record the implementation by States of the requirements of the ASIA/PAC Air Navigation Plan. This information will also be used to identify possible non-compliance that should be further assessed against the definition of deficiency. Records will also be kept on the differences to SARPs filed by States and follow-up actions taken as appropriate.

5.2 The main tool for managing the deficiency identification and resolution process is the APANPIRG Deficiency Database established and maintained by the Regional Office. Description of the database structure and functionality is provided in Attachment A. Secure access to the database is controlled by the Regional Office through a username and password.

5.3 When missions to States are conducted by the Officers, the mission reports should include a section on the status of existing deficiencies and identification of new deficiencies.

5.4 In line with its primary function of assisting States to which it is accredited to implement SARPs and Regional procedures, the Regional Office provides assistance to States in developing adequate remedial actions to correct air navigation deficiencies. This is done through regular correspondence and, when necessary, through missions to States for on-site evaluation and assistance in the development and implementation of CAPs.

States

5.5 For each deficiency that has been identified, evaluated and prioritized, the State(s) concerned need to establish a CAP for resolving the deficiency. Normally, a recommended action concerning the implementation of the respective ICAO SARP or regional procedure for which the deficiency is filed would be provided by the APANPIRG or the Regional Office. States are required to allocate sufficient resources for the timely elimination of deficiencies in order to reduce the negative impact on safety and/or efficiency.

5.6 Sufficient notification will be provided to States regarding the deficiencies as a first step towards establishing the corresponding CAP. This will be achieved primarily through such mechanisms as correspondence, review by APANPIRG contributory bodies and other regional and sub-regional meetings. The Regional Office and States should use email where available for communications about deficiencies, including the provision of datasheets to States and corresponding CAPs from States.

5.7 States, upon receipt of the notification of identified deficiencies, should review, validate and comment upon the deficiency. Where actions have already been taken, the State should provide detailed information to the Regional Office in order to evaluate whether the deficiency has already been resolved.

5.8 States are required to keep deficiencies confirmed and included in the Database under review through the on-line facilities and provide updates as necessary to identify the progress on the action plan. The Regional Office may use periodic automated messages generated by the database to remind States to provide input to the Database.

5.9 States are required to respond promptly to regular correspondence sent by the Regional Office with an attached list of deficiencies as retrieved from the Database for each individual State. States should fill-in the necessary details in the datasheet forms in order to provide APANPIRG and its contributory bodies with up-to-date material for review and consideration of the status of deficiencies and any further actions necessary to be taken by States to expedite eliminate the deficiencies. An updated Status of deficiencies working document will be presented as core material to every APANPIRG meeting in accordance with the Terms of Reference of APANPIRG.

5.10 States' CAPs should include the corrective measures to be taken by the State and a target date by which the identified deficiencies will be resolved. The information provided through this formal coordination process will include:

- a description of the deficiency
- risk assessment
- evaluation of possible solutions and selection of the optimum solution
- Description of agreed action to be taken
- time-line including a firm target date for completion of the planned action
- responsible body in the State to undertake the corrective action including contact details of a designated person/position
- financing source (if applicable) or an indication of the international assistance required if the State is unable to resolve the deficiency on its own due to a lack of resources

- progress report as per the established timeline.

5.11 In accordance with the 11th Air Navigation Conference Recommendation 4/8, States are urged to identify areas of air navigation facilities and services where the establishment of multinational agreements or informal coordination groups may contribute to the resolution of deficiencies. This may be especially applicable to deficiencies which are region wide in nature and affecting a group of States, thus leading to general resolution at a regional or wider level.

Users

5.12 Appropriate international organizations, in their capacity as Users of air navigation facilities, should provide and update information on deficiencies on a regular basis to the Regional Office for validation and action in accordance with Assembly Resolution A35-14 Appendix M. In addition to this, the Users should notify the Regional Office as soon as a new deficiency is identified.

5.13 International Organizations should provide assistance in the independent verification of remedial actions taken by State(s). The 11th Air Navigation Conference Recommendation 4/8 encouraged Users of air navigation facilities and services to report to the Regional Office once they note that the remedial action on the deficiency they had reported has been taken.

APANPIRG

5.14 APANPIRG, as the primary coordinating body in the Asia/Pacific Region for all activities conducted within ICAO concerning the planning and implementation of the regional air navigation systems, meets at regular intervals. Its terms of reference includes *inter alia*, to identify specific problems in the air navigation field and propose in appropriate form, actions aimed at solving these problems. The List of Deficiencies in the air navigation field form part of the core material reviewed by APANPIRG meetings and recommendations for remedial actions are developed.

5.15 In order to ensure that a support mechanism is in place to deal with deficiencies, States must be fully committed to taking follow-up actions on the outcome of APANPIRG meetings. A person or position should be nominated with sufficient decision-making authority to coordinate and oversee the States' CAP for the elimination of deficiencies.

6. OTHER MECHANISMS

6.1 The Regional Office, in coordination with States, will utilize other mechanisms for establishing measures for the resolution of deficiencies.

6.2 The various APANPIRG contributory bodies and other regional and sub-regional meetings and Special Implementation Projects (SIPs) will be utilized to discuss the implementation of ICAO SARPs and the requirements of the ASIA/PAC ANP in order to eliminate deficiencies.

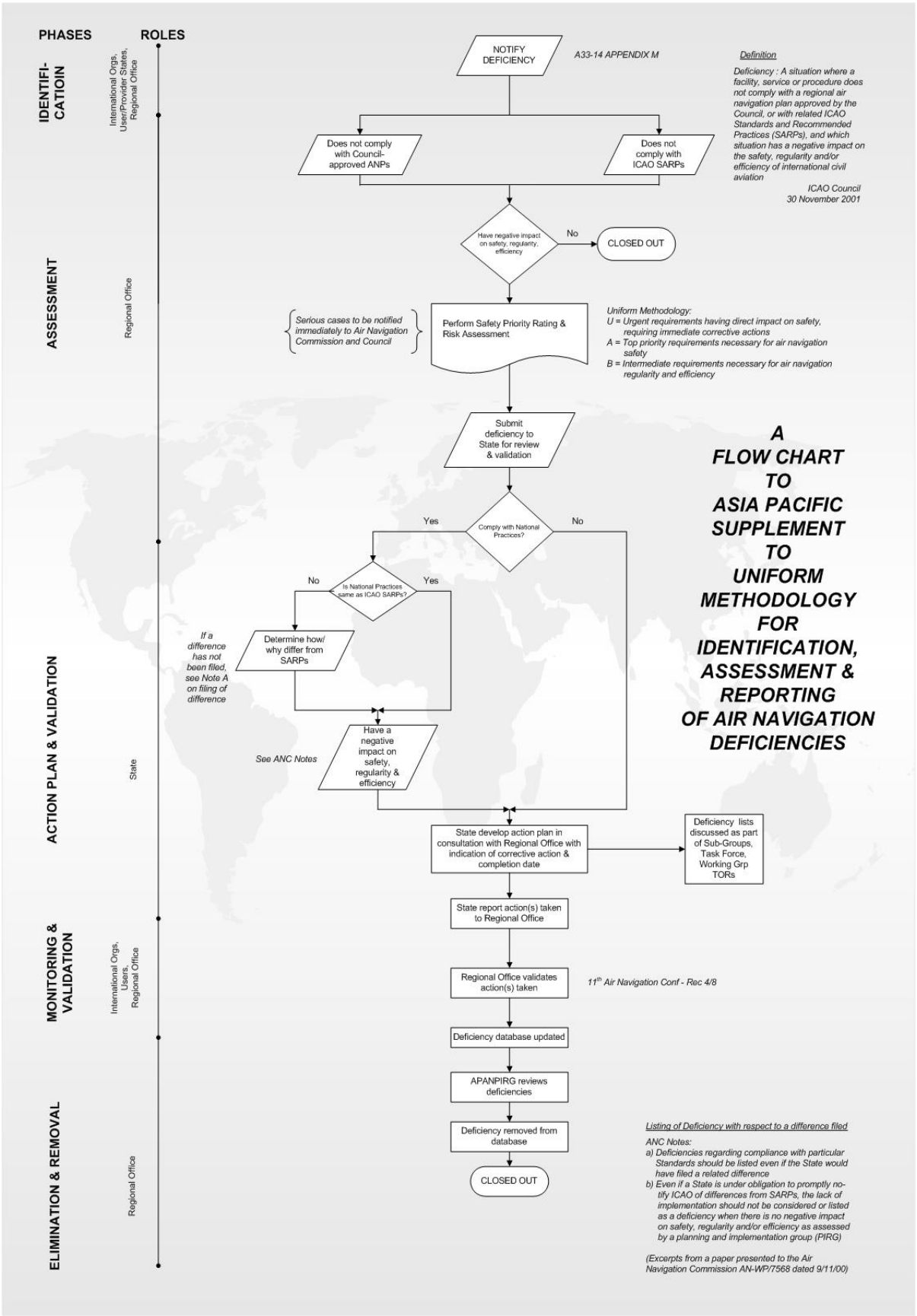
6.3 The Annual Conference of Directors General of Civil Aviation is attended by State representatives in civil aviation at the highest level. Every opportunity should be taken at these conferences to address the need for political will to instill awareness and allocate appropriate and sufficient resources through effective plans of action that will eliminate deficiencies in a timely manner.

6.4 The International Financial Facility for Aviation Safety (IFFAS) has been established by the ICAO Council to assist States in financing aviation safety-related projects identified primarily through the ICAO Universal Safety Oversight Audit Programme (USOAP). The purpose of IFFAS is to provide financial assistance to States that need to apply corrective measures flowing from the USOAP audits but are unable to obtain the necessary funding through traditional means of financing. IFFAS will be operated in complete

independence from ICAO's programme budget and is to be funded through voluntary contributions. The IFFAS mechanism will complement existing ICAO fund-raising mechanisms.

6.5 Other ICAO tools that may be used to address deficiencies include ICAO technical cooperation programmes (including COSCAPs), Special Implementation Projects (SIP), seminars, workshops and training programmes.

6.6 Deficiencies identified during the USOAP audits will be dealt with under a separate programme in accordance with the Memorandum of Understanding between the Contracting State and ICAO. Until such time an appropriate mechanism is developed for the management of such deficiencies by the planning body, they shall not be included in this procedure.


PHASES
ROLES
IDENTIFI-CATIOIN
International Orgs, User/Provider States, Regional Office
ASSESSMENT
Regional Office
ACTION PLAN & VALIDATION
State
MONITORING & VALIDATION
International Orgs, Users, Regional Office
ELIMINATION & REMOVAL
Regional Office
NOTIFY DEFICIENCY
A33-14 APPENDIX M
Definition
Deficiency : A situation where a facility, service or procedure does not comply with a regional air navigation plan approved by the Council, or with related ICAO Standards and Recommended Practices (SARPs), and which situation has a negative impact on the safety, regularity and/or efficiency of international civil aviation
ICAO Council 30 November 2001
Does not comply with Council-approved ANPs
Does not comply with ICAO SARPs
Have negative impact on safety, regularity, efficiency
No
CLOSED OUT
Serious cases to be notified immediately to Air Navigation Commission and Council
Perform Safety Priority Rating & Risk Assessment
Uniform Methodology:
U = Urgent requirements having direct impact on safety, requiring immediate corrective actions
A = Top priority requirements necessary for air navigation safety
B = Intermediate requirements necessary for air navigation regularity and efficiency
Submit deficiency to State for review & validation
Comply with National Practices?
Yes
No
Is National Practices same as ICAO SARPs?
No
Yes
If a difference has not been filed, see Note A on filing of difference
Determine how/ why differ from SARPs
See ANC Notes
Have a negative impact on safety, regularity & efficiency
State develop action plan in consultation with Regional Office with indication of corrective action & completion date
Deficiency lists discussed as part of Sub-Groups, Task Force, Working Grp TORs
State report action(s) taken to Regional Office
Regional Office validates action(s) taken
11th Air Navigation Conf - Rec 4/8
Deficiency database updated
APANPIRG reviews deficiencies
Deficiency removed from database
CLOSED OUT
A FLOW CHART TO ASIA PACIFIC SUPPLEMENT TO UNIFORM METHODOLOGY FOR IDENTIFICATION, ASSESSMENT & REPORTING OF AIR NAVIGATION DEFICIENCIES
Listing of Deficiency with respect to a difference filed
ANC Notes:
a) Deficiencies regarding compliance with particular Standards should be listed even if the State would have filed a related difference
b) Even if a State is under obligation to promptly notify ICAO of differences from SARPs, the lack of implementation should not be considered or listed as a deficiency when there is no negative impact on safety, regularity and/or efficiency as assessed by a planning and implementation group (PIRG)
(Excerpts from a paper presented to the Air Navigation Commission AN-WP/7568 dated 9/11/00)

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ASIA/PACIFIC AIR NAVIGATION PLANNING AND
IMPLEMENTATION REGIONAL GROUP (APANPIRG)

PROCEDURAL HANDBOOK

PART VI

ASIA/PACIFIC PROVIDER AND USER STATES

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1. Purpose and Status

1.1 According to the APANPIRG working arrangements, all States concerned with the work of the Group shall be kept fully informed of its activities. To this effect, ICAO Regional Director shall:

a) keep States informed of the convening of APANPIRG meetings and the subjects planned to be discussed (cf. Part III, paragraph 3.5); and

b) post the reports on meetings of the Group and sub-groups (cf. Part II, paragraph 1.1) on ICAO APAC web site.

1.2 Asia/Pacific States are as follows:

ASIA/PAC PROVIDER STATES

Afghanistan
Australia
Bangladesh
Bhutan
Brunei Darussalam
Cambodia
China
- Hong Kong China
- Macao China

Cook Islands
DPR Korea
Fiji
France
India
Indonesia
Japan
Kiribati
Lao PDR
Malaysia
Maldives
Marshall Islands
Micronesia, F.S. Of
Mongolia
Myanmar
Nauru
Nepal
New Zealand
Pakistan
Palau
Papua New Guinea
Philippines
Republic of Korea
Samoa
Singapore
Solomon Islands
Sri Lanka
Timor Leste
Thailand
Tonga
Tuvalu*
United States
Vanuatu
Viet Nam

_ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _

* Non ICAO Member State

ASIA/PACIFIC AIR NAVIGATION PLANNING AND
IMPLEMENTATION REGIONAL GROUP (APANPIRG)

PROCEDURAL HANDBOOK

PART VII

OTHER ASIA and/or PACIFIC REGIONAL BODIES AND INTERNATIONAL ORGANIZATIONS DEALING WITH CIVIL AVIATION MATTERS IN THE ASIA/PAC REGIONS

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INTERNATIONAL ORGANIZATIONS

REGIONAL ECONOMIC COMMISSIONS

ECONOMIC AND SOCIAL COMMISSION FOR ASIA AND THE PACIFIC

INTERNATIONAL ORGANIZATIONS

AIRPORTS COUNCIL INTERNATIONAL (ACI)

ASIA-PACIFIC TELECOMMUNITY (APT)

INTERNATIONAL AIR TRANSPORT ASSOCIATION (IATA)

INTERNATIONAL COUNCIL OF AIRCRAFT OWNER AND PILOT ASSOCIATIONS (IAOPA)

INTERNATIONAL COORDINATING COUNCIL OF AEROSPACE INDUSTRIES ASSOCIATIONS (ICCAIA)

INTERNATIONAL FEDERATION OF AERONAUTICAL INFORMATION MANAGEMENT ASSOCIATIONS (IFAIMA)

INTERNATIONAL FEDERATION OF AIR LINE PILOTS' ASSOCIATIONS (IFALPA)

INTERNATIONAL FEDERATION OF AIR TRAFFIC CONTROLLERS' ASSOCIATIONS (IFATCA)

WORLD BANK

CIVIL AIR NAVIGATION SERVICES ORGANIZATION (CANSO)

INTERNATIONAL BUSINESS AVIATION COUNCIL (IBAC)

SOCIETE INTERNATIONALE DETELECOMMUNICATIONS AERONAUTIQUES (SITA)

AERONAUTICAL RADIO INC (ARINC)

UNITED NATIONS SPECIALIZED AGENCIES

INTERNATIONAL TELECOMMUNICATIONS UNION (ITU)

WORLD METEOROLOGICAL ORGANIZATION (WMO)

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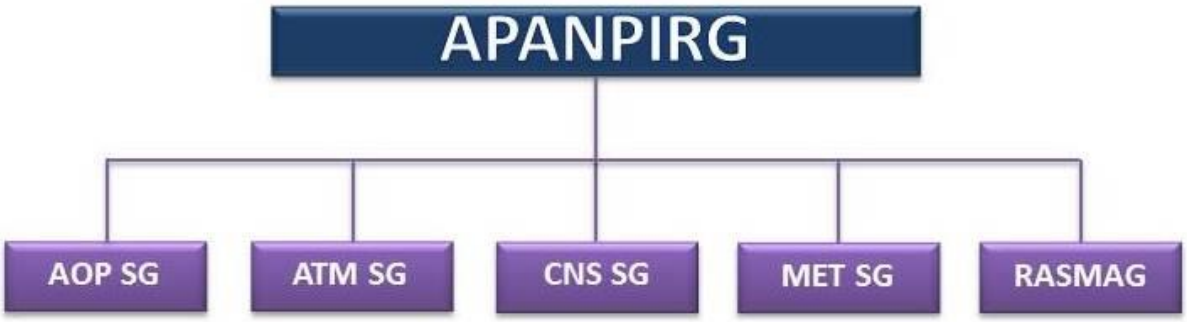
ATTACHMENT A

NEW STRUCTURE OF APANPIRG [APANPIRG DECISION 26/65]



- AOP SG: Aerodrome Operations and Planning Sub Group
- ATM SG: Air Traffic Management Sub Group
- CNS SG: Communications, Navigation and Surveillance Sub Group
- MET SG: Meteorology Sub Group
- RASMAG: Regional Airspace Safety Monitoring Advisory Group

ATTACHMENT B

Terms of Reference of Aerodromes Operations and Planning Sub-Group of APANPIRG (AOP/SG)

The Objectives of the AOP/SG are to:

1) ensure the continuous and coherent development of the AOP parts of the Asia/Pacific Regional Air Navigation Plan (APAC ANP) in a manner that is consistent with ICAO SARPs, the Global Air Navigation Plan and the Global Aviation Safety Plan;

2) facilitate the implementation of AOPservices identified in the APAC ANP, Aviation System Block Upgrade (ASBU) priority modules and Asia/Pacific Seamless ATM Plan elements using the project management principles where appropriate;

3) review, identify and address deficiencies that impede the implementation or provision of efficient AOP services in the Asia and Pacific Regions.

Deliverables to meet the Objectives:

1) Progress report to be **submitted** to APANPIRG addressing the AOP SG deliverables (listed in 2-6 below);

2) AOP parts of the ASIA/PAC ANP to be **reviewed** and, as necessary, amendment proposals **prepared** to update the APAC ANP to reflect changes in the operational and global requirements;

3) Level of implementation of AOP service to be **monitored** and, as necessary, **facilitated** to support the effective implementation of ASBU priority modules and Asia/Pacific Seamless ATM Plan elements;

4) Air navigation deficiencies in the field of AOP to be **identified** and, where necessary, appropriate corrective action **proposed** and the development and implementation of action plans by States to resolve identified deficiencies **facilitated**;

5) Air navigation deficiencies in the field of AOP (as listed in the APANPIRG database) to be **reviewed** and, as necessary, **updated** to reflect the current situation;

6) AOP environmental initiatives are consistently identified and progressed; and report outcomes from AOP environmental initiatives;

7) Draft Conclusions and Decisions to be **formulated** relating to matters in the field of AOP that come within the scope of the APANPIRG work plan.

Terms of Reference of Air Traffic Management Sub-Group of APANPIRG (ATMSG)

The Objectives of the ATM/SG are to:

1) ensure the continuous and coherent development of the ATM/AIM/SAR parts of the Asia/Pacific Regional Air Navigation Plan (APAC ANP) in a manner that is harmonized with adjacent regions, consistent with ICAO SARPs, the Global Air Navigation Plan and the Global Aviation Safety Plan;

2) facilitate the implementation of ATM systems, procedures and services identified in the APAC ANP, Aviation System Block Upgrade (ASBU) priority modules and Asia/Pacific Seamless ATM Plan elements using the project management principles where appropriate;

3) review, identify and address deficiencies that impede the implementation or provision of efficient ATM services in the Asia and Pacific Regions.

Deliverables to meet the Objectives:

1) Progress report to be **submitted** to APANPIRG addressing the ATM SG deliverables (listed in 2 to 9 below);

2) ATM parts of the ASIA/PAC ANP to be **reviewed** and, as necessary, amendment proposals **prepared** to update the APAC ANP to reflect changes in the operational and global requirements;

3) Level of implementation of ATM services to be **monitored** and, as necessary, **facilitated** to support the effective implementation of ASBU priority modules and the Asia/Pacific Seamless ATM Plan elements;

4) Air navigation deficiencies in the field of ATM to be **identified** (which may require any necessary systems performance monitoring to be **facilitated**) and, where necessary, appropriate corrective action **proposed** and the development and implementation of action plans by States to resolve identified deficiencies **facilitated**;

5) Air navigation deficiencies in the field of ATM (as listed in the APANPIRG database) to be **reviewed** and, as necessary, **updated** to reflect the current situation;

6) Research and development, trials and demonstrations in the field of ATM and other relevant areas to be **monitored** and, as necessary, the transfer of this information and expertise between States **facilitated**;

7) Specific recommendations to be **made,** and guidance materials **developed,** aimed at improving aeronautical meteorological services by the use of existing and/or new procedures, facilities and technologies;

8) Inter-regional and intra-regional co-ordination issues in the field of ATM to be **reviewed** and **identified** and, as necessary, actions **recommended** addressing those issues;

9) ATS environmental initiatives are consistently identified and progressed; and report outcomes from ATM environmental initiatives;

10) Draft Conclusions and Decisions to be **formulated** relating to matters in the field of ATM that come within the scope of the APANPIRG work plan.

Terms of Reference for APANPIRG Communications, Navigation and Surveillance/Sub Group (CNS/SG)

The Objectives of the CNS/SG are to:

1) ensure continuous and coherent development of the CNS parts of the Asia/Pacific Regional Air Navigation Plan (APAC ANP) in a manner that is harmonized with adjacent regions, consistent with ICAO SARPs, the Global Air Navigation Plan and the Global Aviation Safety Plan;

2) facilitate the implementation of CNS systems and services identified in the APAC ANP, Aviation System Block Upgrade (ASBU) priority modules and Asia/Pacific Seamless ATM Plan elements using the project management principles where appropriate;

3) review, identify and address deficiencies that impede the implementation or provision of efficient CNS services in the Asia & Pacific Regions.

Deliverables to meet the Objectives:

1) Progress report to be **submitted** to APANPIRG addressing the CNS SG deliverables (listed in 2 to 9 below);

2) CNS parts of the APAC ANP to be **reviewed** and, as necessary, amendment proposals **prepared** to update the APAC ANP to reflect changes in the operational and global requirements;

3) Level of implementation of CNS systems and services to be **monitored** and, as necessary, **facilitated** to support the effective implementation of ASBU priority modules and the Asia/Pacific Seamless ATM Plan elements;

4) Air navigation deficiencies in the field of CNS to be `**identified** (which may require any necessary systems performance monitoring to be **facilitated**) and, where necessary, appropriate corrective action **proposed** and the development and implementation of action plans by States to resolve identified deficiencies **facilitated**;

5) Air navigation deficiencies in the field of CNS (as listed in the APANPIRG database) to be **reviewed** and, as necessary, **updated** to reflect the current situation;

6) Research and development, trials and demonstrations in the field of CNS and other relevant areas to be **monitored** and, as necessary, the transfer of this information and expertise between States **facilitated**;

7) Specific recommendations to be **made,** and guidance materials **developed,** aimed at improving CNS services by the use of existing and/or new procedures, facilities and technologies;

8) Inter-regional and intra-regional co-ordination issues in the field of CNS to be **reviewed** and **identified** and, as necessary, actions **recommended** addressing those issues;

9) CNS environmental initiatives are consistently identified and progressed; and report outcomes from CNS environmental initiatives;

10) Draft Conclusions and Decisions to be **formulated** relating to matters in the field of CNS that come within the scope of the APANPIRG work plan.

Terms of Reference for APANPIRG Meteorology Sub-Group (MET SG)

The Objectives of the MET/SG are to:

1) ensure the continuous and coherent development of the MET parts of the Asia/Pacific Regional Air Navigation Plan (APAC ANP) in a manner that is harmonized with adjacent regions, consistent with ICAO SARPs, the Global Air Navigation Plan and the Global Aviation Safety Plan;

2) facilitate the implementation of aeronautical meteorological services identified in the APAC ANP, Aviation System Block Upgrade (ASBU) priority modules and the Asia/Pacific Seamless ATM Plan elements using the project management principles where appropriate;

3) review, identify and address deficiencies that impede the implementation or provision of efficient aeronautical meteorological services in the Asia and Pacific Regions.

Deliverables to meet the Objectives:

1) Progress report to be **submitted** to APANPIRG addressing the MET SG deliverables (listed in 2 to 9 below).

2) MET parts of the ASIA/PAC ANP to be **reviewed** and, as necessary, amendment proposals **prepared** to update the APAC ANP to reflect changes in the operational and global requirements.

3) Level of implementation of aeronautical meteorological services to be **monitored** and, as necessary, **facilitated** to support the effective implementation of ASBU priority modules and the Asia/Pacific Seamless ATM Plan elements;

4) Air navigation deficiencies in the field of MET to be **identified** (which may require any necessary systems performance monitoring to be **facilitated**) and, where necessary, appropriate corrective action **proposed** and the development and implementation of action plans by States to resolve identified deficiencies **facilitated**.

5) Air navigation deficiencies in the field of MET (as listed in the APANPIRG database) to be **reviewed** and, as necessary, **updated** to reflect the current situation.

6) Research and development, trials and demonstrations in the field of MET and other relevant areas to be **monitored** and, as necessary, the transfer of this information and expertise between States **facilitated**.

7) Specific recommendations to be **made,** and guidance materials **developed,** aimed at improving aeronautical meteorological services by the use of existing and/or new procedures, facilities and technologies.

8) Inter-regional and intra-regional co-ordination issues in the field of MET to be **reviewed** and **identified** and, as necessary, actions **recommended** addressing those issues;

9) MET environmental initiatives are consistently identified and progressed

10) Draft Conclusions and Decisions to be **formulated** relating to matters in the field of MET that come within the scope of the APANPIRG work plan.

REGIONAL AIRSPACE SAFETY MONITORING ADVISORY GROUP (RASMAG)

TERMS OF REFERENCE OF THE RASMAG

The objectives of the Group are to:

a) facilitate the safe implementation of reduced separation minima and CNS/ATM applications within the Asia and Pacific Regions in regard to airspace safety monitoring; and

b) assist States to achieve the established levels of airspace safety for international airspace within the Asia and Pacific Regions.

To meet these objectives the Group shall:

a) review airspace safety performance in the Asia and Pacific Regions at the regional level and within international airspace;

b) review and develop as necessary, guidance material for airspace safety monitoring, assessment and reporting activities, including the duties, responsibilities and scope of regional monitoring entities;

c) recommend, and facilitate as necessary, the implementation of airspace safety monitoring and performance assessment services;

d) review and recommend on the competency and compatibility of monitoring organizations and recommend to APANPIRG specific airspace responsibility for individual regional monitoring entities;

e) review, coordinate and harmonize regional and inter-regional airspace safety monitoring activities;

f) review regional and global airspace planning and developments in order to anticipate requirements for airspace safety monitoring and assessment activities;

g) address other airspace safety related issues as necessary;

h) facilitate the distribution of safety related information to States; and

i) provide to APANPIRG comprehensive reports on regional airspace safety and coordinate with other contributory bodies of APANPIRG as appropriate.

Task List

j) to review the safety monitoring programmes in the Asia and Pacific Regions for implementation and operation of:

k) reduced vertical separation minimum (RVSM);

l) reduced horizontal (lateral and longitudinal) separation minima using RNP;

m) aircraft separation applications using data link, e.g. ADS and CPDLC; and

n) ATS Unit to ATS Unit operational messaging using AIDC.

ATTACHMENT C

Project Management Principles [APANPIRG DECISION 26/65]

1 In the context of a project management approach, projects will be identified primarily from ASBU Modules adopted by APANPIRG, agreed regional targets and objectives and existing initiatives. Any ANS operational improvement is conducted through a project[2]. The Seamless ATM implementation guidance published and maintained by the ICAO Regional Office would apply for structuring the project and providing the necessary technical guidance (standards etc). However the level of documentation required would be commensurate with the project objectives and scale (see below).

2 Where it is not the case, a project team will be nominated by States and concerned international organizations in coordination with SG. The Task Force Chair and/or the ICAO Secretariat will act as Project Managers.

3 In this regard it is proposed that the ToR of the Sub Groups should be reviewed to better support the ICAO performance framework, in particular implementation activities to align with ASBUs and regional priorities. It is also proposed to empower the Sub Groups/Task Forces to make decisions on internal matters and take corrective actions. The Sub Groups would have the ability to agree, without further APANPIRG endorsement, any Conclusion or Decision (especially those concerning guidance to States in the implementation of ICAO SARPs) that does not have significant additional economic, environmental or political effects, which should be considered at a higher level at APANPIRG.

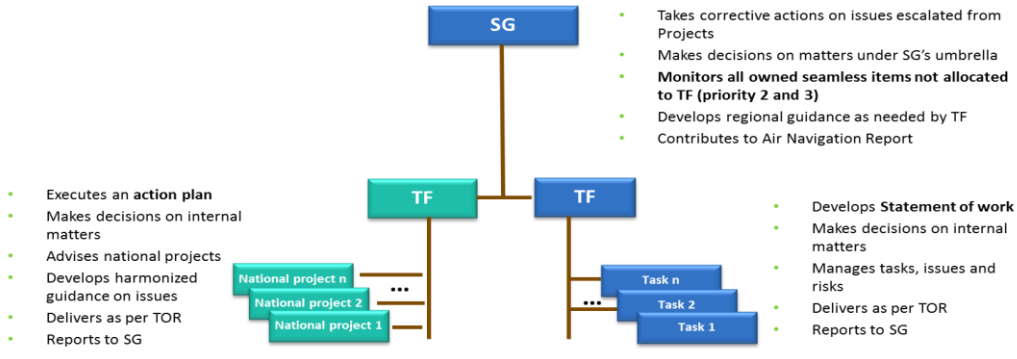
Scale of projects

4 The scale of the project will be defined as experience shows that coordination and control activities vary accordingly:

- interregional (example: definition of an interregional AIDC standard)
- regional (examples: Common Regional VPN (CRV), ATFM projects)
- sub-regional (example: Implementation of new PBN routes between States in a sub region)
- a collection of national projects driven by a State/Administration

Types of project

5 Depending on the objective of the project, 2 types of projects could be defined:



2 types of projects

National implem. oriented
Focus on action plan and mutual support
PBN, AIDC etc

Task- oriented
Focus on project management
CRV

Project: according to ISO 10006, unique process consisting of a set of co-ordinated and controlled activities with start and finish dates, undertaken to achieve an objective conforming to specific requirements, including constraints of time, cost and resources.

Documents and tools

6 TORs of the Project should define timelines from start to completion. These timelines should be consistent with eANP Volume III main planning table, stating all deadlines for ASBU and regional objectives and related ANRF.

7 TORs will record also the project manager(s), the project team, the reporting lines (SG and APANPIRG) and scale (interregional, regional, sub-regional, or national) of the project.

8 Projects should be conducted using standardised and simple documents for which templates would be proposed on ICAO APAC RO website:

- Statements of work for the definition of tasks inside a project
- Action list for the allocation and follow-up of actions inside the project and outside the project (dependencies)
- Basic Risk table for the identification and mitigation of risks inside a project
- Project report (1 slide) to report to the SG(s)
- Summary of discussions of the meeting

9 At the creation of the project, the set of applicable documents would be proposed by the Project Manager according to the scale and type of project, endorsed by the SG, and recorded in the TOR.

10 The use of ICAO portal and teleconferences should be generalized to control and coordinate the activities conducted under a project.

Safety management

11 For inter-regional, regional and sub-regional projects undertaking major changes to the air navigation system in Asia Pacific Region, a safety analysis may have to be conducted[3] in the framework of the project. For national projects, the analysis would more probably be conducted inside the State/organizations involved. Such analyses have to comply with ICAO Doc 9859, Safety Management Manual, particularly the Safety risk probability table and the Safety risk severity table.

12 If no other process is available or preferred, the analysis could be based on:

- A Concept of Operations (CONOPS) and/or OSED identifying the new operational services/environments being envisaged;
- Operational Hazard Analysis (OHA) identifying hazards brought by the new operational services;
- Preliminary System Safety Assessment (PSSA) as per ARP 4761 identifying and mitigating the causes of hazards (people, equipment, procedures);
- System Safety Assessment (SSA) as per ARP 4761 establishing that the risk is acceptable according to ICAO Doc 9859.

[3] A criterion could be that if an initial Hazard Analysis identifies hazards with severity being major or more severe (significant reduction in safety margins, a reduction in the ability of the operators to cope with adverse operating conditions as a result of an increase in workload or as a result of conditions impairing their efficiency, Serious incident, Injury to persons) then an extensive process would have to be conducted. Otherwise a lighter process would be conducted.

Checking/Reporting

13 It is proposed that interregional, regional and sub-regional projects report to their SG through a one page slide on their progress, issues and top risks. National projects would be tracked through the seamless ATM plan on-line reporting process.

14 In order to track the progress of implementation, data collection will be done through the seamless ATM plan on-line reporting process using the metrics defined.

15 A regional picture could be developed to graphically illustrate the progress by seamless ATM plan implementation item. The project was started but is frozen. ICAO's resources would need to be mobilized to support the regional picture.

Acting/correcting

16 A SG would have an overview of all its projects: objectives, achievements, issues, top risks. It will take action on issues escalated by any project supervised or identified between projects supervised. APANPIRG would have an overview of all the projects and will take corrective actions on issues escalated from SGs or identified between SGs.

17 SGs would monitor dependencies between projects. APANPIRG would monitor dependencies between projects supervised by different SG. APANPIRG could review periodically the top 10 risks. A table of projects for the region could be maintained by APANPIRG.

Change management

18 The project management principles presented in this Attachment and considered beneficial by ABSRTF should be refined and recorded in the APANPIRG Procedural Handbook.

19 All principles would need a certain time to be properly and homogeneously applied throughout the region. Selection and briefing of project managers would be necessary. Certain principles may be regarded as guidance/good practice first and later on become recommendations .

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