International Civil Aviation Organization

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WORKING PAPER

THIRTEENTH AIR NAVIGATION CONFERENCE

Montréal, Canada, 9 to 19 October 2018

COMMITTEE A

Agenda Item 4: Implementing the global air navigation system and the role of planning and implementation regional groups (PIRGs)
4.3: Implementing ASBUs for performance improvement

EVOLUTION OF SARPS DRAFTING AND IMPLEMENTATION

(Presented by the International Air Transport Association (IATA))

EXECUTIVE SUMMARY

This paper identifies areas of improvement for the development of new Standards and Recommended Practices (SARPs), and Procedures for Air Navigation Services (PANS), as well as their implementation by ICAO Regions. During development, and prior to adoption, IATA recommends that proper completion of guidance material including procedures be made available with sufficient advance notice to allow States, service providers and manufacturers to be ready and capable of complying by the applicability date. It also recommends that impact assessment and implementation requirements be established at the time of the elaboration of the Standard.
There is also a key role for ICAO Regional Offices and PIRGS in ensuring such new provisions are adequately made known and coordinated during the implementation process.

Action: The Conference is invited to:
a) note the information contained in this paper;
b) agree to the recommendations presented in para 3.1; and
c) discuss any relevant matters as appropriate

1. INTRODUCTION

1.1 Recently there have been a number of instances where the implementation of new provisions has been hampered by insufficient preparation by all stakeholders involved or has led to hasty arrangements. All SARPS and their related implementation process have the objective of improving safety and efficiency. However, the process of implementation in some cases, has been significantly affected by missing information on aircraft capability; insufficient availability of guidance with proper advance time; and lack of operations approval processes by some regulators affected.

[1] English, Arabic, Chinese, French, Russian and Spanish versions provided by IATA.

2. DISCUSSION

2.1 The present Standard making process has served aviation well and is responsible for bringing it to be the safest mode of transport. New Standards and their implementation have ramifications throughout the air transport system. The practice of developing Standards; generating the applicable amendments, guidance and implementation, can benefit from a review in order to enhance effectiveness, ensuring all players involved are properly informed and prepared.

2.2 There is room for improvement on impact assessment, which should be exercised at the very outset of the drafting of Standards, following initial identification of the problem to be solved and the preliminary solutions discussed.

2.3 Once the most effective solutions have been identified, the elements required for implementation and needed guidance should be completed with sufficient time for all stakeholders (regulators, service providers and manufacturers) to plan and prepare for the actions required by the change. The guidance material should preferably be ready at the time of consultation through State letters and made accessible to all recipients. This would enable better understanding of the roles of each party, before responding to the consultation. The responses to the State letter would therefore identify any gaps on the Standards themselves and the necessary guidance for their implementation.

2.4 Although implementation has been a primary function of PIRGS, it might be worth creating a specific procedural path for dealing with new Standards, which would ensure all States involved are properly made aware of how these will affect operations in their airspace as well as the required regulations. It should also provide for coordination steps in cases where such implementation affects more than one region. Once regulators and operators have completed the initial steps, an implementation plan with agreed dates, timelines, and checkpoints can be developed.

2.5 In some cases of implementation, State regulators were working on required legislation and approvals right up to the applicability date. These are cases where preparatory steps might have been missed by all concerned leading up to implementation. Industry can be late in providing the required information; State Regulators might not have established operational approvals, operators might not have planned or prepared to submit to the approval processes. This situation creates the potential for significant delays, route inefficiencies, and increased compliance complexities.

2.6 In addition, if a new Standard or the associated guidance material is misunderstood, misinterpreted, or received at a late stage, the implementation of the new Standard may result in confusion, and create additional problems. In this regard, and when considering the "No Country Left Behind" campaign, States which have difficulties in keeping up with advancements, may only fall further behind if they do not understand the Standard and or the required measures for the oversight process. In contrast, if advanced States find themselves encountering difficulties when implementing a new Standard, it may be indicative of potential deficiencies of the current Standard development and implementation process.

2.7 Ensuring industry is able to provide aircraft that can meet the intended performance of a new Standard, that regulators are prepared to provide appropriate oversight of the Standard and that operators have had sufficient time to equip and train their pilots, will provide for a better environment leading to effective implementation.

3. CONCLUSION

3.1 IATA invites the Conference to recommend that ICAO:

a) conduct a study with all stakeholders on how to better support the Standard making and implementation process;

b) develop a revised implementation process that includes an early impact assessment and timely guidance support in order to allow all involved to prepare themselves; and

c) develop procedures to formally involve the ICAO Regional Office and PIRGS on the implementation process of new SARPS.

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