



**FIRST UNASSIGNED HIGH SEAS AIRSPACE SPECIAL COORDINATION
MEETING (SCM/1)**

Lima, Peru, 22 to 24 July 2019

**Agenda Item 2: ICAO provisions and policy concerning the process for the amendment of Regional
Air Navigation Plans (ANP)**

**ICAO PROCEDURE FOR THE AMENDMENT OF REGIONAL AIR
NAVIGATION PLAN(S)**

(Presented by the Secretariat)

SUMMARY

This working paper provides information on the structure and content of regional air navigation plans and its amendment procedures approved by the ICAO Council.

Action by the meeting is in paragraph 4.

1 Introduction

1.1 Annex 11 – *Air Traffic Services* to the Convention refers to flight information regions (FIRs), which delineate the area for which a State is responsible for ATS. As such, FIRs may comprise not only sovereign airspace but also airspace over the high seas; paragraph 2.1.2 of the Annex states:

“Those portions of the airspace over the high seas or in airspace of undetermined sovereignty where air traffic services will be provided shall be determined on the basis of regional air navigation agreements. A Contracting State having accepted the responsibility to provide air traffic services in such portions of airspace shall thereafter arrange for the services to be established and provided in accordance with the provisions of this Annex.”

1.2 The ICAO regional Air Navigation Plans (ANPs) are used as a repository of the responsibilities assigned to States for the provision of air navigation facilities and services for international air navigation, pursuant to Article 28 of the Convention and in accordance with regional air navigation agreements. The objective is that facilities and services furnished by States in accordance with the ANP form an integrated system.

1.3 This paper presents the information on the structure and content of ICAO ANPs and their amendment procedures, approved by the Council on 18 June 2014 (C-DEC 202/4 refers)

2 THREE VOLUMES OF ANPs

2.1 ANP **Volume I contains stable plan elements whose amendment necessitates approval by the Council** such as the assignment of responsibilities to States for the provision of aerodrome and air navigation facilities and services in accordance with Article 28 of the *Convention on International Civil Aviation* (Doc 7300); and the current to medium term mandatory regional requirements related to aerodrome and air navigation facilities and services to be implemented by States in accordance with regional air navigation agreements and requirements specific to the region which are not covered in the ICAO Standards and Recommended Practices (SARPs) and Procedures for Air Navigation Services (PANS). The material to be included in Volume I should minimise the requirement for frequent amendment. The following is a non-exhaustive list of such elements:

- **Flight Information Regions (FIR) boundaries (Table and Charts);**
- Search and Rescue Regions (SRR) boundaries (Table and Charts);
- Volcanic Ash Advisory Centres (VAAC);
- Tropical Cyclone Advisory Centres (TCAC); and
- Volcano Observatories (VO).

2.2 ANP **Volume II contains dynamic plan elements** material related to the assignment of responsibilities to States for the provision of aerodrome and air navigation facilities and services and the current to medium term mandatory regional requirements related to aerodrome and air navigation facilities and services to be implemented by States in accordance with regional air navigation agreements involving the relevant PIRG. The amendment of these elements does not require approval by the Council. The following is a non-exhaustive list of such elements:

- **Major traffic flows;**
- **ATS route network;**
- Meteorological Watch Offices (MWO);
- Secondary Surveillance Radar (SSR) codes;
- Five-letter name-codes; and - VOLMET Broadcasts.

2.3 ANP **Volume III contains dynamic/flexible plan elements** providing implementation planning guidance for air navigation systems and their modernization taking into consideration emerging programmes such as the ICAO Aviation System Block Upgrades (**ASBUs**) and associated technology roadmaps described in the *Global Air Navigation Plan (GANP)* (Doc 9750). The ANP Volume III would also include appropriate additional guidance, particularly with regard to implementation, to complement the material contained in the ANP Volumes I and II. **The amendment of Volume III would not require approval by the Council** (approval of Part II is under the responsibility of the relevant PIRG).

2.4 Coincident with the adoption of the new, three part regional air navigation plans, was the need to review the procedure for the amendment of regional air navigation plans. This was evolved to provide a means of maintaining the regional air navigation plans using an ANP web based platform (refer to Appendix 1 - Procedure for the Amendment of Regional Air Navigation Plans).

3 Discussion

Amendment Proposals (excerpts from the Procedure for Amendment)

3.1 Plans should be revised when it becomes apparent that they are no longer consistent with current and foreseen requirements of international civil aviation.

3.2 Proposals for amendment are undertaken by correspondence between ICAO and the States and International Organizations concerned. Consultation will generally only include the provider and user States and International Organizations that have a direct and obvious interest in the amendment in question. Where the amendment affects adjacent FIRs, the proposer should provide information on consultation and agreement.

3.3 Proposals to the Secretary General for an amendment to the Regional Air Navigation Plan, may be submitted by:

- any State (or group of States);
- International Organizations directly concerned with the operation of aircraft (for Volume I & II only). These will be dealt with in the same manner as those received from States. The Secretary General will ascertain whether it has adequate support from the State or States whose facilities will be affected.
- the Secretary General (for Volume I & II only), provided that the State or States whose facilities will be affected have expressed their concurrence with the proposal.

3.4 Proposals must be adequately documented; the proposal should include the facts that lead the State (or group of States) to the conclusion that the amendment is necessary and previous consultation with other States before submitting an amendment proposal.

- Proposers should ensure that there is:
 - i. detailed and accurate information with regard to the change;
 - ii. an appropriate chart is provided for reference;
 - iii. prior consultation and agreement with the affected FIRs, and information on such consultation and agreement is provided (joint proposals are recommended).
 - iv. A complete list of States and International Organizations the proposal is to be circulated to.
 - The list should include the States or organisations affected by the change, not just neighbouring FIRs.
- ICAO Secretariat will provide comments.

Then what happens?

3.5 If the Secretary General considers that the proposed amendment requires further coordination the proposal will be presented to the PIRG. The views of the PIRG will be coordinated with the originating State and the proposed amendment will be processed for amendment for approval by the Council.

3.6 If the Secretary General considers that the proposed amendment conflicts with established ICAO policy, the proposal will be presented to the ICAO Air Navigation Commission. The Commission will decide the action to be taken on the proposal.

3.7 Provided 1 and 2 above do not apply, the Secretary General will ensure that the proposal is circulated with a request for comments to:

- all provider and user States in the region considered affected; and
- user States outside the region and International Organizations which may be concerned with the proposal.

3.8 If no objection is raised by a specified date, the President of the Council, is authorized to approve the amendment on behalf of the Council.

3.9 If, objection is raised, and if objection remains after further consultation, the matter will be documented for discussion PIRG and, ultimately for formal consideration by the Air Navigation Commission, if it remains unresolved. If the Commission concludes that the amendment is acceptable in its original or other form, it will present appropriate recommendations to the Council.

What does ICAO do to help with proposals?

3.10 It is the responsibility of ICAO to verify that the proposal is adequately documented and appropriate prior coordination has taken place before processing the proposal; and in particular ensure that it is:

- a) fully justified;
- b) accurate;
- c) complete;
- d) consistent; and
- e) timely.

3.11 How can ICAO help proposers through this process?

- Advice on how to complete the documentation “adequately”;
- Advice on how to meet the terms of the Assembly Resolution;
- Provision of suitable “Secretariat comments”;
- Advice on best course of action; and
- Facilitation of multilateral meetings.

4 Action by the Meeting

4.1 The meeting is invited to:

- a) Note the contents of the working paper; and
- b) apply these provisions, as necessary, when developing a joint proposal for amendment to the applicable regional air navigation plan(s).

Appendix A – Procedure for the Amendment of Regional Air Navigation Plans

Appendix B – Template for amendment proposal

Appendix C – Past Example amendment proposal

APPENDIX A**PROCEDURE FOR THE AMENDMENT OF REGIONAL AIR NAVIGATION PLANS
(Excluding amendments to Regional Supplementary Procedures)**

(Approved by the Council on 18 June 2014)

1. Introduction

- 1.1. The procedure outlined below has been evolved to provide a means of maintaining the regional air navigation plans using an ANP web based platform.

2. General criteria

- 2.1. The Assembly has resolved that regional plans should be revised when it becomes apparent that they are no longer consistent with current and foreseen requirements of international civil aviation and that, when the nature of a required change permits, the associated amendment of the regional plan should be undertaken by correspondence between the Organization and the States and international organizations concerned.
- 2.2. When a State cannot immediately implement a particular part or a specific detail of a regional plan although it intends to do so, when practicable, this in itself should not lead to the State proposing an amendment to the plan.
- 2.3. The general structure of the regional plans for the parts which concern an air navigation field in Volumes I and II consists of an "Introduction", "General Regional Requirements" and "Specific Regional Requirements". As the section "General Regional Requirements" is harmonized for all regions, an amendment of the provisions (text) in "General Regional Requirements" will lead to amendment of Volumes I and II of the regional plans of all regions.
- 2.4. The amendment process of Volume III is under the responsibility of the relevant Planning and Implementation Regional Group (PIRG). The Parts 0 (Introduction) and I (General Planning Aspects) of Volume III are harmonized for all regions and the amendment of these parts should be made following inter-regional coordination.

3. User rights

- 3.1. Access to the ANP web based platform to develop and submit amendment proposals to the regional plan and to comment on an officially issued amendment proposal should be provided through controlled access by the State's or international organization's designated Focal Points. The State or international organization should officially inform their respective Regional Office of the registration of their designated Focal Points.

4. States and international organizations to be consulted

- 4.1. The Secretary General, through the relevant Regional Office, will determine the States and international organizations to be consulted on the amendment proposal. These will generally only include the provider and user States and international organizations that have a direct and obvious interest in the amendment in question.

PART A — AIR NAVIGATION PLANS, VOLUME I**5. Procedure for amendment of Volume I**

- 5.1. If, in the light of the above general criteria, any State (or group of States) wishes to effect a change in the approved air navigation plan for that region, it should propose to the Secretary General, through the Regional Office accredited to that State, an appropriate amendment to the plan, adequately documented; the proposal should include the facts that lead the State (or group of States) to the conclusion that the amendment is necessary. Such amendments may include additions, modifications or deletions. (This procedure does not preclude a State having previous consultation with other States before submitting an amendment proposal to the Regional Office.) This proposed amendment should be submitted via the web based tool and/or by correspondence to the Regional Office.
- 5.2. Upon studying the proposal, if the Secretary General considers that the proposed amendment requires further coordination through the relevant Planning and Implementation Regional Group (PIRG), the proposal will be presented, adequately documented, to the PIRG. The views of the PIRG will be coordinated with the originating State and the proposed amendment will be uploaded via the ANP web based platform for processing proposals for amendment for approval by the Council.
- 5.3. If the proposal concerns an amendment of the provisions (text) in “General Regional Requirements”, the Secretary General will coordinate and circulate, through all Regional Offices, an amendment of all the regional plans.
- 5.4. If the Secretary General considers that the proposed amendment conflicts with established ICAO policy, or that it raises questions which the Secretary General considers should be brought to the attention of the Air Navigation Commission, the proposal will be presented, adequately documented, to the Commission. In such cases, the Commission will decide the action to be taken on the proposal.
- 5.5. The Secretary General, through the Regional Office, will circulate the proposal, adequately documented, with a request for comments to all provider and user States of the region considered affected as well as to user States outside the region and international organizations which may be invited to attend suitable ICAO meetings and which may be concerned with the proposal. The States and international organizations concerned should either send their comments/agreement/objection via the ANP web based platform and/or by correspondence to the Regional Office. Any comment or objection should be adequately supported by reasons for the comment or objection.
- 5.6. If, in reply to the Secretary General's inquiry, no objection is raised to the proposal by a specified date, the proposal should be submitted to the President of the Council, who is authorized to approve the amendment on behalf of the Council. The approved amendment should be incorporated into Volume I of the regional plan.
- 5.7. If, in reply to the Secretary General's inquiry, any objection is raised, and if objection remains after further consultation, the matter will be documented for discussion by the respective planning and implementation regional group (PIRG) and, ultimately for formal consideration by the Air Navigation Commission, if it remains unresolved. If the Commission concludes that the amendment is acceptable in its original or other form, it will present appropriate recommendations to the Council.
- 5.8. Proposals for the amendment of Volume I of the regional plan submitted by international organizations directly concerned with the operation of aircraft, which may be invited to attend suitable ICAO meetings and which attended the meeting(s) where the relevant regional plan is managed, will be dealt with in the same manner as those received from States, except that, before circulating a proposal to

States and selected international organizations, the Secretary General will ascertain whether it has adequate support from the State or States whose facilities will be affected. If such support is not forthcoming, the proposal will be presented to the Commission, and the Commission will decide on the action to be taken on the proposal.

- 5.9. Proposals for the amendment of Volume I of the regional plan may also be initiated by the Secretary General, through the Regional Office accredited to that State, provided that the State or States whose facilities will be affected have expressed their concurrence with the proposal.
- 5.10. Amendments to Volume I of the regional plan which have been approved in accordance with the above procedure will be published in the ANP web based platform at convenient intervals.

PART B — AIR NAVIGATION PLANS, VOLUME II

6. Procedure for amendment of Volume II

- 6.1. Amendments of Volume II of the regional plan should be effected on the basis of an adequately documented proposal submitted by a State (or a group of States) or the relevant PIRG to the Secretary General, through the Regional Office accredited to that State. The proposal should include the facts that lead to the conclusion that the amendment is necessary. Such amendments may include additions, modifications or deletions to Volume II of the regional plan. (This procedure does not preclude a State having previous consultation with other States before submitting an amendment proposal to the Regional Office.) This proposed amendment should be submitted via the ANP web based platform and/or by correspondence to the Regional Office.
- 6.2. If the proposal concerns an amendment of the provisions (text) in “General Regional Requirements”, the Secretary General will coordinate and circulate, through all Regional Offices, an amendment of all the regional plans.
- 6.3. The ICAO Regional Office will circulate the proposal, adequately documented, with a request for comments to all provider and user States of the region considered affected as well as to user States outside the region and international organizations which may be invited to attend suitable ICAO meetings and which may be concerned with the proposal. The States and international organizations concerned should either send their comments/agreement/objection via the ANP web based platform and/or by correspondence to the Regional Office. Any comment or objection should be adequately supported by reasons for the comment or objection.
- 6.4. If, in reply to the ICAO Regional Office’s inquiry, no objection is raised to the proposal by a specified date, it will be deemed that a regional agreement (involving the relevant PIRG) on the subject has been reached and the proposed amendment should be incorporated into Volume II of the regional plan.
- 6.5. If, in reply to the ICAO Regional Office’s inquiry, any objection is raised, and if objection remains after further consultation, the matter will be documented for discussion by the respective planning and implementation regional group (PIRG) and, ultimately for formal consideration by the Air Navigation Commission, if it remains unresolved. If the Commission concludes that the amendment is acceptable in its original or other form, it will present appropriate recommendations to the Council.
- 6.6. Proposals for the amendment of Volume II of the regional plan submitted by international organizations directly concerned with the operation of aircraft, which may be invited to attend suitable ICAO meetings, where the relevant regional plan is managed, will be dealt with in the same manner as

those received from States, except that, before circulating a proposal to States and selected international organizations, the Secretary General will ascertain whether the proposal has adequate support from the State or States whose facilities or services will be affected. If such support is not forthcoming, the proposal will not be pursued.

- 6.7. Proposals for the amendment of Volume II of the regional plan may also be initiated by the Secretary General, through the Regional Office accredited to that State, provided that the State or States whose facilities or services will be affected have expressed their concurrence with the proposal.
- 6.8. Amendments to Volume II of the regional plan which have been approved in accordance with the above procedure will be published in the ANP web based platform at convenient intervals.

PART C — AIR NAVIGATION PLANS, VOLUME III

7. Procedure for amendment of Volume III

- 7.1. Amendments of Volume III of the regional plan are under the responsibility of the relevant Planning and Implementation Regional Group (PIRG) and not subject to a formal application of the procedure for amendment of the ANP described in Parts A and B above. However, the amendment of the provisions of Part 0 - “Introduction” and Part I - “General Planning Aspects” needs special coordination, as specified in 7.4 below. Since these two Parts are harmonized for all regions, an amendment of the provisions contained there-in will lead to amendment of Parts 0 and I of Volume III of the regional plans of all regions.
- 7.2. Amendments of Volume III of the regional plan should be effected on the basis of an adequately documented proposal submitted to the ICAO Regional Office concerned by:
 - a State (or a group of States); or
 - the relevant Planning and Implementation Regional Group (PIRG) of the region(s); or
 - the ICAO Secretariat; or
 - International organisations directly concerned with the operation of aircraft, which may be invited to attend suitable ICAO meetings and/or which attended the meeting(s) where the relevant Volume III amendments were agreed.
- 7.3. This procedure does not preclude a State (or group of States) having previous consultation with other States before submitting an amendment proposal to the Regional Office. Such amendments may include additions, modifications or deletions to Volume III of the regional plan. In addition, the facts that led to the conclusion that the amendment should be included.
- 7.4. If the proposal concerns an amendment of the provisions in Part 0 - “Introduction” or Part I - “General Planning Aspects”, the ICAO Regional Office concerned will submit the proposal to ICAO Headquarters (Air Navigation Bureau) for coordination with all ICAO Regional Offices. The views of the ICAO Regional Offices will be taken into consideration in the consolidation/approval of the amendment by the ANB. The approved amendment will be published in Volume III of all regional plans at convenient intervals.
- 7.5. The mechanism for the amendment of Part II of Volume III of the regional plan should be developed, agreed by the relevant PIRG and reflected in the corresponding PIRG Handbook.



APPENDIX B

**PROPOSAL FOR AMENDMENT OF THE ICAO [name]
AIR NAVIGATION PLAN, VOLUME [number]**

(Serial No.: [Region]-[Vol number] [YY]/[number]-[Vol Sections] amended)
e.g. ESAF-I 19/06-ATM

- a) **Plan** e.g. Africa-Indian Ocean (AFI) Air Navigation Plan (Doc 7474), AFI eANP, Volume I
- b) **Proposed amendment:** Detail the amendments to all affected sections, e.g.: GEN, AOP, CNS, ATM, MET, SAR, AIM
- ATM**
- i) Amend etc.
- ii) Delete etc.
- iii) Add etc.
Including relevant charts.
- c) **Originated by:** Ideally a pre-coordinated, joint proposal is submitted, resulting in a number of States specified.
- d) **Originator's reasons for amendment:** States A, B, C & D considered it desirable to... etc (include the facts that lead the State (or group of States) to the conclusion that the amendment is necessary. For airspace delineation amendments, this should concentrate on technical and operational improvements that will result from the amendment)
- e) **Intended date of implementation:** As soon as practicable after approval by the Council.
- f) **Proposal circulated to following States and International Organizations:** All States in the affected region(s) should be named, PLUS any provider and user States and international organizations that have a direct and obvious interest in the amendment in question.
- g) **Secretariat Comments:** ICAO Secretariat will provide comments in support, or otherwise, of the proposed amendment, including background, overview of pre-proposal coordination, and technical and operational considerations taken into account.

APPENDIX C

PROPOSAL FOR AMENDMENT OF THE ICAO AIR NAVIGATION PLAN — ASIA AND PACIFIC REGION (DOC 9673)

(SERIAL NO. APAC 98/8 — ATS/COM/MET/SAR/AIS)

a) **Plan:** ASIA/PAC, Doc 9673b) **Proposed amendment:****ATS**i) **Amend** the Auckland FIR as follows:

...
 S 25 00 00 E 171 25
~~S 25 00 00 W 175 30~~
~~S 18 35 00 W 169 00~~
~~S 15 52 00 W 170 00~~
~~S 13 50 00 W 169 04~~
~~S 05 00 00 W 160 00~~
 S 25 00 00 180 00
 S 15 32 45.1 W 175 40 31.2
 S 05 00 00 W 171 00
 S 05 00 00 W 157 00

...
 (cf. Chart ATS 1, 2 and 3C)

ii) **Amend** the eastern boundary of NADI FIR accordingly.**COM****Add** the requirement for the following ATS Direct Speech Circuits:

Apia-Faleolo/Tongatapu;
 Apia-Faleolo/Auckland; and
 Tongatapu/Auckland

(cf. Table COM 1B, pages 3-1-25, 3-1-27 and Chart COM 4)

MET**Amend** requirement for the meteorological office responsible for provision of meteorological service at Pago Pago, Faleolo, Fua'amotu and Vava'u aerodromes by replacing "Nadi (NFFN) with "Wellington (NZWN)".

(cf. Table MET 1A, page 4-1-1, 4-1-3, 4-1-15 and 4-1-16)

SAR

- i) **Amend** requirement for Search and Rescue Services by extending the boundary of Auckland SRR to coincide with the FIR boundary. (cf. SAR 1)
- ii) **Amend** the eastern boundary of Nadi SRR accordingly.

AIS

Amend Area of Responsibility of International NOTAM Offices by amending the common boundary of Auckland and Nadi FIRs. (c.f. Chart AIS 1)

c) Originated by: Tonga

d) Originator's reason for amendment:

Samoa and Tonga consider it desirable to delegate the air traffic services in their upper airspace to New Zealand to be provided by the Oceanic Surveillance System operated by Auckland Area Control Centre in order to:

- i) facilitate early implementation of the ICAO communications, navigation, and surveillance/air traffic management (CNS/ATM) concept;
- ii) recognize the requirements of major traffic flows in the Pacific area;
- iii) provide a homogeneous air traffic management region;
- iv) provide improved continuity of services and reduce the en-route coordination for the busiest ATS routes by minimizing FIR boundary crossings;
- v) provide full support for dynamic routing and permit individual aircraft to their optimized tracks in the interest of efficiency and economy of operation, whilst preserving safety levels
- vi) provide the means for further improved services and safety oversight in the airspace adjacent to Samoa and Tonga;
- vii) provide more cost-efficient and higher value services to the user airlines.

e) Intended date of implementation: Six months following the approval of the Council.

f) Proposal circulated to the following States and Organizations:

Australia	Kiribati	Solomon Islands
Brunei Darussalam	Malaysia	Thailand
China	Marshall Islands	Tonga*
(cc: Hong Kong, China)	Micronesia, Federated States of	United States
Cook Islands	Nauru	Vanuatu
Fiji	New Zealand	
France	Papua New Guinea	
(cc: French Polynesia)	Republic of Korea	IATA
(cc: New Caledonia)	Samoa	IFALPA
Japan	Singapore	IFATCA

g) Secretariat Comments:

- i) The proposal to realign the Nadi/Auckland common FIR boundary is seen as an interim measure until such time in the future that unified airspace systems in the South Pacific are developed.
- ii) Recognizing that various letters of agreement will need to be amended, the operation of aircraft through the area may be less complex, without degrading operational safety and efficiency.
- iii) In accordance with the provisions outlined in Annex 12 — *Search and Rescue* to the ICAO Convention, the proposal would re-align the common SRR boundary between Nadi and Auckland to coincide with the FIR boundary. This would require a thorough review of present search and rescue agreements amongst States in the South Pacific.
- iv) Amendment to Table MET 2 — Exchange of operational meteorological information not catered for by the ROBEX scheme, to add requirements for OPMET data to be available in New Zealand, will be made by the Secretariat in coordination with States concerned in due course, since this table is not subject to the formal procedures for the amendment to the air navigation plan (ANP).