



International Civil Aviation Organization

**EIGHTH MEETING OF THE ASIA PACIFIC REGIONAL AVIATION SAFETY TEAM
(APRAST/8)**

(Bangkok, Thailand, 28 March – 1 April 2016)

Agenda Item 3: Update of RASG-APAC/5 Decisions and Work Programmes

DEVELOPMENT OF RASG-APAC PROCEDURAL HANDBOOK

(Presented by the Secretariat)

SUMMARY

This paper presents the current status of the Regional Aviation Safety Group Asia and Pacific Region (RASG-APAC) Procedural Handbook.

1. INTRODUCTION

1.1 At the APRAST/5 Meeting the Secretariat was tasked to develop a Procedures Manual for RASG-APAC. The Procedures Manual would document the APANPIRG/RASG-APAC coordination mechanism and framework, as well as other areas such as working procedures and arrangements, terms of reference of the various working groups and process for development of safety enhancement initiatives.

2. DISCUSSION

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

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

2.2 On 9 September 2015, a state letter was sent to all APAC states along with the Draft RASG-APAC Procedural Handbook of April 2015 according to the Decisions of APRAST 7/21 and 7/22 for the State comments with a deadline till 20 September 2015. There were comments from Singapore, AAPA, Boeing and Hong Kong, China. After the comments were consolidated the content now cover under following areas differing little bit from para 2.1

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

2.3 The updated version of the draft RASG-APAC Procedural Handbook was to be submitted to RASG-APAC/5 for approval, after review by the APRAST Co-Chairs. In the preparations for the RASG-APAC/5 meeting, it became apparent that while an outline of the Procedures Manual has been developed at this time, further effort was needed to improve the structure and the content of the Manual and to reflect all policies and procedures currently being practiced by RASG-APAC including its subsidiary bodies. The Secretariat assessed that it was not possible to complete a finalised draft in time for approval at RASG APAC/5. The Secretariat planned to continue drafting of the procedural manual, with the assistance of the Co-Chairs of Safety Enhancements Initiatives Working Group (SEI WG), the Vice-Chairs of Asia Pacific Safety Reporting and Programme Working Group (AP-SRP WG), the US Commercial Aviation Safety Team (US CAST) and the Association of Asia Pacific Airlines (AAPA). However, the para 3.2.3. “*APANPIRG/RASG-APAC Coordination Mechanisms and Framework*” and para 1 “*Glossary*” has to be developed. The draft text and selected definitions for the Glossary is to be discussed for the considerations of the meeting to be included in the Handbook.

2.4 The draft RASG-APAC Procedural handbook, 2nd Edition, March 2016 so far updated is at **Attachment A** for information.

3. ACTION BY THE MEETING

3.1 The Meeting is invited to

- a) discuss the updated draft RASG-APAC Procedural Handbook in APRAST/8, and finalize the “*APANPIRG/RASG-APAC Coordination Mechanisms and Framework*” and “*Glossary*” along with the inputs of different Working Groups and Teams to be included. If no major changes arise out of the meeting discussion; and
- b) submit the draft RASG-APAC Procedural Handbook with further refinements to RASG-APAC/6 for approval.

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INTERNATIONAL CIVIL AVIATION ORGANIZATION



2nd DRAFT

REGIONAL AVIATION SAFETY GROUP – ASIA PACIFIC

(RASG-APAC)

PROCEDURAL HANDBOOK

FIRST EDITION – MARCH 2016

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RASG-APAC PROCEDURAL HANDBOOK – GENERAL

INTRODUCTION

FOREWORD

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

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

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

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

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

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TABLE OF CONTENTS

| | Page |
|---|-------------|
| INTRODUCTION | |
| Foreword | ii |
| 1. GLOSSARY | 1 |
| 2. BACKGROUND | 1 |
| 3. TERMS OF REFERENCE FOR RASG-APAC | 2 |
| 4. RASG-APAC WORKING ARRANGEMENTS | 7 |
| 5. ROLES AND RESPONSIBILITIES | 11 |
| 6. MEETING DOCUMENTATION..... | 12 |
| 7. RASG-APAC ORGANIZATIONAL STRUCTURE | 15 |

Appendices

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

Attachments

- Attachment 1 — Process for the publication and distribution of the APAC Annual Safety Report
- Attachment 2 — Process for the development and distribution of APAC SEIs

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1. GLOSSARY

1.1. *(in progress)*

2. BACKGROUND

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

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

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

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

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

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

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

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

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

3. TERMS OF REFERENCE FOR RASG-APAC

3.1. ESTABLISHMENT

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

3.2. MEMBERSHIP

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

- a) those whose territories or dependencies are located partially or wholly within the geographical area of the Asia and Pacific regions;
- b) those located outside the area:
 - 1) which have notified ICAO that aircraft on their register or aircraft operated by an operator whose principal place of business or permanent residence is located in such States, operate or expect to operate into the area; or
 - 2) who provide facilities and services affecting the area.

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

3.3. RESOURCES

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

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

3.4. WORK PROGRAMME

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

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

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

3.4.3. RASG-APAC will approve the RASG-APAC Standing Work programme based on the recommendations presented by the Asia and Pacific Regional Aviation Safety Team (APRAST) at each RASG meeting. The Standing Work Programme is the comprehensive list of APRAST recommendations that have been approved by RASG-APAC for implementation.

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

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

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

3.5. ADMINISTRATION OF THE RASG-APAC

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

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

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

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

3.6. MEETING OF THE GROUP

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

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

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

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

3.7. ESTABLISHMENT OF SUB-GROUPS

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

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

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

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

3.8. WORKING GROUPS

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

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

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

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

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

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

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

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

3.9. ROLE OF DESIGNATED MEMBERS

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

3.10. COORDINATION AND REPORTING LINES

3.10.1. The RASG-APAC reports to the ICAO Air Navigation Commission and, as needed, to the Council through its Secretary and the ICAO Secretariat.

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

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

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

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

3.11. MONITORING STATUS OF IMPLEMENTATION

3.11.1. The States: to take full responsibility towards implementation activities that fall within the State's purview.

3.11.2. Service Providers/Industry: to take full responsibility towards implementation activities that fall within their purview.

3.11.3. The States: to be responsible for forwarding periodic status reports to ICAO APAC Office in respect of all implementation activities.

3.11.4. ICAO APAC Office: to compile and present all Status reports to APRAST for deliberation.

3.11.5. APRAST: be responsible for reporting the Status of implementation and any further recommendations to RASG-APAC for consideration

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

3.12.1. Working Group established by RASG-APAC as a working group of RASG APAC will support the continuing and coherent development and implementation of the RASG-APAC and APRAST Work Plans in accordance with the objectives of Global Aviation Safety Plan (GASP);

- a) Review and identify deficiencies and develop mitigating action plans for review by APRAST membership for comments and final consideration by RASG-APAC for implementation;
- b) All comments by the APRAST on recommendations by one of the APRAST Working Groups unless editorial in nature will be referred to the working group for their final observations before being forwarded to RASG-APAC through APRAST for consideration;
- c) The working groups are considered specialists groups and any major revision of a working group report or outright rejection of conclusions or major recommendations from working groups to the APRAST plenary should have a referral process (in or out of session) before adoption by the APRAST for on-forwarding to RASG-APAC;
- d) Any disagreement between the working group and APRAST shall be forwarded to RASG-APAC for a decision.
- e) In rare situations where adoption by APRAST may result in delays which may not be in the interest of aviation safety or the timely completion of work undertaken by the sub-groups, the working groups may request the RASG-APAC through the APRAST Co-chairs for a quick decision.
- f) For the purpose of enhancing the efficiency and effectiveness of APRAST SEI WG, thoroughly reviewed and discussed SEI deliverables (ie. DIP or model AC) should be presented during APRAST meetings. To serve this purpose, SEI Champions should circulate those SEI deliverables ready to be discussed in the next APRAST meeting, through the Secretariat, to Member States/Administrations for consultation. The SEI Champion should initiate the consultation process prior to the next APRAST meeting and allow sufficient time for Member States/Administrations to review the draft deliverables and provide their comments. The Secretariat should facilitate the collection of comments and make these comments available to the SEI Champion. SEI Champions should review the comments received and make any necessary revision to the deliverables to be presented in the next APRAST meeting for review.

4. RASG-APAC WORKING ARRANGEMENTS

4.1. RELATIONS WITH STATES

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

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

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

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

4.2. RELATIONS WITH OTHER BODIES AND ORGANIZATIONS

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

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

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

4.2.3. APANPIRG/RASG-APAC Coordination Mechanisms and Framework *(to be discussed)*

4.2.3.1. Coordination Mechanism Principles

- APANPIRG and RASG-APAC shall coordinate and support each other to achieve the agreed targets for the established regional priorities and implementation plans endorsed by the respective group (e.g. Review and support implementation of subsequent versions of the Asia/Pacific Seamless ATM Plan by the RASG);
- Continuous coordination by Secretariat for both APANPIRG and RASG-APAC to avoid duplication and gaps and to ensure alignment and harmonization of priorities, plans and actions;
- Secretariat will present a paper reporting on regional group coordination activities at each regional group plenary meeting and their key subsidiary bodies as appropriate;
- Chairs of APANPIRG and RASG-APAC will attend a coordination meeting at the ICAO Asia Pacific Regional Office once a year and hold periodic coordination web meetings in between the face-to-face meetings if deemed necessary;
- Chairs will agree which regional group shall lead on each coordination topic and ensure coordination, information sharing and cross-reporting to the other group Chair, and if there is any change in lead regional group responsible, plan and ensure a smooth transition. Each group leading a coordination topic should identify any implications on the activities of the other group and highlight them to the other group and the Secretariat;
- Safety management, safety oversight system and flight operations safety aspects will usually fall under the RASG;
- Air navigation facilities and services implementation aspects will usually fall under the PIRG;
- Areas of coordination between PIRG and RASG is primarily in AGA and ANS safety areas;
- Cooperation to ensure that the priority ASBUs are implemented in the most efficient and safe manner; and

Note: Examples of possible future coordination actions between RASG-APAC and APANPIRG include, but are not limited to, the following:

- Involvement of RASG-APAC's APRAST and APANPIRG's RASMAG in each other's activities;
- Establishment of an analysis body (similar to the Regional Monitoring Agency (RMA)/Enroute Monitoring Agency (EMA) models that report to RASMAG for vertical and horizontal safety analysis) that manages ATS safety incidents/concerns/occurrences for onward reporting to RASG-APAC's APRAST for further action;

4.2.3.2. Lead Regional Group Responsibilities

4.2.3.2.1. Agreed Lead regional group responsibilities at the First and second meeting of the APANPIRG/RASG-APAC Coordination Meeting held on 9th September 2014 and 21 May 2015 respectively.

Aerodromes related topics

| Coordination Item | APANPIRG | RASG-APAC |
|--|----------|-----------|
| Aerodrome Infrastructure and Adjacent Land Use | X | |
| Runway Safety Programmes | | X |
| Runway Safety Teams | | X |
| Bird/Wildlife Management Programmes/Strike Incidents | | X |
| Ground Operations, FOD, Ramp Procedures | | X |

ANS related topics

| Coordination Item | APANPIRG | RASG-APAC |
|-----------------------------|----------|-----------|
| RVSM/LHDs (RASMAG) | X | |
| Other ATS Incidents | X | |
| ATS Phraseology | X | |
| Civil/Military Coordination | X | |
| SAR | X | |

Other topics

| Coordination Item | APANPIRG | RASG-APAC |
|--|-----------------|------------------|
| Safety Management Systems (SMS) | | X |
| Language Proficiency Requirements (LPR) | | X |
| Airborne Collision Avoidance System II (ACAS II)/TCAS II | | X |
| Pressure Altitude Responding Transponder | | X |

4.3. CONVENING AND CONDUCT OF MEETINGS OF RASG-APAC

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

Note: The convening of at least one meeting every 12 months would generally suffice. However, RASG-APAC may convene additional meetings as necessary.

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

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

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

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

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

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

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

5. ROLES AND RESPONSIBILITIES

5.1. OFFICERS AND SECRETARIAT OF THE RASG-APAC

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

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

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

- a) coordinate Meeting logistics with meeting host(s);
- b) develop Meeting Agendas;
- c) ensure Meeting Agendas, documentation and summaries are provided to members;
- d) ensure meeting summaries, notices, and related documents are posted in a timely manner on the RASG-APAC section of the ICAO APAC Regional Office website;
- e) track, monitor and facilitate action items and report status to the Group;
- f) ensure alignment of RASG-APAC activities with the GASP/GASR;
- g) maintain communication with the Co-Chairs, and RASG-APAC Members;
- h) update the Master Safety Enhancement Initiative (SEI) Registry when updates are provided by the SEI WG; and
- i) identify required administrative support.

5.2. CHAIRPERSON(S)

5.2.1. The Chairperson will:

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

5.3. MEMBERS:

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

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

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

5.3.3. RASG-APAC members/partners will:

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

5.4. NON-MEMBER PARTICIPANT AND GUEST OBSERVERS:

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

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

6. MEETING DOCUMENTATION

6.1. SUPPORTING DOCUMENTATION

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

6.1.2. Supporting documentation shall be presented in the form of:

- a) *Information Papers*: are papers prepared on an ad hoc basis in the course of a Meeting with the purpose of assisting participants in their discussions on a specific matter or in the development of conclusions for the draft report of the meeting.
- b) *Working Papers*: constitute the main basis of the discussions on the various items on the agenda.

- c) *PowerPoint Presentations*: may be delivered to support the information and working papers and also to provide additional information and knowledge of certain important issue(s).

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

6.2. CONCLUSIONS AND DECISIONS OF THE MEETINGS

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

- a) Conclusions; and
- b) Decisions.

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

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

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

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

6.3. REPORT

6.3.1. Reports of meetings shall be simple and concise and shall include:

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

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

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

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

6.4. RASG-APAC Activities Monitoring Tools

6.4.1. *RASG-APAC Decisions Status Documents*

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

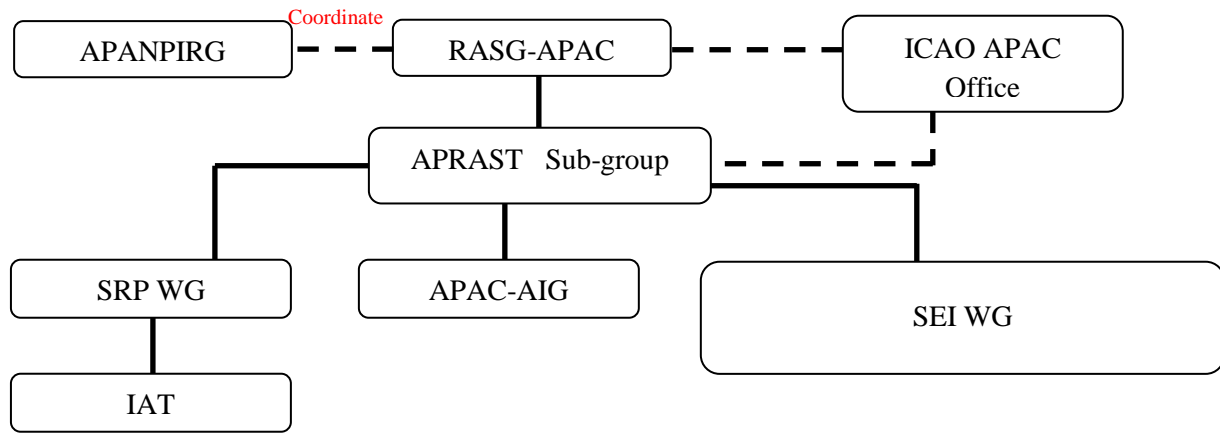
6.4.2. *RASG-APAC Yearly/Standing Work Programme*

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

6.4.3. *A Master Safety Enhancement Initiative (SEI) Registry*

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

7. RASG-APAC ORGANIZATIONAL STRUCTURE



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

1.0 Background

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

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

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

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

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

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

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

1.6 The GASP is based on the following four principles:

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

2.0 Objective

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

2.2 To accomplish the objectives, the APRAST will:

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

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

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

3.0 APRAST Modalities

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

3.2 The APRAST will accomplish the following:

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

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

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

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

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

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

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

TERMS-OF-REFERENCE
ASIA PACIFIC ACCIDENT INVESTIGATION WORKING GROUP
(APAC-AIG WG)
UNDER
REGIONAL AVIATION SAFETY GROUP - ASIA PACIFIC (RASG-APAC)
(Approved by RASG-APAC/1, updated at RASG-APAC/4)

1.0 Background

1.1 These terms-of-reference outline the concept and modalities for the Asia Pacific – Accident Investigation Working Group (APAC-AIG WG) working under direction of the RASG-APAC/APRAST.

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

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

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

1.5 The GASP is based on the following four principles:

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

2.0 Objective

2.1 An APAC-AIG Working Group will be established under the RASG-APAC/APRAST to review the Global Aviation Safety Plan/Roadmap (GASP/R) Global Safety Initiative 3/Focus Area 3 – Impediments to Reporting of Errors and Incidents and GSI 4/Focus Area 4 – Ineffective Incident and Accident Investigation. The appraisal will include a review of the best practices and metrics and the APAC-AIG WG will propose recommendations to complete implementation as prescribed by the metrics.

2.2 To accomplish the objectives, the APAC-AIG WG will:

- 2.2.1 review, for application within Asia and Pacific regions, existing policies and procedures related to the reporting of errors and incidents; and accident investigation, which have already been developed;
- 2.2.2 review, for application within Asia and Pacific regions, the best practices and metrics defined in Global Safety Initiative/Focus Area 3 and 4 of the GASP/GASR; and
- 2.2.3 review, regional accidents and significant incident trends and other areas of local concern to determine unique issues that may warrant locally developed policies and procedures to effectively capture information for study and for the development of recommendations. The focus and priority for APRAST-AIG AWG will be to introduce, support, and develop actions, which have the potential to effectively and economically reduce the regional aviation accident risk.

3.0 APAC-AIG WG Modalities

3.1 The Regional Officer, Flight Safety, ICAO APAC Office will be the Secretary to the APAC-AIG WG. The Air Accident Investigation Board of Singapore will provide technical support. Membership of the APAC-AIG WG will come from participating accident investigating organizations in the Region. Others may be invited to participate as appropriate. A Chairperson and Vice Chairperson will be elected from the nominated members from the participating States' accident investigation organizations.

3.2 The APAC-AIG WG will accomplish the following:

- Review and/or prepare policies and procedures that can be used in the region to establish an voluntary incident reporting system as envisioned by Global Safety Initiative 3;
- Review and/or prepare policies and procedures that can be used in the region to establish an accident investigation capability as envisioned by Global Safety Initiative 4;
- Identify areas of concern that may be unique to the region or require emphasis within the region, and develop and/or review policies and procedures to address those concerns;
- Work closely with the APRAST, service providers, airlines, manufacturers, industry and labor associations, and other appropriate organizations to ensure that the policies and procedures are developed through a coordinated effort.

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

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

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

REVISED TERMS-OF-REFERENCE
ASIA PACIFIC – SAFETY REPORTING AND PROGRAMME WORKING GROUP
(AP-SRP WG)
(Approved at RASG-APAC/4)

A) Purposes of the AP-SRP WG:

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

B) Membership:

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

C) Roles and Responsibilities:

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

**TERMS OF REFERENCE (ToRs) OF THE
ASIA PACIFIC – SRP WG INFORMATION ANALYSIS TEAM (IAT)**

(Approved at RASG-APAC/4)

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

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

B) Membership

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

C) Roles and Responsibilities:

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

D) Data Protection:

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

**PROPOSED TERMS-OF-REFERENCE FOR THE
SAFETY ENHANCEMENT INITIATIVES WORKING GROUP (SEI WG)**

(Approved at RASG-APAC/4)

1. Background

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

2. Objectives of the SEI WG

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

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

2.2.1. Assist APRAST in the identification and development of SEIs, for application within the Asia and Pacific regions, which are aligned with the regional priorities and targets. The focus of these SEIs is to effectively and economically mitigate regional safety risks identified by the Asia Pacific Safety Reporting and Programme Working Group.

2.2.2. Assist APRAST in the provision of generic implementation guidance related to the SEIs to guide members through the SEI implementation process

2.2.3. Assist APRAST in the identification of assistance programmes such as, but not limited to, workshops and seminars to improve the level of implementation of developed SEIs, with the support of the Secretariat.

2.2.4. Develop and conduct a process to review existing SEIs and provide recommendations to improve the effectiveness and level of implementation.

3. SEI WG Modalities

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

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

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

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

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

Asia Pacific Annual Safety Report Production Process

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

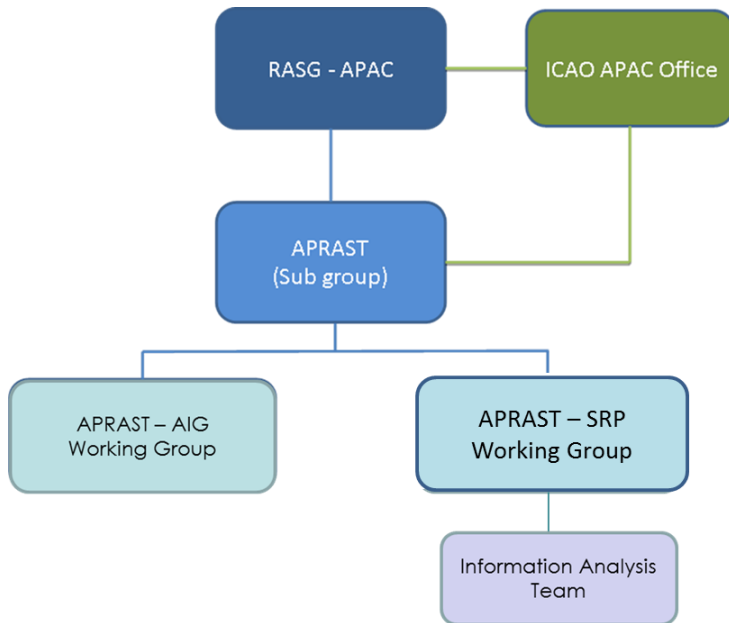
The APRAST-AP SRP WG gathers safety information from various sources to determine the main aviation safety risks in the Asia Pacific region. To be included in the Annual Safety Report are:

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

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

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

Figure 1: Organization



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

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

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Safety Enhancement Initiative Work Group (SEI)

Purpose of the SETs:

The purpose of the SEI is to develop and review Safety Enhancements and Detailed Implementation Plans (DIPs) for top focus areas as identified by APRAST (i.e., LOC-I, CFIT, Runway Safety and/or any other SEIs to be addressed emanating from APRAST ToRs.

Membership:

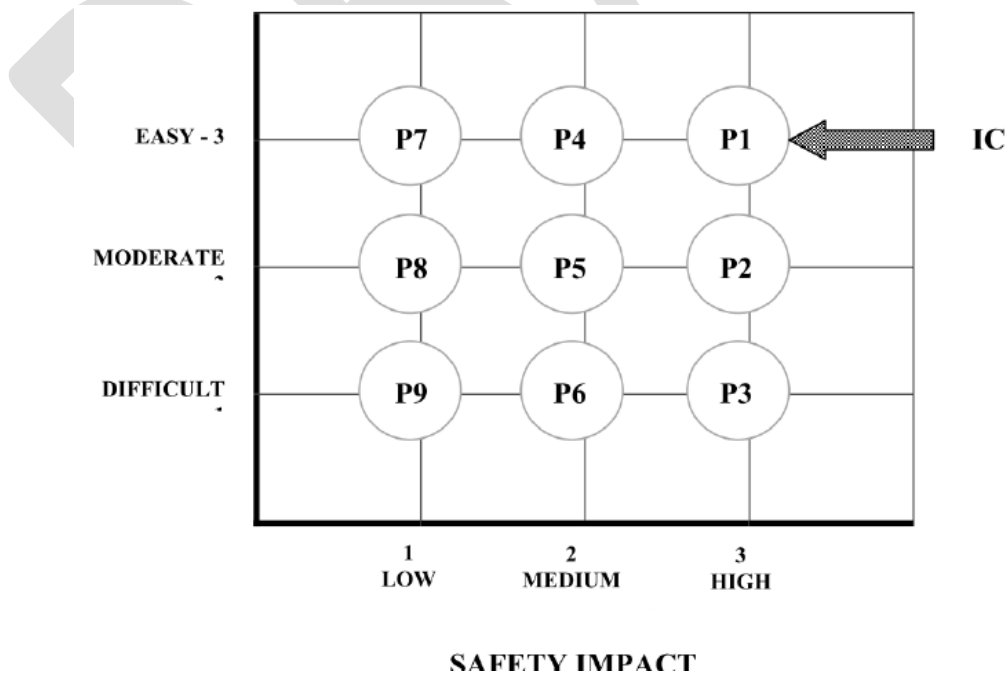
The SEI will include States/Territories and International Organizations/Industry. The team leader(s) will be responsible to coordinate the team meetings and will report to the APRAST meetings.

Safety Enhancement Work Group:

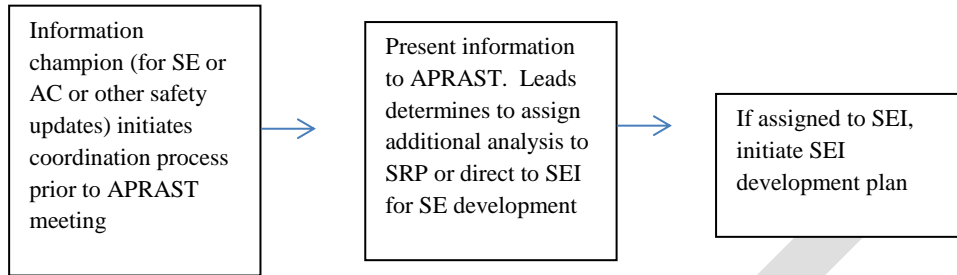
1. Review analysis of information provided by APRAST and other available sources such as COSCAP, CAST or other organizations.
2. Review applicable safety enhancements, as assigned by the APRAST for regional development.
3. Start preparing DIPs
4. Review DIPs with APRAST
5. Present DIPs to RASG for information
6. Coordinate DIP implementation at APRAST
7. Monitor progress

RASG-APAC Safety Enhancement Initiative Methodology

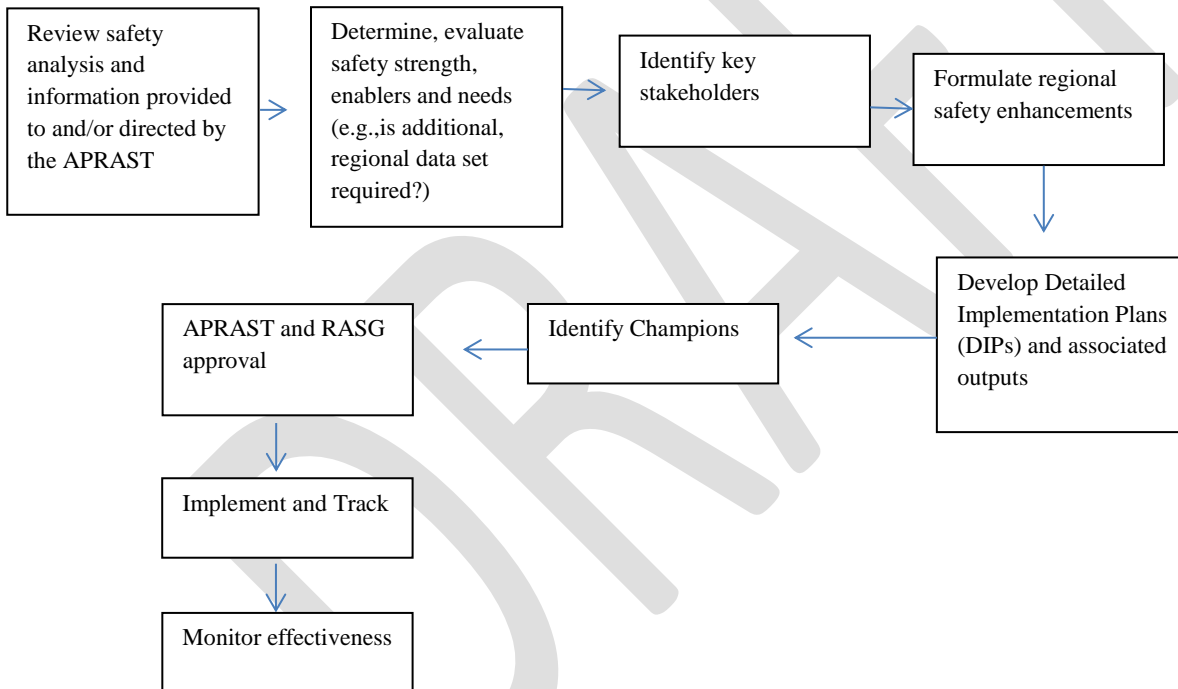
Impact-changeability (IC) Level Chart



*Development of a Safety Enhancement Initiative (SEI) by APRAST
(by either COSCAPs, CAST, the SRP)*

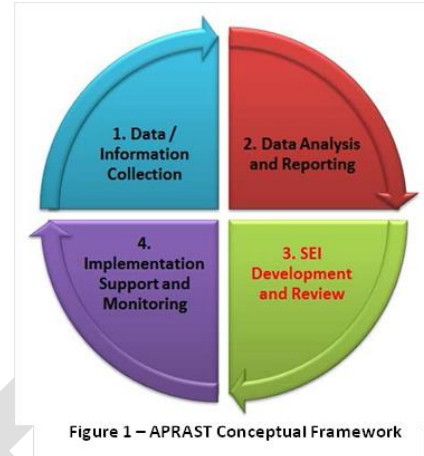


SEI Development Plan:



APRAST Conceptual Framework

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



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

Safety Enhancement Initiative (SEI) Development Process

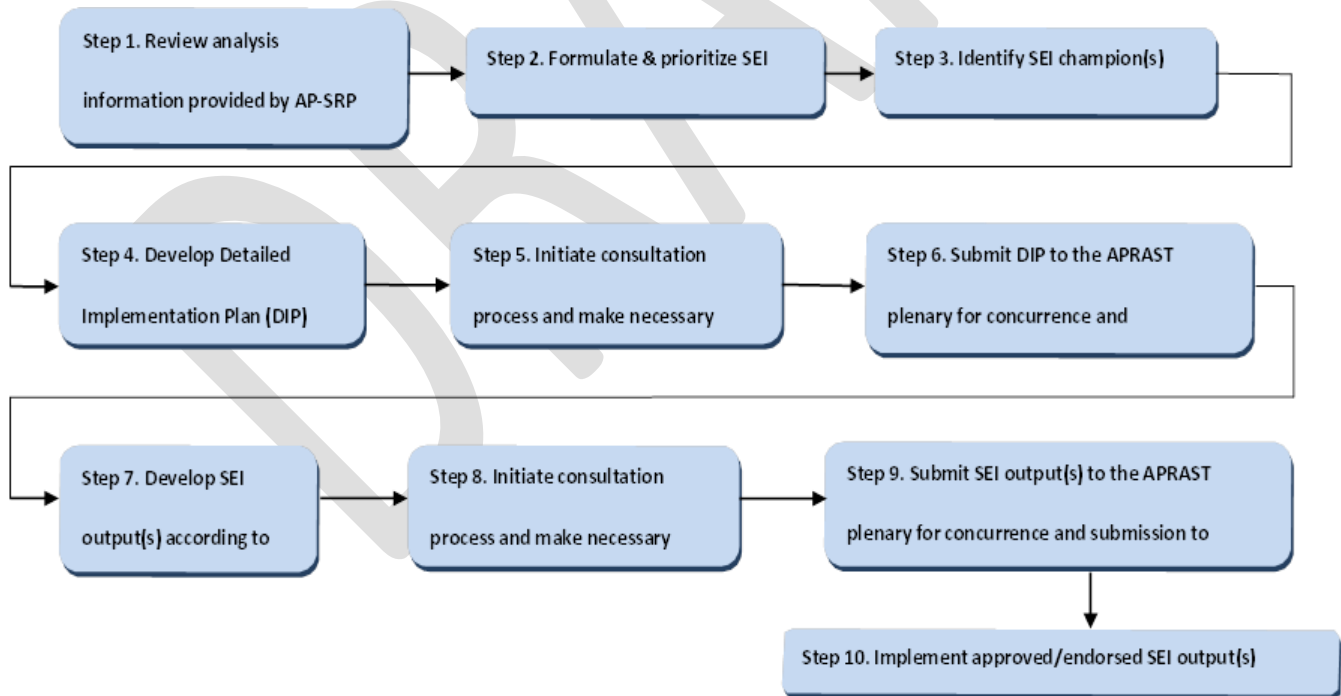


Figure 2 – SEI Development Process

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

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

Global Safety Initiatives (GSIs)

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

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

Prioritization of SEI

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

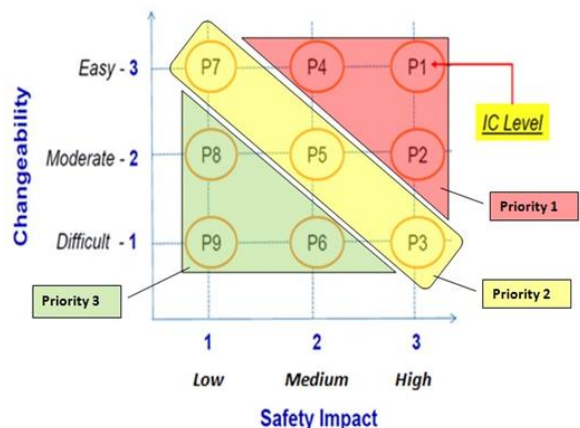


Figure 3 – Impact-Changeability (IC) Level Chart

Submission of SEI deliverables

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

Consultation of SEI deliverables

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

Master registry of SEIs

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

Appointment and roles of facilitators and champions

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

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

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

Attachment X – Template of Detailed Implementation Plan

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

| Output | | |
|------------------------|------------|--|
| APRAST No. | Output No. | |
| Description | | |
| Target Initiation Date | | |
| Resources | | |
| Resource Notes | | |
| Time Line | | |
| Actions | | |
| Target Completion Date | | |
| APRAST No. | Output No. | |
| Description | | |
| Target Initiation Date | | |
| Resources | | |
| Resource Notes | | |
| Time Line | | |
| Actions | | |
| Target Completion Date | | |

Attachment Y – Safety Enhancement Initiative (SEI) Template**Guidelines on the use of this Template**

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

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



International Civil Aviation Organization (ICAO)

Regional Aviation Safety Group (Asia & Pacific Regions)

Asia Pacific Regional Aviation Safety Team

Title of Document

developed by

*[Name of sub-group and/or Champion and/or
Facilitator(s)]*

Executive Summary

*[Max 2 paragraphs to highlight the problem(s) and explain how the proposed
measures/products seek to address the problem(s).]*

Version [No] dated dd mm yyyy

Preamble

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

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

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

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

Disclaimer

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Feedback/Enquiries

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

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

[and/or]

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

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

[Title of Document]

<max 2 pages>

Introduction

[To highlight purpose of this report.]

Background of Safety Enhancement Initiative (SEI)

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

Applicability to States / Industry

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

SEI Contents / Phases

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

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

Action/Comments by RASG

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