



**INFORMATION PAPER**

**FACILITATION PANEL (FALP)**

**NINTH MEETING**

**Montréal, 4-7 April 2016**

**Agenda Item 3: Amendments to Annex 9**

**ANNEX AMENDMENTS: IMPACT ASSESSMENT, IMPLEMENTATION  
TASK LIST AND GUIDANCE MATERIAL**

(Presented by the Secretariat)

**1. INTRODUCTION**

1.1 In 2015, the Council requested that States, when being advised of the adoption of an Annex amendment, be provided with information on implementation and available guidance material, as well as an impact assessment. As there are administrative and legislative challenges associated with incorporating new/revised Annex-related provisions into Member States' national regulations, it is desirable for all new Annex amendments to be supported by guidance material.

1.2 Consequently, all new or revised Standards and Recommended Practices now need to be accompanied with an implementation task list and outline of guidance material as well as an impact assessment form. The template is reproduced in the Appendix to this Information Paper.

1.3 For an example of the implementation task list and impact assessment forms, the Panel is invited to refer to State letter EC 6/3-2015/55, dated 24 July 2015 on the Adoption of Amendment 25 to Annex 9, found under "Reference Documents" on the FALP/9 website.

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**APPENDIX**

**NEW SARP PROPOSAL: AMENDMENT [ ], ANNEX 9, CHAPTER [ ],  
[STANDARD/RECOMMENDED PRACTICE [ ]]**

**IMPACT ASSESSMENT**

1. What is the problem that this proposal is designed to address?

*Please include specific details*

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2. What alternatives to SARPs were considered to solve the problem?

None	Circular	Manual	Policy	Other (please explain)

3a. What is the impact of this proposal on a **State**?

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Implementing this proposal will enhance civil aviation safety					
<i>Rationale:</i>					
Implementing this proposal will increase air navigation capacity and improve efficiency					
<i>Rationale:</i>					
Implementing this proposal will enhance global civil aviation security and facilitation (taking into account impact on human rights, health and privacy, if any)					
<i>Rationale:</i> Implementing this proposal will enhance border clearance and the entry into States of aircraft accident victims and their families.					
Implementing this proposal will foster the development of a sound and economically-viable civil aviation system					
<i>Rationale:</i>					
Implementing this proposal will minimize the adverse environmental effects of civil aviation activities					
<i>Rationale:</i>					

3b. Do the benefits of this proposal justify the cost of its implementation?

Yes	No	Not sure	Not applicable

4a. What is the impact of this proposal on **Industry**?

	<i>Strongly Agree</i>	<i>Agree</i>	<i>Neutral</i>	<i>Disagree</i>	<i>Strongly Disagree</i>
Implementing this proposal will enhance civil aviation safety					
<i>Rationale:</i>					
Implementing this proposal will increase air navigation capacity and improve efficiency					
<i>Rationale:</i>					
Implementing this proposal will enhance global civil aviation security and facilitation (taking into account impact on human rights, health and privacy, if any)					
<i>Rationale:</i>					
Implementing this proposal will foster the development of a sound and economically-viable civil aviation system					
<i>Rationale:</i>					
Implementing this proposal will minimize the adverse environmental effects of civil aviation activities					
<i>Rationale:</i>					

4b. Do the benefits of this proposal justify the cost of its implementation?

Yes	No	Not sure	Not applicable

5. How long would it take for States and Industry to implement this proposal?

Already implemented	0-1 years	1-2 years	2-5 years	5-10 years	More than 10 years

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## IMPLEMENTATION TASK LIST AND OUTLINE OF GUIDANCE MATERIAL

### 1. IMPLEMENTATION TASK LIST

#### 1.1 Essential steps to be followed by a State in order to implement proposed amendments<sup>1</sup>

##### *[SARP/TOPIC]*

1.1.1 For States that already [implement the SARP or take action on the TOPIC], no action is necessary. For those that do not, the essential steps are the following:

a) . . .

Legislation, regulations, policies, procedures, training, implementation, modification, supervision, assessment, compliance, gap analysis, consideration,

##### Example:

##### *Assistance to aircraft accident victims and their families*

For States that have established legislation, regulations and/or policies in support of assistance to aircraft accident victims and their families, and that are aligned with Doc 9998 and Doc 9973, no action may be required. For those that do not, the essential steps are the following:

- a) identify established legislation, regulations and/or policies;
- b) gap analysis between established legislation, regulations, and/policies, and Doc 9998 and Doc 9973;
- c) decisions on whether to introduce new provision to align with ICAO guidance material;
- d) modification and/or development of provision;
- e) official adoptions of provisions;
- f) implementation of newly adopted provisions by applicable entities;
- g) modification of an oversight framework; and
- h) supervision by the State of provisions, as appropriate.

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<sup>1</sup> Amendment of a format or clarification nature are not allowed in this Appendix.

**2. STANDARDIZATION PROCESS**

2.1 Effective date: [ ] [Month/Year]: to be completed by Secretariat

2.2 Applicability date: [ ] [Month/Year]: to be completed by Secretariat

**3. SUPPORTING DOCUMENTATION:**

3.1 ICAO documentation:

Title	Type	Publication date
	Manual/Other Guidance Material/Web page	

3.2 External documentation:

Title	External Organization	Publication date

**4. IMPLEMENTATION ASSISTANCE TASKS**

Type	Global	Regional
[Seminar/Symposium/Workshop/etc.]		

**5. UNIVERSAL SECURITY AUDIT PROGRAMME (USAP)  
OR UNIVERSAL SAFETY OVERSIGHT PROGRAMME  
(USOAP)**

5.1 [No] [additional] protocol questions required under USAP [USOAP].