
**ASIA/PACIFIC SUPPLEMENT
TO THE UNIFORM METHODOLOGY FOR THE IDENTIFICATION,
ASSESSMENT AND REPORTING OF AIR NAVIGATION DEFICIENCIES
(APANPIRG Conclusion 18/60)**

1. INTRODUCTION

1.1. Considerable attention is being given by ICAO to eradicate deficiencies in the air navigation field. On 30 November 2001, the Council of ICAO approved the *Uniform Methodology for the Identification, Assessment and Reporting of Air Navigation Deficiencies* (hereinafter referred to as “Uniform Methodology”) for the efficient identification, assessment and clear reporting of air navigation deficiencies. A copy of the Uniform Methodology contained in the APANPIRG Procedural Handbook is available on the ICAO website: http://www.bangkok.icao.int/edocs/procedural_1998.pdf. This Asia/Pacific Supplement to the Uniform Methodology provides more detailed procedures and a management tool to assist the APANPIRG in applying the Methodology.

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

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

1.3. The first edition (2006) of the restructured Asia/Pacific Air Navigation Plan (ASIA/PAC ANP, Doc 9673), which is in two volumes: Volume I, Basic Air Navigation Plan (BANP), and Volume II, Facilities and Services Implementation Document (FASID) was published and circulated to States in 2006. An electronic version of the ANP is available on the ICAONET website. Access to ICAONET through username and password has been provided to all civil aviation administrations in the Region.

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

2. BACKGROUND

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

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

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

the safety impact of the deficiencies as shown and propose remedial action required by States for subsequent review by the Air Navigation Commission and Council.

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

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

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

3. OBJECTIVE

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

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

4. REGIONAL PROCEDURES

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

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

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

Identification

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

Notification/Sources

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

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

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

Assessment, Prioritization and Verification against ICAO documents

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

- U - Urgent requirements having a direct impact on safety and requiring immediate corrective actions
- A - Top priority requirements necessary for air navigation safety
- B - Intermediate requirements necessary for air navigation regularity and efficiency

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

Validation by States

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

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

Development of CAPs

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

- deficiencies with “U” priority must be dealt with on a high priority basis;

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

Monitoring of follow-up actions

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

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

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

Rectification of Deficiency & Removal from the Open List

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

5. RESPONSIBILITIES

Regional Office

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

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

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

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

States

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

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

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

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

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

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

- a description of the deficiency
- risk assessment
- evaluation of possible solutions and selection of the optimum solution
- Description of agreed action to be taken
- time-line including a firm target date for completion of the planned action

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- responsible body in the State to undertake the corrective action including contact details of a designated person/position
 - financing source (if applicable) or an indication of the international assistance required if the State is unable to resolve the deficiency on its own due to a lack of resources
 - progress report as per the established timeline.

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

Users

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

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

APANPIRG

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

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

6. OTHER MECHANISMS

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

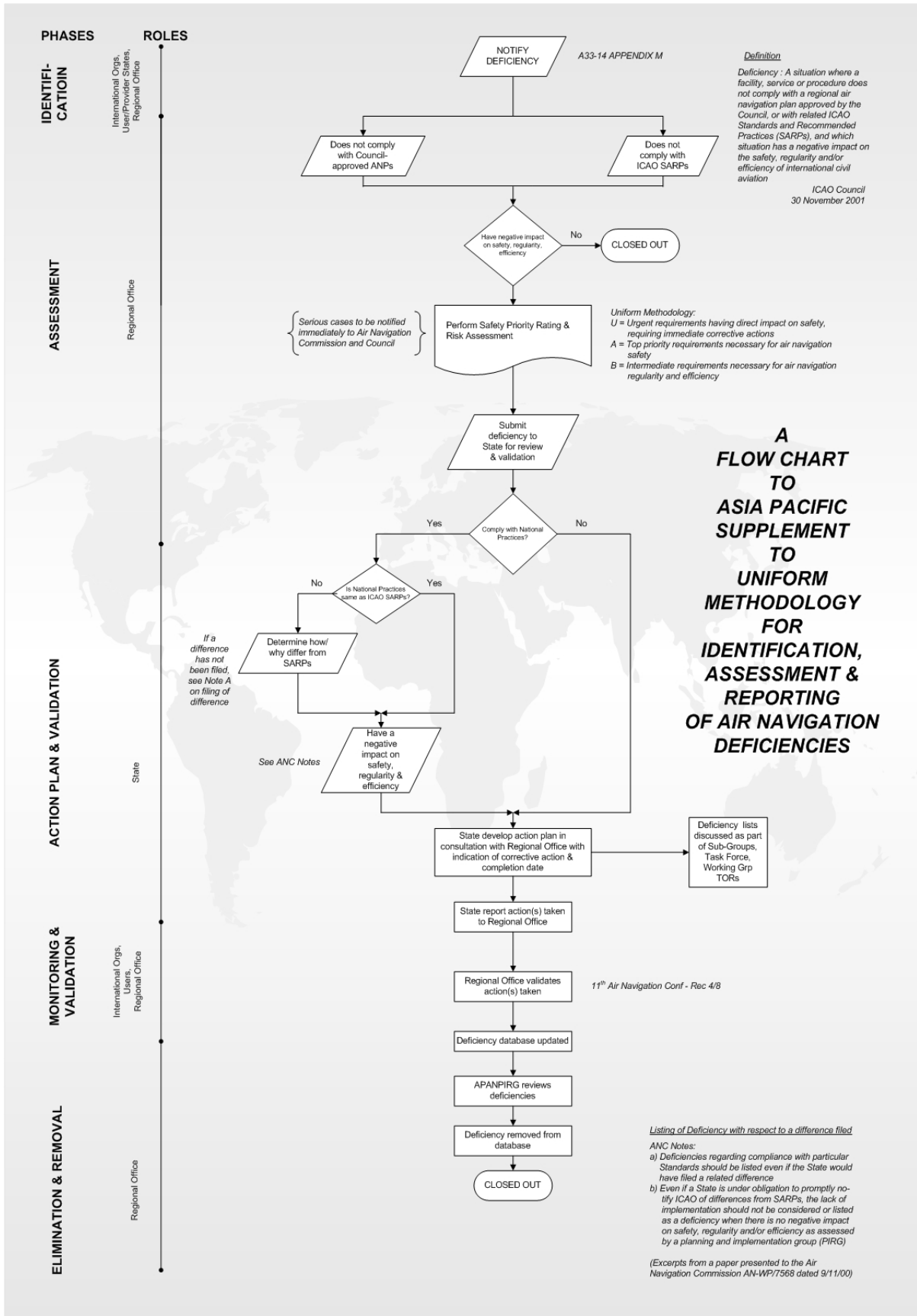
6.2 The various APANPIRG sub-groups, working groups, task forces and other regional and sub-regional meetings and special implementation projects (SIPs) will be utilized to discuss the implementation of ICAO SARPs and the requirements of the ASIA/PAC ANP in order to eliminate deficiencies.

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

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

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

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



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