



*International Civil Aviation Organization*

**MIDANPIRG ATM Sub-Group**

**Second Meeting (ATM SG/2)**

*(Cairo, Egypt, 30 November – 03 December 2015)*

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**Agenda Item 3: Global and Regional Developments related to ATM and SAR**

**GLOBAL/REGIONAL DEVELOPMENTS RELATED TO SAR**

*(Presented by the Secretariat)*

**SUMMARY**

This paper an update on the global and regional developments related to Search and Rescue (SAR).

Action by the meeting is at paragraph 3.

**REFERENCES**

- DGCA-MID/3/Report
- ICAO/IMO JWG22/Report
- IRCM/4/Summary of Discussions

**1. INTRODUCTION**

1.1 The Standards, Recommended Practices and Procedures and guidance material related to the implementation of Search and Rescue (SAR) are contained in ICAO Annex 12 and International and Maritime Search and Rescue Manual (IAMSAR – Doc 9731).

1.2 It is to be highlighted that the updating process of the IAMSAR-Doc 9731 is ongoing on a three year cycle and the next edition will be released in 2016.

1.3 It should be noted that recommendations for amendment to IAMSAR-Doc 9731 are made to ICAO and the International Maritime Organization (IMO) jointly by the ICAO/IMO Joint Working Group on Harmonization of SAR (JWG).

**2. DISCUSSION**

2.1 The meeting may wish to note that the Twenty Second meeting of the JWG (JWG22, Trenton, Ontario Canada, 14-18 September 2015) considered many issues and developments affecting global SAR and related matters.

### *Asia Pacific SAR Plan*

2.2 The JWG noted the good work of the Asia Pacific SAR Task Force and the development of a SAR Plan for the Asia Pacific Region as at **Appendix A**, and considered this information to be very valuable to the Global SAR community and recommended its widespread availability.

2.3 The ICAO Council during its 205th session (17 June 2015) adopted C-DEC 205/5, excerpts of which relate to the Asia Pacific SAR Task Force outcomes.

2.4 The Council noted the availability of the information provided by the Asia/Pacific Search and Rescue (SAR) Task Force as relevant to the ongoing consideration of the global aeronautical distress and safety system (GADSS) concept of operation and requested that other regions, using and appropriate mechanism, provide similar information regarding their own regions.

### *Civil/Military Cooperation and Coordination*

2.5 The JWG noted information from lessons learned from recent aviation incidents having indicated recurring concerns with civil/military cooperation and coordination.

2.6 The JWG requested ICAO and IMO to encourage States actively invite military representatives to SAR forums so that SAR matters are brought to the attention of the military and that they provide a linkage between the civil SAR organizations and military.

### *Global Aeronautical Distress and Safety System (GADSS)*

2.7 The JWG engaged in extensive discussion on this very important initiative by ICAO and noted the progress and implications for SAR in the future.

2.8 The meeting may wish to note that the Council at its 206th Session approved the recommendation of the ANC on the amendment to Annex 6 Part 1 in relation to Normal Tracking with applicability of 2018. A State Letter will be issued shortly.

2.9 The meeting may wish to note that the Air Navigation Commission (ANC) at its 200th Session gave final review to amendments to Annex 6 Part 1 in relation to Flight Data Recovery and Distress Tracking with applicability in 2021 and their recommendation will be considered by the Council at its 207th Session (Feb-Mar 2016).

2.10 The Council and Commission both observed that extensive work was still required in relation to consequential SARPS and guidance material and that diligence is required in this work to make sure there is no overlap or gaps in this material. This work will occupy considerable resources of the Secretariat over the next couple of years.

### *COSPAS-SARSAT*

2.11 The JWG was apprised of the status of the COSPAS-SARSAT system and MEOSAR Early Operational Capability and development of specifications for Second Generation Beacons (SGB).

2.12 The meeting noted the possible consequence of these developments as an impact on Distress Tracking in the future and affirmed that it would monitor and actively involve itself, where able, in the development of guidelines by ICAO.

2.13 The JWG also considered a paper on SAR Point of Contact (SPOC) communications matters attached at **Appendix B**. The meeting observed that there was little improvement in the information from previous reports and noted the prevalence of poor results associated with many States, particularly in West Africa.

2.14 The Secretariats of COSPAS-SARSAT and ICAO have collaborated on the development of a model Agreement for use between SPOCs and Mission Control Centers and forms part of **Appendix B**. The meeting is requested to note the model agreement and provide any comments to the ICAO Secretariat.

#### *IRCM/4 meeting*

2.15 The Fourth Inter-Regional Co-ordination Meeting (IRCM/4) on Interface Issues between the Asia/Pacific (APAC), European and North Atlantic (EUR/NAT) and Middle East (MID) Regional Offices of ICAO was held at the APAC Office in Bangkok, Thailand, from 14 to 16 September 2015.

2.16 The IRCM/4 meeting noted the low level of implementation of Civil/Military integration and SAR implementation in the regions

2.17 The MID Office highlighted the need to enhance the inter-regional cooperation for the implementation of SAR, and addressed the challenges facing States to sign SAR agreements with their neighbouring States in accordance with ICAO requirements. The IRCM/4 meeting was apprised of the outcomes of the Asia/Pacific SAR/TF in this regard, and noted that the Asia/Pacific SAR Plan stated that agreements of SAR could take any form to suit the States, as long as it addressed operational matters, and that higher level officials did not need to be involved at the operational level. The meeting through Action 4/15 agreed that APAC Office shares experience with the EUR/NAT and MID Offices in order to provide an enhanced SAR capability framework across regional boundaries to maximize harmonization and interoperability.

#### *DGCA-MID/3 meeting*

2.18 The meeting may wish to note that the Third Meeting of the Directors General-Middle East (DGCA-MID/3, Doha, Qatar, 27-29 April 2015), was apprised of the regional developments related to Search and Rescue (SAR). The meeting urged States to take necessary measures to ensure the implementation of the ICAO provisions related to SAR.

2.19 The DGCA-MID/3 meeting was apprised of the outcome of the ICAO/International Maritime Organization (IMO) Search and Rescue-Global Maritime Distress and Safety System Conference (ICAO/IMO SAR GMDSS Conference), which was successfully held in Bahrain (21-22 October 2014) for the Gulf Cooperation Council (GCC) States. The Conference provided a forum for sharing experiences and discussing relevant matters to SAR between Civil/Military Aeronautical and Maritime representatives. The meeting urged States to take into consideration the Recommendations emanating from the ICAO/IMO SAR GMDSS related to civil aviation, when planning for or implementing SAR services.

2.20 The DGCA-MID/3 meeting noted that the ICAO MID Regional Office will schedule a SAR Regional Workshop in 2016, which might be held jointly with the IMO to foster the implementation of SAR provisions in the MID Region and enhance cooperation between concerned stakeholders. In this respect, the meeting encouraged States to actively participate in the planned workshop and ensure that

their delegations are composed of Civil/Military Aeronautical and Maritime representatives involved in SAR.

2.21 The DGCA-MID/3 meeting recognized the importance of the conduct of regional/sub-regional SAR training exercises

### **3. ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) review the APAC SAR Plan and take action as appropriate
- b) urged States to take necessary measures to ensure the implementation of the ICAO provisions related to SAR;
- c) review and provide feedback on the model SPOC/MCC Agreement at **Appendix B**; and
- d) encourage States to consider the developments related to SAR.

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APPENDIX A

INTERNATIONAL CIVIL AVIATION ORGANIZATION



ASIA/PACIFIC SEARCH AND RESCUE (SAR) PLAN

Version 1.0, September 2015

This Plan was developed by the Asia/Pacific Search and Rescue Task Force  
(APSAR/TF)

Approved by APANPIRG/26 and published by the  
ICAO Asia and Pacific Office, Bangkok

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## SCOPE OF THE PLAN

### Plan Structure

1.1 The Asia/Pacific Search and Rescue (SAR) Plan (hereinafter referred to as the 'Plan') references different levels. At the higher level are global requirements established by the ICAO Annex 12 to the ICAO Convention on International Civil Aviation (ICAO Doc 7300). Global guidance material is provided by the International Maritime Organization (IMO) and ICAO's joint publication, the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual. Beneath this is regional planning guidance primarily provided by this Plan and other regional guidance material, in order to enable States to define the goals and means of meeting objectives for State planning towards improving State SAR System capability, such as Regional Air Navigation Plan (RANP, ICAO Doc 9673) objectives.

1.2 The global air navigation perspective is guided mainly by the *Global Air Navigation Plan* (GANP, Doc 9750), the *Global ATM Operational Concept* (Doc 9854) and the *Global Aviation Safety Plan* (GASP).

1.3 The scope of the Plan is the identification of:

- the current status of SAR preparedness of Asia/Pacific Region States and State SAR arrangements; and
- recommendations for SAR planning and preparedness enhancements, in terms of compliance with Annex 12 of the ICAO Convention, IAMSAR Manual guidance, and accepted best international practice.

1.4 References in the Plan to 'States' are intended to include Special Administrative Regions and territories.

### Plan Review

1.5 As an iterative process, the Plan requires regular updating to keep current with changes in ICAO Annexes and guidance material, the IAMSAR manual, regional aviation activity, developments in the Air Traffic Management (ATM) system, new technology, political considerations, human performance and lessons learned from actual SAR responses. Plan updates should also focus on the SAR system being an important component of an integrated regional and global air navigation system. It is intended that APANPIRG and its contributory bodies conduct a complete review every three years from 2019 (or a shorter period determined by Asia/Pacific Air Navigation Planning and Implementation Regional Group - APANPIRG) of the Plan to align with the review cycle of the GANP and the IAMSAR Manual. The review should be guided by a consultative process involving States and relevant International Organisations such as the IMO and other technical bodies.

## OBJECTIVES

### Introduction

2.1 Asia/Pacific States who are signatories to the Chicago Convention accept the responsibility for the provision of SAR services per the requirements of its Annex 12 - Search and Rescue. Increases in both aviation and maritime traffic throughout the Asia/Pacific region places additional importance on the ability for States to be adequately prepared for potentially increased demand for aeronautical and maritime SAR services.

2.2 The world's citizens, who frequently fly over or sail through the Asia/Pacific, expect a timely and adequate SAR response to be provided should it be required. States in the region need to be adequately prepared for the provision of efficient and effective SAR services. To assist in achieving this, it is essential for States to cooperate, collaborate and in some cases assist with resources to neighbouring and sub-regional RCCs.

2.3 ICAO Regional Office maintains a record, as reported to ICAO by the States themselves, of the status of individual State SAR compliance against Annex 12 requirements. There are significant variations in the level of State SAR capability across the region with significant gaps requiring urgent action, especially in oceanic areas. A number of States have not reported their status at all to ICAO. The ICAO Universal Safety Oversight Audit Programme – Continuous Monitoring Approach (USOAP-CMA) also provides a useful tool to States to self-assess their individual SAR system status.

2.4 There is a high risk of negative consequences to a State which does not provide an adequate SAR response to an aircraft or vessel in distress. The primary concern is the higher probability for loss of lives which may have been saved. The ability for news to spread rapidly in today's technologically connected world also provides the opportunity for a poor or ineffective SAR response to quickly reach a global audience resulting in damage to that State's reputation internationally and potential economic loss to sensitive State industries such as tourism and transport. However, the benefits of an effective and reliable SAR service to States offers many advantages. Besides reduction of loss of life and human suffering, other advantages include the following aspects.

- a) Safer and more secure environment for aviation and maritime related industries, commerce, recreation and travel. Increased safety may promote use and enjoyment of aviation and maritime environments, tourism and economic development. This is especially true when the SAR system is associated with programmes aimed at preventing or reducing the effects of mishaps, sometimes referred to as "Preventative SAR."
- b) Availability of SAR resources often provides the initial response and relief capabilities critical to saving lives in the early stages of natural and man-made disasters. SAR services offer an integral part of local, national and regional emergency management systems.
- c) Well performed SAR operations can provide positive publicity about situations which may otherwise be viewed negatively. This can lead to improved public confidence in that State's reputation and commitment to providing a safe environment, leading to increased confidence to conduct activities beneficial to that State's economy.
- d) As SAR is a relatively non-controversial and humanitarian mission, it provides an excellent opportunity to enhance cooperation and communication in general between States and organisations, not only for SAR. It can also foster better working relationships between States and organisations at the local, national and international levels, including civil/military cooperation.

2.5 In 2014 Malaysia Airlines flight MH370, a Boeing 777 with 239 persons on board, disappeared when flying from Kuala Lumpur, Malaysia to Beijing, China, and Air Asia QZ8501 was lost on a flight from Surabaya to Singapore. The MH370 event resulted in probably the largest and most expensive search response for a missing aircraft in human history. Together with Air France flight AF447, which crashed into the Atlantic Ocean in 2009, these tragedies have highlighted vulnerabilities in the current air navigation system, including the SAR system, which have hampered timely identification and localisation of aircraft in distress, hindering effective response efforts. ICAO is taking measures to assist with addressing these vulnerabilities through the Global Aeronautical Distress and Safety System (GADSS) concept; however this also requires improvements in global SAR capability.

2.6 The Plan is designed to address both civil and military SAR authorities and has been developed in consultation with Asia/Pacific States, SAR administrations and relevant International Organisations. States should consult with stakeholders nationally, regionally and internationally as appropriate and determine actions in order to commit to achieving the objectives of this Plan in order to meet the minimum SAR service requirements in accordance with ICAO Annex 12. It is noted that where a State is unable to meet minimum SAR Standards and Recommended Practices (SARPs) of ICAO Annex 12, Article 38 to the ICAO Convention requires notification to ICAO of the differences between its own practice and that established by the international standards.

2.7 States should aim to meet their obligations progressively in a strategically structured and planned manner with improvement goals set for short term, medium term and long term implementation. It may be more productive to make gains in small steps commencing with measures that are more easily achievable in the short term and have a minimal cost, progressing to measures which will take longer to implement over the medium to long term. Short term measures that may be implemented relatively easily include the establishment of a national SAR Committee and ensuring SAR Agreements are in place with neighbouring States allowing for seamless cross-border transit of search assets engaged in SAR activity. A SAR agreement can be in the form of 'Letter of Agreement' (LOA) or a Memorandum of Understanding or other acceptable term indicating a lower form of arrangement for operational matters between SAR service providers (such as RCCs and/or RSCs) or a more formal agreement for arrangements between governments concerned.

2.8 All States are encouraged to use the guidance provided within this Plan as a way forward, thus ensuring a timely, well-coordinated response to any SAR incident within their area of responsibility, or during cooperative responses involving more than one Search and Rescue Region (SRR).

#### Plan Objective

2.9 The objective of this SAR Plan is to provide a framework to assist Asia/Pacific States to meet their SAR needs and obligations accepted under the Convention on International Civil Aviation and for the harmonised and interoperable delivery of both aeronautical and maritime SAR services within the region, and across other ICAO regional boundaries, where practicable.

2.10 The Plan is to be consistent with the SARPs of ICAO Annex 12 - Search and Rescue, and aligned where appropriate with the SAR technical and operational standards and guidance of the IMO.

2.11 The Plan recognizes that ICAO serves as the forum for the implementation of practical and achievable measures to improve SAR services for international civil aviation. The Plan also recognizes that the IMO provides a similar forum for SAR services to maritime shipping.

2.12 Both ICAO and IMO share the same goal of ensuring that SAR services are available globally wherever people sail or fly. The SAR services that ICAO and IMO promote are complementary and offer tangible opportunities to derive mutually beneficial efficiencies for both the aviation and maritime transportation SAR systems globally, regionally and nationally.

2.13 The objective of this Plan includes encouraging States to take advantage of such efficiencies. States should, where practicable, align their SAR systems with the guidance provided by the IAMSAR Manual, which also provides the benefit for standardised SAR coordination between RCCs and across SRR lines of delineation.

2.14 State SAR plans describe how SAR services will be provided, organized and supported in order for States to meet their obligations under the relevant Conventions. Search and Rescue Coordinators (SC) and SAR managers oversee and implement these plans. National SAR plans should be signed by all Government agencies which can provide or support SAR services. These agencies should all be represented on the State's Search and Rescue Coordinating Committee (SCC), which oversees these plans.

*Note: The SC should not be confused with the operational nature of the SAR Mission Coordinator (SMC). The primary purpose of the national SC is to enable a whole-of-government approach to make efficient and effective use of a State's capabilities for SAR.*

#### Plan Development

2.15 The Plan was developed as part of a suite of Asia/Pacific air navigation plans, including the Seamless ATM Plan, the Air Traffic Flow Management (ATFM) Framework, and the Regional ATM Contingency Plan, so the Plan should not be considered in isolation.

2.16 The Plan is expected to provide guidelines and recommendations for Asia/Pacific States to consider for the enhancement and improvement of national, sub-regional and regional SAR capability including:

- a) compliance with Annex 12 SARPs;
- b) identification and addressing of deficiencies in SAR capability;
- c) continuous and coherent development of SAR capability;
- d) harmonisation of aeronautical and maritime SAR services;
- e) civil/military cooperation and coordination (including SAR response, information sharing and use of airspace);
- f) remote oceanic SAR response capability (including provision for Mass Rescue Operations (MRO));
- g) establishment and review of arrangements between neighbouring States to expeditiously facilitate SAR coordination, operations and cooperation across regional boundaries including contingency procedures;
- h) facilitation of the implementation of SAR systems and services including the establishment of JRCCs where suitable and practicable;
- i) supporting the sharing of SAR information, data and expertise;
- j) integration with ATM systems and future ATS developments, where appropriate;
- k) monitoring of outcomes from APANPIRG Sub-Groups, other ICAO Region SAR groups, ICAO/IMO Joint Working Group on Harmonisation of Aeronautical and Maritime SAR (JWG) and related forums for issues that may affect the Plan;
- l) facilitation of a continuous reporting mechanism of State SAR capability, Annex 12 compliance and SAR performance data to the APAC Regional Office through the APANPIRG Air Traffic Management Sub-Group (ATM/SG);
- m) implementation of a SAR System Improvement and Assessment measures, including Safety Management System, Quality Assurance programme and risk assessment;

- n) coordinating the introduction of new technology affecting the regional SAR system;
- o) sharing future research and development concepts;
- p) seeking efficiencies, through the coordination and facilitation of concurrent regional SAR meetings, seminars, workshops and exercises, including joint ICAO and IMO, and sub-regional forums where practicable; and
- q) conducting efficient SAR Exercises (SAREXs) that identify improvements and latent problems.

2.17 The Plan elements should be periodically reviewed by APANPIRG to ensure that they remain relevant to the SAR system, particularly for new technology developments and alignment with other relevant global SAR plans.

## EXECUTIVE SUMMARY

3.1 ICAO reported the following statistics regarding global civil aviation in 2014:

- 3.3 billion passengers;
- 50 million tonnes of freight;
- over 1 000 scheduled airlines; and
- 26,700 aircraft in service.

3.2 The Asia/Pacific region was the world's largest air transport market in 2014, with a 32 per cent share in terms of world Revenue Passenger Kilometres (RPKs).

3.3 Maritime traffic in the Asia/Pacific region is also increasing and whilst IMO assists the Parties to the Maritime SAR Convention, particularly their implementation related to the provision of maritime SAR services, the demand for aeronautical SAR services which frequently support responses to maritime SAR incidents is also likely to rise.

3.4 Asia/Pacific States who are signatories to the Chicago Convention accept the responsibility for the provision of SAR services per the requirements of Annex 12 - Search and Rescue. Increases in both aviation and maritime traffic throughout the Asia/Pacific region places additional importance on the ability for States to be adequately prepared for potentially increased demand for aeronautical and maritime SAR services.

3.5 Considering that many of the Asia/Pacific States have the challenging responsibility for providing a SAR service over vast and remote areas, including three of the world's five oceans, the importance for States with oceanic SAR responsibility to cooperate, collaborate and share resources with their neighbouring and regional/sub-regional RCCs is essential.

3.6 High-level support might be necessary from regional bodies that can effectively support the Plan's implementation, such as the:

- Association of Southeast Asian Nations (ASEAN) and ASEAN Regional Forum (ARF);
- Asia Pacific Economic Cooperation (APEC);
- South Asian Association for Regional Cooperation (SAARC);
- Secretariat of the Pacific Community (SPC); and
- Indian Ocean Rim Association (IORA).

### SAR System Funding

3.7 The level of funding provided for effective SAR systems is a matter of concern for all senior decision-makers. The resources should be sufficient to develop and/or maintain the required SAR service per their obligations as signatories to the relevant aeronautical and maritime SAR conventions. This may require the development of business cases to governments outlining where additional funding is required.

3.8 Such business cases should include consideration of amendments to existing State SAR arrangements which may provide more efficient delivery of the SAR service by better utilisation of existing resources (for example by establishing Joint RCCs (JRCCs), or additional funding sources where required (for example charging a levy to aircraft operators for providing the SAR service or seeking company sponsorship for SRUs).

Joint Rescue Coordination Centres (JRCCs)

3.9 Where practicable, States are encouraged to examine the potential benefits that may be derived by the establishment of JRCCs to incorporate the aeronautical and maritime SAR activities and/or facilities of ARCCs/ARSCs and MRCC/MRSCs. JRCCs have the potential to not only provide a more effective SAR service to both the aeronautical and maritime industries, but also offer potential financial efficiencies by releasing funds for improvements in other SAR areas.

*Note: Where JRCCs are not practicable, development of facilities and procedures which provide and/or enhance effective SAR coordination and collaboration between the ARCCs and MRCCs in support of each other, to provide an efficient and integrated State SAR system for both aeronautical and maritime SAR incident response.*

3.10 Where practicable, the JRCC evaluation may consider consolidation of two or more different State RCCs into single sub-regional JRCCs:

*Note: a single sub-regional JRCC may be established in partnership with a group of States and serve as a 24 hour nodal JRCC supported by Joint Rescue Sub-Centres (JRSCs) of the other partner States which may not necessarily need to be manned 24 hours but could be activated when required.*

**ABBREVIATIONS AND ACRONYMS**

ADS-B	Automatic Dependent Surveillance-Broadcast
ADS-C	Automatic Dependent Surveillance-Contract
ANRF	Air Navigation Reporting Form
ANSP	Air Navigation Service Provider
APANPIRG	Asia/Pacific Air Navigation Planning and Implementation Regional Group
APEC	Asia Pacific Economic Cooperation
AP SAR/TF	Asia/Pacific SAR Task Force
ARCC	Aeronautical Rescue Coordination Centre
ARF	ASEAN Regional Forum
ARSC	Aeronautical Rescue Sub-Centre
A/SMC	Assistant SMC
ASEAN	Association of Southeast Asian Nations
ASPOCS	Administrative Single Point of Contact for SAR
ATC	Air Traffic Control
ATFM	Air Traffic Flow Management
ATM	Air Traffic Management
CONOPS	Concept of Operations
COSPAS-SARSAT	<b>Cosmicheskaya Sistema Poiska Avarynyh Sudov</b> -Search and Rescue Satellite-Aided Tracking
EI	Effective Implementation
ELT	Emergency Locator Transmitters
GADSS	Global Aeronautical Distress and Safety System
GANP	Global Air Navigation Plan
GASP	Global Aviation Safety Plan
GLONASS	GLObal NAVigation Satellite System
GPS	Global Positioning System
IAMSAR	International Aeronautical and Maritime SAR (Manual)
IMO	International Maritime Organization
IORA	Indian Ocean Rim Association
iSTARS	Integrated Safety Trend Analysis and Reporting System
JRCC	Joint (aeronautical and maritime) Rescue Coordination Centre
JRSC	Joint Rescue Sub-Centre
JWG	ICAO/IMO Joint Working Group on the Harmonisation of Aeronautical and Maritime Search and Rescue
LOA	Letter of Agreement
MCC	Mission Control Centres
MEOSAR	Medium-altitude Earth Orbit Search and Rescue
MRCC	Maritime Rescue Coordination Centre
MRO	Mass Rescue Operations
MRSC	Maritime Rescue Sub-Centre
OJT	On-the-Job Training
PQs	Protocol Questions
PSCS	Preferred SAR Capability Specifications
RANP	Regional Air Navigation Plan
RCC	Rescue Coordination Centre
RPK	Revenue Passenger Kilometres
RPAS	Remotely Piloted Aircraft Systems
SAR	Search and Rescue
SARPs	Standards and Recommended Practices
SAARC	South Asian Association for Regional Cooperation
SAREX	SAR Exercises
SC	Search and Rescue Coordinator

SCC	Search and Rescue Coordinating Committee
SMC	Search and Rescue Mission Coordinator
SMS	Safety Management System
SOLAS	International Convention for the Safety of Life at Sea
SPC	Secretariat of the Pacific Community
SPOC	SAR Point of Contact
SRR	Search and Rescue Region
SRU	Search and Rescue Unit
SWIM	System Wide Information Management
UNCLOS	United Nations Convention on the Law of the Sea
USOAP-CMA	Universal Safety Oversight Audit Programme – Continuous Monitoring Approach
VSP	Variable Set Parameter

## **BACKGROUND INFORMATION**

### Improvement Drivers

5.1 The ICAO USOAP-CMA focuses on a State's capability in providing safety oversight by assessing whether the State has effectively and consistently implemented the critical elements of a safety oversight system and determining the State's level of implementation of ICAO's safety-related SARPs, including Annex 12 Search and Rescue, and associated procedures and guidance material.

5.2 ICAO APAC Regional Office maintains an Air Navigation Deficiencies List. This list is based on the uniform methodology for identification, assessment and reporting of such deficiencies as described in Part V of the APANPIRG Procedural Handbook. By identifying and addressing specific deficiencies, APANPIRG and its Sub-groups facilitate the development and implementation of action plans by States to resolve identified deficiencies, where necessary.

5.3 The ANS Deficiency information had been populated into the ICAO iSTARS (Integrated Safety Trend Analysis and Reporting System) database and was accessible through the ICAO Secure Portal. The intention is to merge this data with the CMA Data, and manage the deficiencies using a single web-based process.

### Asia/Pacific SAR System Monitoring

5.4 Significant Annex 12 compliance weaknesses had been identified within the Asia/Pacific region based upon information provided (and in many cases not provided) by States to the ICAO Regional Office. This regional information status of the SAR capability and SAR agreements was recorded in tables made available to APANPIRG, which was expected to be enhanced with the integration of SAR elements into the Seamless ATM on-line monitoring system.

### Recent ICAO SAR Initiatives

5.5 The tragedies of Malaysia Airlines flight MH370 in 2014 and Air France flight AF447 in 2009 had highlighted vulnerabilities in the current air navigation system which had hampered timely identification and location of aircraft in distress, particularly remote oceanic areas. This had significantly hindered effective SAR efforts and recovery operations.

5.6 As part of the response to the Conclusions and Recommendations from the ICAO Multi-disciplinary Meeting on Global Tracking, ICAO developed a Concept of Operations (CONOPS) for a GADSS. The implementation of this target concept will have implications for the provision of services such as air traffic control, SAR and accident investigation. It contained a large number of measures targeting improvements in SAR system response integrated within the wider ATM and aircraft/airline operations systems.

5.7 The CONOPs noted that the effectiveness of the current alerting and SAR services should be increased by addressing a number of key improvement areas. The ICAO GADSS CONOPS also included aspects which potentially involve use of different distress systems, including for example 406 MHz Emergency Locator Transmitters (ELTs) and the Cospas-Sarsat system as part of the proposed GADSS solution.

Cospas-Sarsat System

5.8 Cospas-Sarsat had been developing two major enhancements to its distress-alerting System of value to all System users, including the aviation industry. One is the introduction over the period of approximately 2016 to 2018, and beyond, of a new space-segment architecture based primarily on Medium-altitude Earth Orbit Search and Rescue (MEOSAR) payloads aboard the European Commission's Galileo system, the Russian Federation's GLObal Navigation Satellite System (GLONASS) and the United States' Global Positioning System (GPS) satellites.

5.9 This architecture would permit determination of a distress incident location (independent of any location data transmitted in the beacon message) beginning with the first burst from the distress beacon. This could mean near real-time and very frequent delivery of distress alerts.

5.10 The SAR/Galileo space segment would also provide a Return Link Service (RLS) that, among other possible future uses, would provide an acknowledgment back to the beacon to confirm when the distress message has been received.

5.11 The other major development was the completion in the next couple of years of specifications for the next generation of 406 MHz distress beacons, including ELTs. This new generation of beacons should further improve speed and accuracy in locating an activated distress beacon. The period from beacon activation to first transmission was expected to be reduced from 50 seconds to three seconds. The specification would consider in-flight activation of ELTs when certain flight parameters were exceeded. The RLS was also being considered as part of the GADSS Concept, being a means of remotely activating an ELT in the case of an unresponsive or uncooperative cockpit.

5.12 States needed to continue to ensure that aviators were aware that 121.5 MHz beacons cannot be detected by the global Cospas-Sarsat System and were only intended as a final homing signal for 406 MHz beacons.

5.13 States also need to ensure the critical requirement to provide for a suitable, clear and simple means for aircraft owners to register and keep updated their 406 MHz distress beacon details.

*Note: information on beacon registration is at: <http://www.cospas-sarsat.int/en/beacons-pro/beacon-regulations-pro/ibrd-user-information-for-professionals>).*

5.14 Entries in the beacon register should be available to both aeronautical and maritime RCCs on a 24 hour basis (Annex 12 – *Search and Rescue* refers, although Annex 10 establishes the registration requirement). States should note that Annex 12 should be read in conjunction with elements of the following ICAO Annexes:

*Annex 6 – Operation of Aircraft;*

*Annex 10 – Aeronautical Telecommunications;*

*Annex 11 – Air Traffic Services; and*

*Annex 14 – Aerodromes.*

## CURRENT SITUATION

### Global Situation

6.1 The ICAO USOAP Report of audit results, 3<sup>rd</sup> Edition, April 2005 to August 2010 revealed a number of SAR deficiencies during the audits of 165 Member States:

- 38% of States had not laid down provisions for entry into their territory of SAR units (SRU) of other States for the purpose of search for the site of aircraft accidents and rescuing survivors;
- 44% of States had not developed a detailed plan on operation for the conduct of SAR operations within their respective Search and Rescue Regions (SRRs); and
- 67% of States had not established the necessary coordination of their SAR organisations with those of neighbouring States, including the conclusion of bi-lateral SAR agreements in order to coordinate SAR operations; and
- regarding RCCs –
  - i. about 40% of States had not developed job descriptions for their technical staff;
  - ii. 45% did not ensure that RCC personnel using radiotelephony communications were proficient in the use of the English language; and
  - iii. about 56% of States do not regularly train their SAR personnel, and nor did they conduct SAREXs.

### Asia/Pacific SAR Analysis

6.2 The last decade has seen a steady increase in air traffic in the Asia/Pacific Region. Maritime traffic is also increasing, adding further urgency to ensure that States with oceanic SAR responsibilities in the region meet the requirements of both ICAO and IMO for the provision of aviation and maritime SAR services.

6.3 An analysis of the 35 USOAP Protocol Questions (PQs) in June 2015 that involved SAR (7.182, 7.184, 7.481, 7.483, 7.485, 7.487, 7.489, 7.491, 7.493, 7.494, 7.495, 7.497, 7.499, 7.501, 7.503, 7.505, 7.507, 7.511, 7.513, 7.515, 7.517, 7.519, 7.521, 7.523, 7.525, 7.527, 7.529, 7.531, 7.533, 7.535, 7.537, 7.539, 7.541, 7.543, 7.545) resulted in an overall Effective Implementation (EI) of 50.68% for the Asia/Pacific Region. When analysed for 35 Asia/Pacific States and administrations, 14 SAR-related questions indicated EIs of below 50% (**Figure 1** refers):

- 23% - PQ 7.517 (SAR coordination with neighbouring States);
- 29% - PQ 7.505 (effective SAR safety oversight);
- 31% - PQ 7.495 (SAR inspectorate training programme);
- 34% - PQs 7.497, 7.501 (SAR inspectorate periodic training plan and OJT);
- 40% - PQs 7.499, 7.545 (SAR inspectorate training implemented; and SAR personnel regular training and appropriate SAR exercises arranged);
- 43% - PQ 7.507 (elimination of deficiencies identified by SAR inspectors);
- 46% - PQs 7.493, 7.533 (SAR inspector minimum qualifications and experience and RCC and RSC training programme); and
- 49% - PQs 7.487, 7.489, 7.491, 7.503 (sufficient SAR safety oversight staff, functions and responsibilities of the SAR inspectorate, SAR inspector job descriptions and SAR inspectorate training records system).

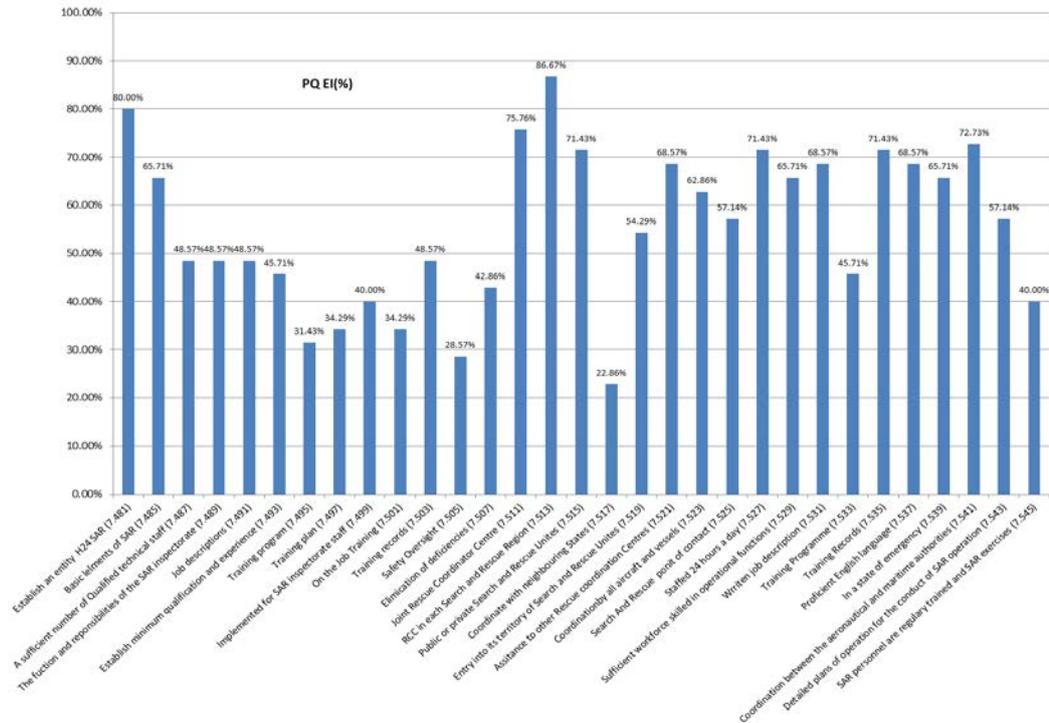


Figure 1: SAR-related questions indicated EIs of below 50% (as at June 2015)

6.4 From this analysis, it appeared that the major areas of weakness is in coordination with adjacent States, effective SAR oversight, and training of SAR staff that provide the SAR services. Therefore, a focus on the minimisation of barriers associated with the efficient cross-border coordination of SRU (such as pre-arranged approval) and other coordination mechanisms, including updates of SAR agreements (whatever their form) was vital. Finally, there was a need for improved systemic approaches to training for both SAR inspectors and personnel responsible for the provision of SAR services, including the regular organisation of effective SAR exercises that test systems and personnel. It should be noted that the training of SAR inspectors did not require SAR-specific technical training, but was more focused on effective audit and inspection techniques, etc.

6.5 The 2015 SAR/TF/4 analysis indicated significant Annex 12 compliance weaknesses remained in the South Asia area and the Southwest Pacific. In addition, there were parts of Southeast Asia and East Asia that indicated a need for compliance improvement.

6.6 The overall SAR capability ranking of Asia/Pacific States (using a metric of 5% for an A = full Annex 12 compliance as advised by the State and 4% for a B = meets Annex 12 requirements in most areas) is indicated in Figure 2:

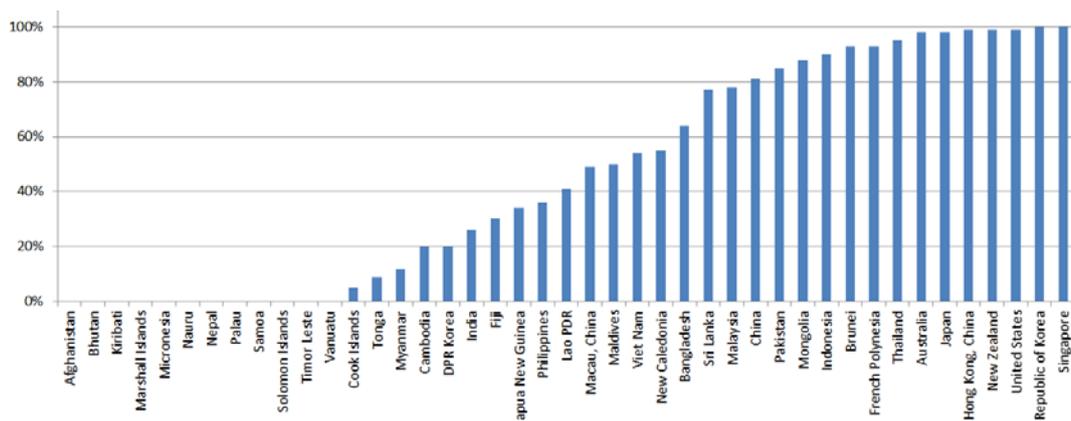


Figure 2: Asia/Pacific SAR Capability Ranking (as at June 2015)

### Asia/Pacific SAR Coordination Forums

6.7 The Asia/Pacific Region will benefit from the cooperation and coordination of States and International Organizations involved in the APSAR/TF. After the APSAR/TF completes its tasks, the establishment of permanent joint ICAO/IMO Regional SAR Forums to enable collaboration and cooperation on oceanic SAR matters across the specific oceanic regions and including adjacent ICAO regions should be considered, such as:

- a) Pacific Ocean SAR Forum – including Pacific States of the Asia/Pacific, North American and South American regions;
- b) Indian Ocean SAR Forum – including Indian Ocean States of the Asia/Pacific, South and East African and Middle East regions; and
- c) Secretariat of the Pacific Community (SPC) – an existing forum which could include these matters on its work programme.

6.8 There were several regional initiatives for cooperative support and development already being undertaken in the Asia/Pacific Region to assist with SAR capability enhancement. For example Australia was sponsoring programmes in partnership with Indonesia through the Indonesian Transport Safety Advancement Program (ITSAP) and with the Maldives, Mauritius and Sri Lanka through a SAR Capability Partnership Program (SCPP).

6.9 Such improvement programmes could result from a request by a State needing assistance, ICAO/IMO oversight, the users of the SAR system itself, an audit or following a SAR ‘Go-Team’ visit that identifies weaknesses in the State’s SAR capability (a ‘Go Team’ normally consists of external SAR experts from ICAO/IMO, more advanced ‘champion’ States or external agencies such as Cospas-Sarsat). The programs can be conducted by experts from a ‘champion’ State, or through a cooperative effort by several States or a regional body.

### Barriers

6.10 The following potential issues should be considered to ensure they do not become barriers to the achievement of the expected SAR capability:

- a) absence of established appropriate legal framework designating, recognizing, supporting and giving authority to national SAR authorities, RCCs and SMCs;
- b) inadequate funding and equipping of SAR authorities and in particular, resourcing of RCCs;
- c) absence of an appropriate SAR organizational framework;
- d) absence of a national SAR committee;
- e) lack of clarity of responsibilities for each component of the SAR system;
- f) absence of bilateral/multi-lateral/international SAR Agreements;
- g) inadequate civil/military cooperation; and
- h) complacency about, or lack of recognition of, the importance or priority given to SAR.

### Global and Regional SAR Issues

6.11 States should monitor outcomes from global and regional ICAO and IMO SAR forums to ensure their State SAR authorities are updated on relevant SAR developments, otherwise State planning may not be synchronized with external international expectations, including users. Such forums may include APANPIRG and its Sub-Groups, other ICAO Region SAR groups, the JWG, ICAO High Level Safety Conferences, etc.

- 6.12 The provision of sufficient resources was critical in a number of areas, including:
- a) Financial-
    - funding for 24 hour RCC facility and staff;
    - funding for use/hire of search and rescue units; and
    - Provision of a suitable administrative process enabling financial support including the ability for SAR authorities to quickly authorise payments required for emergency response aircraft, vessels and supporting logistics such as fuel.
  - b) RCC personnel- a suitable number of trained and skilled staff, supplemented by a pool of trained RCC support staff where appropriate;
  - c) RCC facilities-
    - appropriate RCC facility space;
    - minimum RCC tools (such as current charts, plotting equipment, documentation, etc.);
    - identify and task available SRUs;
    - Aircraft and vessel tracking information including ADS-B, Automatic Identification System, etc.;
    - reliable and rapid H24 communications, and a suitable means to-
      - receive and communicate distress alerts
      - communicate with ATS units, other RCCs/RSCs, Coast Radio Stations, COSPAS-SARSAT Mission Control Centres (MCCs), military units, medical services, meteorological offices, etc.;
    - information technology-
      - RCC workstation computers;
      - Software including basic databases, drift modelling, incident management, etc.;
  - d) Contingency- back-up RCC facility, or arrangement with another RCC as a contingency against inability to operate from the primary RCC due to the need to evacuate or loss of systems, etc.;
  - e) Search and Rescue Units (SRUs)-
    - available and suitable SAR aircraft and crews;
    - funding arrangements/agreements for hiring/payment/sharing of SRUs to permit rapid deployment; and
    - Available and suitable SAR survival equipment for delivery by aircraft to survivors and to assist SAR coordination efforts (e.g.: SAR Datum Buoys, droppable life rafts and survival supplies, etc.);
  - f) Training support-
    - RCC staff – basic and ongoing;
    - SRU crews – pilots, air crew and air observers; and
    - RCC support staff – basic and refresher.

## PERFORMANCE IMPROVEMENT PLAN

### Preferred SAR Capability Specifications (PSCS)

*Note: PSCS are the non-mandatory expectations on all Asia/Pacific Region States to enhance SAR systems in order to meet a minimum level of SAR capability, with a high degree of interoperability and harmonisation, and interoperability with other ATM components such as Air Navigation Service Providers (ANSPs) and aerodrome operators. PSCS were not expected to contravene existing Annex 12 standards.*

### PSCS (expected implementation by 08 November 2018)

*Note: Guidance Material for the implementation and monitoring of PSCS is expected to be developed by APANPIRG to align with the established Asia/Pacific Seamless ATM Implementation Guidance Material.*

7.1 Legal Framework and Structure Planning: All States should develop statutes and related provisions that establish or enhance the legal foundation for a State SAR organization and its framework, resources, policies and procedures to, where appropriate to:

- a) ensure that it is party to, and/or aligned with the following Conventions, as applicable –
  - iv. Convention on International Civil Aviation 1944;
  - v. International Convention on Maritime Search and Rescue, 1979;
  - vi. International Convention for the Safety of Life at Sea (SOLAS), 1974;
  - vii. Convention on the High Seas, 1958; and
  - viii. United Nations Convention on the Law of the Sea (UNCLOS), 1982;
- b) unless delegated by written agreement, establish an entity that provides, on a 24-hour basis, SAR services within its territories and designated area of responsibility/SRR;
- c) establish a national SAR committee consisting of civil and where appropriate, military members to enable a whole-of-government approach;
- d) empower SAR Mission Coordinators with the authority to adequately carry out their responsibilities;
- e) establish an Administrative Single Point of Contact for SAR (ASPOCS) for non-urgent, administrative matters, such details to be submitted to the ICAO Regional Office;
- f) conduct studies to check the feasibility for, and develop an implementation plan if practicable, the integration of aviation and maritime SAR activities, and as far as practicable, civil and military activities, including joint training and familiarisation of staff and review of documentation to ensure harmonisation of procedures, and joint exercises;
- g) conduct studies to align, as far as practicable, aeronautical and maritime Search and Rescue Regions (SRRs); and SRRs and Flight Information Regions (FIRs); and
- h) establish a single State SAR Plan that –
  - i. designates the responsible RCC(s), RSC(s) and 24-hour SPOC/ASPOC;
  - ii. describes the relevant SRRs, including the coordinates and geographical chart depiction of the SRR and neighbouring SRRs;

- iii. details the National SAR Committee;
- iv. details the governmental and non-governmental agencies with authority and responsibility for SAR coordination within its territories and designated area of responsibility;
- v. details required and available SAR facilities, personnel, and equipment;
- vi. details the SAR manuals, plans and procedures for national and regional cooperative SAR response arrangements;
- vii. details the SAR personnel training and competency programme, qualification standards, SAR certification if applicable and SAR cooperation training;
- viii. details the SAR agreements required;
- ix. is electronic and accessible on the Internet, such details to be submitted to the ICAO Asia/Pacific Regional Office; and
- x. is monitored by quality assurance processes.

7.2 SAR Standards and Procedures: All States should:

- a) establish aerodrome emergency plans that provide for co-operation and co-ordination with RCCs;
- b) establish SAR agreements with States having adjoining SRRS or FIRs, including trans-regional neighbours (the agreements should include clear responsibilities for overlapping or non-adjointing aeronautical and maritime SRRs);
- c) provide up to date cross-border information on SAR capability (this should be included in bilateral SAR agreements);
- d) pre-arrange procedures for cross-border SAR responses (this should be included in bilateral SAR agreements);
- e) establish contingency procedures for delegation of SAR responsibility where such service is not able to be provided, or in contingency (temporary) circumstances;
- f) establish a program for regular SAREX, which may be a desktop communications exercise, with each alternate SAREX being a full exercise (this expectation may be fulfilled by participating in a sub-regional SAREX that tests the State's SAR system; and
- g) establish RCC plans for response to Mass Rescue Operations (MROs) integrated with national disaster plans; and
- h) establish SAR Alerting procedures which:
  - i. are tested and fully integrated with RCC procedures so that RCCs are rapidly notified of any SAR event 24 hours a day;
  - ii. include procedures for joint aeronautical and maritime distress alert notification, including reliable delivery and acknowledgement of Cospas-Sarsat distress alerts, support and response to both aviation and maritime SAR incidents; and
  - iii. where applicable, include protocols for civil and military support and sharing of information.

SAR Facilities and Resources

7.3 *RCC Facility*: All States should ensure that RCCs are of sufficient size with adequate provision for operational positions designed in accordance with human factors principles (such as human machine interface) for a major search involving civil and military assets where applicable, and facilities such as:

- a) Workstations, telephones (with international access), plotting tables, wall notice/status boards, computer, and communications equipment and systems, briefing/debriefing areas room for storage including incident records and recorders, RCC staff break and rest facilities;
- b) computer resources which may provide support to RCCs with incident management, plotting, search planning, mapping, contact databases, web-based information, etc.;
- c) charts, electronic or paper, which:
  - i. apply to SAR (aeronautical, nautical, topographic and hydrographic);
  - ii. depict SRR, neighbouring SRRs, FIR(s), SAR resources and made available for all relevant aeronautical and maritime RCCs, ATS units, aircraft operators; and
  - iii. provide a means of plotting;
- d) ability to reliably receive and acknowledge distress alerts 24 hours a day;
- e) maritime broadcast facilities;
- f) a means of recording, playback and archiving of communications;
- g) shipping/vessel communications and maritime broadcast facilities such as Coast Radio Stations, RCC radio and satellite communications, marine radio networks;
- h) aircraft communications – via ATS units, aircraft operators, satellite communications or direct between RCC and aircraft;
- i) access to aircraft and ship tracking data, e.g. ADS-B, Automatic Identification System and Long Range Identification and Tracking of Ships (LRIT) allowing rapid identification of potential aircraft and vessels that may divert to assist;
- j) a means of obtaining meteorological information – forecast, present and historical data;
- k) if applicable drift modelling software;
- l) if applicable, ocean data including sea temperature, currents, winds, tides, etc.;
- m) if applicable, SAR Datum Buoys, preferably with satellite tracking capability; and
- n) RCC documentation and reference material such as plans of operation, procedures manuals, guidance material, ICAO and IMO references, SAR agreements; and
- o) Cospas-Sarsat equipment and reference material.

7.4 *Personnel and Training* All States should, where applicable to maintain a 24 hour service:

- a) provide adequate ATC resources (either an ATS supervisor or other staff) that can provide relief within Area Control Centres (ACCs) to allow timely SAR alerts and information to RCCs;
- b) provide sufficient RCC staffing;
- c) provide a sufficient number of trained specialist RCC officers including SMCs and Assistant SMCs (A/SMCs);

- d) provide availability of a pool of RCC support staff who are familiar with RCC operations, but not trained as coordinators, that can assist with the functioning of the RCC during SAR incident response;
- e) develop SAR personnel position descriptions that detail responsibilities and eligibility criteria for recruitment of operational staff;
- f) develop a comprehensive training programme that includes SAR training for:
  - i. RCC SAR Coordinators (SCs) based on a competency-based assessment approach to ensure technical and English language proficiency, cyclical (periodic) instruction that provides continuous training to ensure competency is maintained, and a system for maintaining training records; and
  - ii. SRU staff, including military personnel.
- g) facilitate RCC staff to be proficient in the English language; and
- h) facilitate a programme of regular liaison visits between relevant RCCs, ATC units and airline operating centres in order to understand those organizations, facilities and capabilities (reference Annex 12, paragraph 3.1.9).

7.5 *Oceanic Capability*: Where applicable, States should establish additional oceanic SAR capability as far as practicable to ensure a timely and adequate SAR response is available to all oceanic areas of their SRRs. This may be met through cooperative arrangements with neighbouring States or other RCCs.

7.6 *Search and Rescue Units*: All States should establish capabilities enabling:

- a) availability and deployment of suitably crewed, trained and equipped SRUs (including a pool of air search observers trained in visual search techniques), public and/or private, civil and military, for rapid SAR response;
- b) availability and deployment of SRU craft that may be in use for another primary purpose but made available to RCCs for SAR purposes on an as needed emergency basis (vessels, aircraft and land units );
- c) protocols for civil SAR authorities to request the assistance of military assets, and similarly military SAR authorities to request civil assets;
- d) a communication means and information protocols between the State's Aeronautical and Maritime SAR Authorities;
- e) cooperative use and/or sharing of SAR assets with protocols incorporated within National SAR Plans and bilateral SAR Agreements;
- f) pre-arranged government authority for funding of costs associated with hiring of SRUs, and payment for critical supporting logistics such as fuel, to avoid any delays in response availability;
- g) aircraft with the ability and regulatory approval to safely conduct SAR missions.

*Note: guidance material on SAR aircraft capability is found in the IAMSAR.*

7.7 *Distress Beacons*: All States should :

- a) where separate ARCCs and MRCCs exist with responsibility for coincident aviation and maritime SRRs, coordinate distress beacon alert procedures to ensure both RCCs are aware of any distress beacon activations within their areas to avoid duplication of response. For example, MRCCs should ensure their procedures alert ARCCs and ATS units to any EPIRB activations;

- b) have a reliable distress beacon registration system that:
  - i) provides a readily-accessible mechanism (preferably one that is available by Internet as well as other conventional means) to enable distress beacon owners to fulfil their obligation to register ELTs, EPIRBs and PLBs, and update the registration data as information changes (e.g., change in ownership);
  - ii) is available to RCCs 24 hours a day and includes up-to-date registration details for all national civil and military ELTs, EPIRBs and PLBs;
- c) take steps (including education) required to prepare for, and to implement changes related to, the introduction of next generation beacons (e.g.: update beacon registration systems to be compatible with new beacon hexadecimal identifications) and the transition to the MEOSAR satellite architecture (e.g.: update local user terminals and mission control centres to properly receive and manage MEOSAR data), in accordance with Cospas-Sarsat specification documents (<http://www.cospas-sarsat.int/en/documents-pro/system-documents>); and
- d) establish an appropriate nationwide means of disposal for old distress beacons.

*Note 1: Information on beacon registration is at: <http://www.cospas-sarsat.int/en/beacons-pro/beacon-regulations-pro/ibrd-user-information-for-professionals>.)*

*Note 2: Incorrect disposal of distress beacons often causes the deployment of scarce and often expensive SAR resources only to have the beacon located as a non-distress event in a rubbish dump or similar location. This also creates the risk of SAR resources being diverted away from a real emergency should it arise at the time. Beacon batteries are hazardous items which should be disposed of in an environmentally friendly manner.*

7.8 Contingency Facilities: All States should ensure there are established contingency facilities, or when a SAR service is not able to be provided, procedures in place for the temporary delegation of the SAR responsibility to another appropriate national body or State. All States should test their contingency arrangements periodically, but not less than once every six months.

#### SAR Information

7.9 Provision of Information: All States should ensure the:

- a) establishment of a centralised information source publishing all Asia/Pacific State Aeronautical Information Publication (AIP) information as required by ICAO Annex 15 Appendix 1, page APP 1-8 including:
  - i. The agency responsible for providing SAR services;
  - ii. The area of SAR responsibility where SAR services are provided;
  - iii. The type of SAR services and facilities provided including indications where SAR aerial coverage is dependent upon significant deployment of aircraft;
  - iv. SAR agreements;
  - v. The conditions of SAR facility and service availability; and
  - vi. SAR procedures and signals used;
- b) establishment of an Internet-based SAR information sharing system (with security protocols as required and in accordance with the emerging System Wide Information Management – SWIM concept as applicable) to share SAR activity with States and key stakeholders participating in a SAR activity (the information sharing system should include a means of handling media and next of kin enquiries, and recognise the need to avoid premature media statements); and

- c) maximum practicable cooperation between State entities in the provision of accurate and timely information when required, including from military sources except where national security could be adversely affected.

7.10 SAR Facilities and Equipment Lists: All States should develop and maintain a current, comprehensive electronic list of State SAR Facilities, SAR Equipment, and SAR Units (SRUs), including joint or shared facilities and equipment, and provide the Internet link to that list to the ICAO Asia/Pacific Regional Office.

7.11 SAR Library: All States should:

establish a web-based SAR Library, or cooperate by contributing to an Internet-based Asia/Pacific resource (such as [www.uscg.mil/nsarc](http://www.uscg.mil/nsarc)); and

- a) ensure that each RCC and SAR Authority has ready access to a current copy (either electronic or hard copy) of the following reference documents at a minimum:
  - i. ICAO Annex 12;
  - ii. IAMSAR Manual Volumes I, II and II;
  - iii. SOLAS; and
  - iv. Asia/Pacific SAR Plan.

*Note: The Asia/Pacific SAR Library hosted by the US Coast Guard contains a list of documents that may be held by RCCs and JRCCs as appropriate. In addition, a list of documents (SAR.7/Circ.12) would be available on the IMO web site at: (<http://www.imo.org/en/OurWork/Safety/RadioCommunicationsAndSearchAndRescue/SeArchAndRescue/Pages/Default.aspx>).*

#### SAR Improvement

7.12 Search and Rescue Exercises (SAREX): All States should conduct regular SAREX (at least once every two years) to test and evaluate existing coordination procedures, data and information sharing and SAR response arrangements involving:

- a) both aeronautical and maritime SAR authorities including both civil and military agencies as applicable, and related bodies such as Air Navigation Service Providers (ANSPs) and Airline Operations Centres (AOCs);
- b) where appropriate, cross-aeronautical SRR coordination (SAREX should routinely involve SAR authorities of adjacent SRRs, especially if the SAREX area concerned is within 50NM of the adjoining SRR); and
- c) SAREX effectiveness through a post-SAREX review and written report, completed to ensure that deficient areas or latent problems are identified and remedied.

*Note 1: a SAREX template is provided at **Appendix I**.*

*Note 2: SAREX should test the SAR system, including unannounced alerts that allow an actual search (whether it is a desktop or a physical operation), to be conducted which will indicate weaknesses in the system. SAREX should not be confused with, or take the form of, simulated crash fire exercises such as for Aerodrome Emergency Procedures that do not have a search component.*

*Note 3: Real SAR incident responses which include an adequate post-response review and evaluation with lessons learned may replace the need for a SAREX.*

7.13 SAR Quality Assurance: All States should implement SAR System Improvement and Assessment measures, including Safety Management and Quality Assurance systems, that:

- a) provide performance and safety indicators, including post-incident/accident lessons learned and management reviews (RCC and SAR System Continuous Improvement process), and feedback from RCC staff, SAR system users or SAR stakeholders;
- b) identifies risk and corrective and preventive actions that prevent or minimise risk and the possibility of substandard SAR performance;
- c) establishes an internal quality assurance programme, which includes regular internal audits of the RCC, SAR operations, SAR facilities and procedures that are conducted by trained auditors;
- d) ensures the person responsible for internal quality assurance within the entity responsible for SAR services has direct access to report to the Head of the entity responsible for SAR services on matters of quality assurance; and
- e) where appropriate, provides submissions to the JWG to share lessons learned and experiences with other global States for the continuous improvement of the worldwide SAR system.

*Note 1: Resourcing of SAR system audit arrangements could be mitigated by States entering cooperative arrangements, including sub-regional regulation, between States for auditing of each other's SAR systems to share expertise and costs.*

*Note 2: Provisions of Annex 19 for a Safety Management System (SMS) may apply where a SAR service is provided under the authority of an ATS provider (Annex 19, Chapter 3, 3.1.3 e refers).*

*Note 3: Peer review, either external or internal, may provide a useful internal quality assurance tool.*

7.14 SAR Management Review: All States should conduct an annual or more frequent analysis of their current State SAR system to identify specific gaps in capability against the minimum requirements of Annex 12 and the guidelines of the IAMSAR Manual to:

- a) enable the ICAO Asia/Pacific SAR data to be updated to accurately reflect the State's capability;
- b) be informed regarding the availability and capability of SAR services in neighbouring States;
- c) identify SAR research and development programmes, especially those which could be conducted if possible in cooperation with other States;
- d) establish a common set of basic SAR system statistics, which include-
  - i. number of SAR incidents per year;
  - ii. number of lives at risk versus number of lives saved;
  - iii. time from first alert to tasking the SRU;
  - iv. time from first alert to arrival on scene of first SRU; and
  - v. time from first alert to rescue.
- e) plan for any necessary improvements to gradually build and improve capability over time, which would be detailed in the State SAR Plan; and
- f) regularly review and update SAR agreements as appropriate.

*Note 1: The National Self-Assessment found in IAMSAR Manual Vol I Appendix H and the ICAO USOAP-CMA Protocol Questions for SAR may assist States with their reviews.*

*Note 2: The number of incidents should identify the type (e.g.: Cospas-Sarsat alert, ATS alerts, etc.) and outcome of SAR incidents.*

7.15 SAR Promotion: All States should conduct SAR promotional programs (e.g. Seminars, Workshops and public safety campaigns) to:

- a) encourage higher SAR preparedness by persons that may require SAR services through public safety campaigns aimed at preventing persons getting into distress situations (i.e.: 'preventative SAR');
- b) ensure the support of government decision-makers for SAR facilities and improvements, in particular adequate funding availability;
- c) assist media to understand SAR operations in order to minimise the need for explanations during SAR responses;
- d) recognise improvement in State SAR systems;
- e) enhance cooperation between SAR services and –
  - i. civil, military and police agencies;
  - ii. ANSPs;
  - iii. aerodrome and port operators;
  - iv. aircraft and shipping operators;
  - v. meteorological agencies;
  - vi. accident investigation agencies;
  - vii. government and non-government agencies affected by SAR operations, in particular large scale national and international responses involving whole of government agencies and
  - viii. other States.

*Note: social media may be an effective means of SAR promotion that reduces the workload of SAR staff during major SAR responses.*

## RESEARCH AND FUTURE DEVELOPMENT

### Research and Development

8.1 To develop the tools and systems required to meet foreseeable long-term requirements, there is a need for States to undertake planning and co-operation on SAR matters. This includes major efforts to define concepts, to extend knowledge and invent new solutions to future SAR challenges so these new concepts are selected and applied in an appropriate timely manner. Such efforts could be forged through collaborative partnerships between, States, ANSPs, International Organizations, institutes of higher learning and specialised technical agencies. This concept is consistent with Seamless ATM Principle 36 (*Inter-regional cooperation ('clustering') for the research, development and implementation of ATM projects*), and may manifest itself in joint projects such as:

- ICAO and/or IMO regional SAR training opportunities where provided to assist States that are unable to provide their own SAR training;
- Joint Sub-regional RCCs (ASEAN States in particular may be candidates for a single centre of excellence that brings together civil and military SAR experts from all ASEAN States and provides a single SAR facility that is cost-effective and has a level of resources and facilities that would be difficult for all States to maintain by themselves); and
- Regional online eLearning packages.

*Note: Appendix 2 provides a summary of benefits to the SAR System of States assisting other States.*

8.2 With the end goal of a globally interoperable SAR system in mind, the region will have to consider planning for a long term supporting concept and infrastructure. The following are possible areas that should be considered for future SAR research and development, in order to promote the maximum possible harmonisation and interoperability of SAR systems:

- a) data sharing such as aircraft and ship tracking information;
- b) automated data link communication to RCCs when an aircraft or ship exceeds a Variable Set Parameter (VSP) in terms of its operating envelope, or activation of an emergency status (could be displayed as a symbol, and the data could include certain operating parameters such as acceleration and altitude for an aircraft) – note the ICAO GADSS includes this concept;
- c) regional Remotely Piloted Aircraft Systems (RPAS) SAR capability;
- d) inclusion of the SAR system and RCC access as a component of the new ICAO SWIM concept of operation and implementation;
- e) on-going development of standardised SAR training objectives and advanced training systems, including the use of high fidelity simulators; and
- f) enhanced technology oriented systems to improve SAR system effectiveness.

## MILESTONES, TIMELINES, PRIORITIES AND ACTIONS

### Milestones

9.1 Section 7 (*Performance Improvement Plan*) provides a scheme for the implementation of a collective set of enhancements for a number of elements in the PSCS, effective 08 November 2018 .

9.2 States should commence planning for the various PSCS elements from the approval of this Plan, to ensure a smooth transition by 08 November 2018, and should include consideration of issues such as:

- safety/operational analysis and assessment;
- cost-effectiveness;
- budgetary issues;
- development of operational procedures; and
- training.

9.3 Section 8 (*Research and Future Development*) provides, subject to future agreement by concerned parties, possible SAR improvements beyond 2018 until 2028.

### Priorities

9.4 It is a matter for each State to determine priorities in accordance with its own economic, environmental, safety and administrative drivers.

### Actions

9.5 This Plan necessitates a number of implementation actions. It is expected that each Asia/Pacific State report progress on each applicable element to APANPIRG. All States should note the importance of SAR status monitoring, which is expected to be conducted as part of the Seamless ATM on-line monitoring. Reporting of implementation progress of SAR elements from this Plan is expected to be conducted by the on-line Seamless ATM Reporting and Monitoring system, using the following categories in accordance with the SAR Air Navigation Reporting Form (ANRF) B0-SAR:

- SAR Regulatory and Coordination Mechanisms ;
- SAR Facilities and Assets;
- SAR Information; and
- SAR Improvement.

9.6 Section 6 (*Current Situation*) provides analysis and major concerns in the region, which should be considered in the formulation of specific State plans.

9.7 SAR Coordination Forums, which are likely to be based on sub-regional development (such as a Pacific Ocean SAR Forum and Indian Ocean SAR Forum) need to be promoted, established and supported to ensure the on-going implementation work and future review of SAR expectations linked to this Plan are conducted.

SAREX

9.8 A program is expected to be established for an annual SAREX in each sub-region (South Asia, Southeast Asia, East Asia and the Pacific), with every second year being a desktop communications exercise, and alternate years being a full exercise. The SAREX outcomes and lessons learned should be reported to APANPIRG through the ATM Sub-Group.

9.9 The ICAO Asia and Pacific Regional Office was responsible for taking actions that assist the implementation of SAR within its accredited States, in cooperation with the IMO. In addition, the Asia and Pacific Regional Office was responsible for coordinating with adjacent ICAO regional offices on an ad hoc basis or at relevant trans-regional meetings.

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**APPENDIX 1: WORK PLAN FOR THE **[[JOINT]]** SAREX COORDINATION MEETING**

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**1. OBJECTIVES**

*State the objectives of the **[joint]** SAREX and what are to be achieved out of the SAREX by all participants.*

1.1 The objectives of the **[joint]** SAREX are:

- a) To provide continuation of SAR exercise and improve cooperation between ..... (**participating agencies or State RCC**) and ..... (**participating agencies or State RCC**).
- b) To provide continuation training for personnel of SAR organisations from both ..... (**participating agencies or State RCC**) and ..... (**participating agencies or State RCC**).
- c) To test the communication facilities and procedures between ..... (**participating agencies or State RCC**) and ..... (**participating agencies or State RCC**); and
- d) To test and determine the effectiveness of the Search and Rescue Units of ..... (**participating agencies or State RCC**) and ..... (**participating agencies or State RCC**).

**2 DATE AND TIMING OF SAREX**

*State the agreed date, time and year for the **[joint]** SAREX. Have alternate or contingency plan in the event that the full scale SAREX cannot be conducted due to weather or any unforeseen circumstances. It is recommended that a pre-SAREX brief be conducted to ensure all participants understand their roles and the required actions to be taken. State the agreed time for a pre-SAREX brief to be carried out for all participants and States may conduct simultaneous pre-SAREX brief at their own location for their local participants. For standardization and to avoid confusion, it is recommended that all timing and dates used should be in UTC as there may be difference in time and day for different States. After the SAREX, it is also recommended to conduct a de-brief for all participants.*

For example:

- 2.1 Table Top SAREX or A Full Scale Exercise will be held between ..... (**participating agencies or States**) and ..... (**participating agencies or State**) on .....(date/month/year according to UTC) .....(day of the week according to UTC) from ..... (time in UTC) to ..... (time in UTC).
- 2.2 In the event of bad weather, the Full Scale SAREX will be converted into a Table Top SAREX. The cut off time will be at ..... (time in UTC).
- 2.3 A Pre-SAREX brief will be held on ..... (day/month/year according to UTC) ..... (day of the week according to UTC) in ..... (location of the pre-SAREX brief) at ..... (time in UTC).
- 2.4 De-Brief will be held on ..... (day/month/year according to UTC) ..... (day of the week according to UTC) in ..... (location of the de-brief) at ..... (time in UTC).

### 3 SCENARIO

*Discussion and development of exercise scenario with participating State or States and agencies involved. Scenario created should be as realistic as possible to simulate close to a real incident. A fictitious flight plan can be included to provide additional information pertaining to the distressed aircraft as required by the RCCs. Using fictitious call signs or airlines for distressed aircraft will avoid complication or confusion especially if it involves the social media.*

For example:

- 3.1 At ..... (time in UTC), a chartered .....(type of aircraft) ..... (callsign of distressed aircraft) departed from ..... (point of departure) to ..... (destination) with ..... (POB). At ..... (time in UTC), aircraft declared “MAY DAY” due to ..... (nature of emergency) at ..... (location in Lat and Long or with reference to a prominent location known to all). .....
- 3.2 Other information like Pilot-in-command ..... equipment carried on board ....., colour of aircraft fuselage or tail.

### 4 PARTICIPATING ORGANISATIONS OR UNITS

*Identify and list all participating agencies or agencies from both States. Agencies should include both government and private. ANSP, Aircraft Investigation Bureau, Airlines etc should be involved in a SAREX as they are directly involved in any real air incident*

For example:

- 4.1 From ..... (participating local agencies or States)
  - 1) Civil Aviation Authority of .....
  - 2) Local Air Force
  - 3) Local Navy
  - 4) .....
  - 5) .....

From ..... (the other participating local or States):

- 1) Civil Aviation Authority of .....
- 2) Local Air Force
- 3) Local Navy
- 5) .....
- 6) .....

### 5 DEPLOYMENT OF EXERCISE SAR UNITS (SRUs) AND CALLSIGNS

*State all the SAR assets that will take part in the SAREX. It is recommended that the callsigns of the SRUs should be pre-fixed with the word “SAREX” to indicate that it is an exercise aircraft or surface vessel. This will not create any confusion between a SAREX and a real incident. Callsign assigned to a particular SAR asset should not be changed and to be used throughout the exercise. Different SAR asset should be assigned with an individual flight number.*

5.1 SRUs from ..... (participating State) and their callsigns are as follows:

<u>Type of SRUs</u>	<u>Callsign</u>	<u>Remarks</u>
Fokker 50	SAREX 01	Search
C130	SAREX 02	Search
Dolphin Helicopter	SAREX 03	Search and Rescue
.....	SAREX.....	.....
.....	SAREX.....	.....
.....	SAREX.....	.....

5.2 SRUs from ..... (the other participating State) and their callsigns are as follows:

<u>Type of SRUs</u>	<u>Callsign</u>	<u>Remarks</u>
Helicopter	SAREX 04	Search and Rescue
Ship	SAREX 05	Search and rescue
.....	SAREX....	.....

## 6 COMMUNICATIONS

*State the agreed radio frequencies to be used in the SAREX. Make communication arrangements between the two RCCs as well as between the RCCs and the SRUs. It is recommended that a communication check be conducted between all parties before the SAREX to ensure serviceability of communication equipment. A standby day may be necessary if the communication check is found not satisfactory or unsuccessful.*

6.1 The communications arrangement will be as follows:

a) Between ..... (participating agency or State RCC) and ..... ( the other agencies or participating State RCC)

- Primary communication - .....KHz or .....Mhz or landlines
- Secondary communication - .....KHz or .....Mhz or landlines
- Standby communication - .....KHz or .....Mhz or landlines

b) Between .....(participating agencies or State RCC) and SRUs)

- Primary communication - ..... KHz or .....MHz
- Secondary communication - ..... KHz or .....MHz
- Standby communication - .....KHz or .....MHz

6.2 A communication test between ..... (participating agency or State RCC) and ..... (the other participating agencies or State RCC) will be conducted prior to the SAREX. The date for the test is on ..... (date/month/year according to UTC) between ..... (time in UTC) to ..... (time in UTC).

6.3 In the case of unsatisfactory communication test, another test will be conducted on ..... (date/month/year according to UTC) between ..... (time in UTC) to ..... (time in UTC).

6.4 All messages pertaining to the exercise shall be prefixed with the words “SAREX SAREX SAREX”

## **7 SEARCH OBJECT**

*In a Full Scale SAREX, States can consider the deployment of a search object to add realism to the exercise. This will enable participating SRUs to practice visual search from air as well as on from the surface of the sea. If the homing capability of the SRUs is desired, a beacon can be placed on the search object for electronic search. Arrangement can be made for the search object to be deployed at the proposed distress location at the activation time of the SAREX. A search object with some significant marking or markings on it will enable easier visual sighting of search target on land or on water.*

- 7.1 The search object will be provided by ..... (one of the participating agency or State RCC) and will be deployed at ..... (time in UTC) on .....(date of the SAREX according to UTC) at the position in which the distressed aircraft is assumed to have crashed.
- 7.2 Search target is marked with..... (bright colour or with the words “SAREX” or some significant marking).

## **8 ALERTING AND ACTIVATION**

*State clearly on the alert and activation processes for the SAREX. Decide on which agency or State would initiate the distress phase and notify the other participating agencies or State or States so that [joint] SAR effort can be carried out. In a joint SAREX, if the distressed location is within the area of responsibility of a particular State, the State concern should carry out the alerting and activation phase. The other participating State or States should be notified and [joint] SAR operations can be carried out.*

- 8.1 Since the crash will occur in ..... (location or name the State FIR) or area of responsibility, ..... (State concern) RCC will notify ..... (participating State) . Both RCCs will coordinate the SAR Operations.

## **9 SEARCH AREA**

*Discuss on how to determine the search area or which State should determine the search area. In a joint SAR effort, the two RCCs can determine their own search areas and agree on a common search area.*

- 9.1 The respective Search Mission Coordinators (SMCs) will work out a search area upon receipt of the distress location or crash report.
- 9.2 The two SMCs shall discuss with each other and agree on a common search area.
- 9.3 If there is a great difference between the two search areas, the controlling RCC shall decide on the most probable area and take the necessary action to promulgate the area as a restricted area for SAR operations accordingly.

## **10 DIPLOMATIC CLEARANCE**

*In a joint SAREX, make necessary arrangement for the application of Diplomatic Clearance required if State assets may or are required to enter into another State’s territorial airspace or waters. The process for application should be made known or if there is an agreement in place between the two States, then the agreed procedure should be followed. Provide information regarding the SRUs and particulars of the personnel on board. It is recommended that particulars of the SRUs be provided to the State concern prior to the SAREX. This will assist in the Diplomatic Clearance process.*

- 10.1 ..... (State) SMC will request to ..... (State) for diplomatic clearance to allow ..... (State's) SRUs to enter ..... (State's) territorial airspace and waters.
- 10.2 To obtain diplomatic clearance for ..... (State's) SRU, ..... (State) SMC shall provide the following particulars:
- a) Registration of SRU
  - b) Type of aircraft or vessel
  - c) Name of Captain/Pilot in Command
  - d) Names of crew on board (not required for sea asset)
  - e) Area of operation
  - f) Date and time of operation
- 10.3 The details of the ..... (State's) SRU shall be provided to ..... (State) one or two weeks before the exercise. Application for diplomatic clearances through the normal channel via the ..... (agency for the process of the Diplomatic Clearance) is advised in order to accelerate the diplomatic clearance process.

## 11 SEARCH OPERATIONS

*Note: Ensure the safe conduct of the SAREX especially with the air assets. It is recommended that there should be one controlling RCC providing instructions to search aircraft prior to entering the search area. It is also recommended that an Air Coordinator be deployed to provide instructions to search aircraft during transit to and fro from the search area as well as within the search area if the RCC personnel have no knowledge of Air Traffic Control.*

- 11.1 All SRUs shall report to the controlling RCC or On Scene Coordinator (OSC) prior to entering the Search Area and while conducting search in the Search Area to ensure safety and efficiency in the [joint] SAR effort. All air search assets must observe and adhere to ATC instructions.
- 11.2 Non exercise aircraft shall keep clear of the search area unless clearance has been obtained for these aircraft to transit through.

## 12 RESCUE OPERATIONS

*Note: Discuss on how the rescue operation is to be executed. Agency or States can decide on a simulated rescue operation by taking photographs of the search object once sighted or if actual personnel are deployed at the distressed location as survivors, actual rescue operations can be conducted. Actual rescue operation will provide training for the rescue of survivors from sea or land to hospitals or landing sites. If possible, recover the search object from the land or sea after the exercise, this will help to avoid the search object becoming an obstacle to others on land or sea. If recovering is not possible, make a general broadcast to warn others of the objects.*

- 12.1 When the search object is sighted, the SRU shall inform the ..... (State) RCC. The ..... (State) RCC will disseminate the information to all other SRUs.
- 12.2 The SRUs to take photographs of the search object to simulate the rescue of the survivors.
- 12.3 Recovery of the search object will be by ..... (agency that is recovering the search object).

12.4 If the search object is unable to be recovered due to sea state or weather, an Urgent Marine Information Broadcast is provided by ..... (maritime agency responsible for the area).

### 13 EMERGENCY LANDING OF SEARCH AIRCRAFT

*Note: In a joint SAREX, make arrangement for search aircraft to land in airport or airfield of another State in the event of an emergency encountered by the search aircraft where immediate landing is required.*

13.1 ..... (State's) search aircraft will be given permission to land in ..... (name of airport or airfield) if an emergency landing is required.

### 14 TERMINATION OF SAREX

*Note: State the requirements or under what circumstances that will terminate the SAREX. Make arrangement in the event of a real incident that might occur during the SAREX. Consideration can be given to have a code word or words which are understood by all participating agencies and SRUs in the event of a real incident. Once the code word is broadcast to all concern, it will be understood by all participants and the SAREX will be converted into real SAR operations.*

14.1 The SAREX will be terminated under any one of the following circumstances:

- a) When the all the SRUs have returned to base.
- b) When the time for the SAREX has expired and no search object is sighted.
- c) When there is an actual emergency.

14.2 In the case of a real emergency, the exercise will be converted into a real SAR Operations. The code word “NO DUFF NO DUFF” will be broadcast and all agencies to terminate the exercise immediately and prepare and convert it into a real SAR Operations.

### 15 SAREX De-brief

*Note: Conduct of a SAREX de-brief is important as this is where the evaluation process of the exercise is presented by evaluation experts who observed the exercise and observations by people who actually participated in the exercise scenarios. This is the final step to identify weaknesses and development of recommendations for improvement. Agree on a date and venue to conduct a SAREX de-brief to all participants from both States.*

15.1 SAREX Debrief will be held in on ..... (date/month/year according to UTC) at ..... (time in UTC).

15.2 The venue for the SAREX De-brief will be at ..... (name the venue).

### 16 SAREX CONTROLLERS/EVALUTORS/OBSERVERS

*Note: Name the personnel who will be involved in the SAREX as observers, evaluators and controllers. As for evaluators and controllers, they must have expertise in the areas of SAR as they will understand what is to be evaluated and how to control the exercise to maximize the training value.*

16.1 Personnel involved in the SAREX will be as follows:

From SAREX Controllers/Evaluators/Observers  
..... (Agency or State) ..... (name of personnel and their role)

## 17 INVITATION TO FOREIGN OBSERVERS

*Note: Agency or States may consider inviting observers from other agencies or foreign countries or international organizations to attend and observe the SAREX. These personnel can provide valuable feedbacks for improvement to the system. Arrangement to be made as to which State will do the invitation and who should be invited to attend.*

17.1 Invitation to foreign observers to observe the SAREX at ..... (state the venue for the observation of the SAREX) will be provided ..... (State that is providing the invitation) on behalf of ..... (the other State).

17.2 The following countries and organizations will be invited to attend:

- a) ..... (name of country or organization)
- b) ..... (name of country or organization)
- c) ..... (name of country or organization)
- d) ..... (name of country or organization)

## 18 PRESS COVERAGE

*Note: If there provision for any press coverage for the SAREX, made the arrangement for drafting of press release.*

18.1 If there is a requirement for a [joint] press release on the SAREX to be issued, .....(Agency or State that will produce the draft) will draft the press release and forward to ..... (the other participating agencies or State) for concurrence.

## 19 SAREX REPORT

*Note: SAREX Report is important as it serve as a permanent record of the exercise. Each element of the exercise is recorded and lesson learnt during the exercise is captured. Make arrangement on who should produce the SAREX Report for dissemination to all participating agencies as well as others who may be interested.*

19.1 ..... (Agency or State) will produce the SAREX Report with assistance from ..... (the other participating agencies or State). Photographs will be made available for the SAREX Report.

19.2 A copy of the report will be sent to each of the following countries and International Organizations.

- a) ..... (agency or country or International Organization)
- b) ..... (agency or country or International Organization)

## 20 VENUE FOR THE NEXT SAREX

*Note: It will be good to plan for an annual [joint] SAREX with relevant agencies or neighbouring State or States. State the tentative date and venue if possible for the next SAREX coordination meeting and SAREX.*

20.1 The next SAREX Coordination Meeting will be held at ..... (venue) on ..... (date/month/year).

20.2 The next Full Scale SAREX will be held on ..... (date/month/year).

## **APPENDIX 2: BENEFITS TO THE SAR SYSTEM OF STATES ASSISTING OTHER STATES**

### APAC States Face Demanding SAR Responsibilities with Few Resources

2.1 Many APAC States have the challenging responsibility of providing SAR services over vast and remote land and oceanic areas and several have few resources available to meet Annex 12 requirements.

### Taking A Regional Approach Improves Effectiveness and Efficiency

2.2 To provide an effective and efficient SAR service in the region it is important that States focus not only on meeting their own national obligations, but also take the broader view that their State SAR system is only one part of the wider regional SAR system. States therefore need to cooperate, collaborate and share resources and technical expertise with their neighbouring and regional RCCs, with the more developed SAR States in particular looking for opportunities to assist their lesser developed State neighbours.

### When Developed SAR States Support Less Developed Neighbours, Everyone Wins

2.3 Sometimes simple measures can reduce the incidence of SAR operations in a State's Area of Responsibility.

2.4 An example of this is where New Zealand has been regularly requested to send resources to Kiribati, which is not in New Zealand's SRR, to conduct aerial searches for people missing in small vessels at sea. New Zealand recognised that with the provision of basic aids, the number of people going missing at sea could be reduced. The work was completed through an aid program and the benefit was immediate and twofold. There has been a large reduction in the number of people going missing at sea and New Zealand has reduced costs through less aerial searches being required.

2.5 Another example is where Australia has recognised that increasing aircraft and vessel traffic in the north and western areas of its SRR in the Indian Ocean region comes with increased likelihood of more frequent SAR responses in that region. As a result, Australia has commenced a new project in partnership with the Maldives, Mauritius and Sri Lanka to fund and provide technical assistance to improve the SAR capabilities of those countries that will also assist Australia's SAR response obligations in that area of its SRR. Similarly, since 2008 Australia has been providing funding and development assistance to Indonesia to improve SAR capability and cooperation.

2.6 States who aren't compliant with Annex 12 SARP's and who are unable to meet the minimum SAR service requirements could consult and seek assistance from 'champion' States who are compliant and have well developed SAR systems in place.

2.7 Examples of assistance that could be provided by States, International Organisations (such as IMO/ICAO) or multi-lateral initiatives include:

- a) conduct of a SAR Gap Analysis;
- b) advice on the establishment of a SAR organisational framework;
- c) advice for the establishment of a National SAR Committee;
- d) technical assistance in the development of a National SAR Plan;
- e) providing copies of relevant SAR documents to be used as templates;
- f) technical assistance on the establishment of SAR agreements;
- g) technical assistance in the development of RCC position descriptions;
- h) training of SAR personnel;

- i) provision of SRU where appropriate and training of SRU crews;
- j) provision/sharing of computerised SAR tools including incident management systems, databases, maritime drift modelling software, etc.;
- k) establishing data and information sharing agreements between RCCs;
- l) the provision of operational search plan data;
- m) provide advice on how to conduct a SAREX and post-SAREX analysis; and
- n) set up of SAR system publicity and safety awareness campaigns.

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International Civil Aviation  
Organization

WORKING PAPER

ICAO/IMO JWG-SAR/22-WP.28  
14 August 2015  
ENGLISH ONLY

Agenda item 7



**ICAO/IMO JOINT WORKING GROUP  
ON HARMONIZATION OF AERONAUTICAL  
AND MARITIME SEARCH AND RESCUE (ICAO/IMO JWG-SAR)**

**TWENTY-SECOND MEETING**

**Royal Canadian Air Force Base, Trenton, Canada, 14 to 18 September 2015**

**SAR COMMUNICATIONS**

**SPOC Communication Matters**

**(Presented by COSPAS-SARSAT)**

**SUMMARY**

***Executive  
summary:***

This document summarized International COSPAS-SARSAT Programme Search and Rescue Point of Contact (SPOC) communication matters as at 14 August 2015.

***Action to be taken:***

Paragraph 11.

**SPOC COMMUNICATION TESTS**

1 In 2008, COSPAS-SARSAT started regular testing of MCC communications with Search and Rescue Point of Contacts (SPOCs). COMSAR 13 requested COSPAS-SARSAT to report on these MCC/SPOC communication tests. The following information is a summary of results for the period 2011 to August 2015. For that period, 22 of 31 operational MCCs reported results of MCC/SPOC communication tests (some MCCs do not support SPOCs outside of their country and therefore are not required to conduct these tests). A total of 16,667 unique tests have been conducted to date (1281 tests by August 2015, 2174 in 2014, 2832 in 2013, 2706 in 2012).

	Percent (2011)	Percent (2012)	Percent (2013)	Number (2014)	Percent (2014)	Number (2015)	Percent (2015)
Number of SPOCs tested by MCCs	73.3%	73.3%	73.3%	172/236	72.9%	172/236	72.9%
Non-responsive SPOCs (no acknowledgements)	10.0%	10.1%	8.7%	19	11.0%	22	12.8%
SPOCs with less than 20% successful tests	6.8%	4.7%	6.2%	6	3.5%	4	2.3%
SPOCs with successful tests between 20% and 50%	7.5%	9.5%	8.1%	14	8.1%	8	4.7%
<b>% insufficiently responsive</b>	<b>24.3%</b>	<b>24.3%</b>	<b>23%</b>		<b>22.6%</b>		<b>19.8%</b>

**Table 4: SPOC Communication Test Results (2011 - August 2015)**

2 For the purpose of these statistics, a success means that the requested positive feedback (not an automatic acknowledgement) was received from the SPOC. Non-responsive SPOCs were those SPOCs which did not provide any response. When available, several communication links (e.g., AFTN, Fax, Phone, E-mail, FTP, Telex, X.25\*) were tested each month. In many cases, each available link was tested separately and counted as a unique test. The list of non-responsive SPOCs for 2015 is provided in Table 5 below.

(Note: X.25 communications links were phased out by 2014)

<b>Non-Responsive SPOCs</b> (No response to tests)	<b>Rarely Responsive SPOCs</b> (Less than 20% successful tests)	<b>SPOCs with Low Success Ratio</b> (Between 20 and 50% successful tests)
Benin (A) Botswana (M) Cape Verde (A) Central African Republic (A) Chad (A?) Congo (Republic of the) (A) Djibouti (A) Equatorial Guinea (A) Gabonese Republic (?) Ghana (A) Guinea (Rep of) (A) Guinea-Bissau (A) Lesotho (M) Liberia (A) Malawi (A) Mali (A)	Cameroon (A?) Côte d'Ivoire (A) Gambia (A) Mauritania (?)	Angola (A) Bolivia (A) Burundi (M) Eritrea (A) Ethiopia (A) Hungary (A) Togolese Rep. (A?) Zambia (A)

<b>Non-Responsive SPOCs</b> (No response to tests)	<b>Rarely Responsive SPOCs</b> (Less than 20% successful tests)	<b>SPOCs with Low Success Ratio</b> (Between 20 and 50% successful tests)
Rwanda (A) Sao Tome and Principe (A?) Senegal (?) Sierra Leone (A) Suriname (A) Tajikistan (A?)		

Note: (A) indicates aviation SPOC, (M) indicates maritime SPOC, (?) indicates uncertainty

**Table 5: 2015 List of Non-Responsive SPOCs**

3 Available results show that some improvements have been noted in the number of SPOCs that are insufficiently responsive or non-responsive to communication tests. Currently about 20% of SPOCs are insufficiently response, compared to 25% in previous years. Some MCCs have reported that the testing has allowed them to remain in better contact with SPOCs, which might only rarely receive an actual distress alert. The number and distribution of SPOCs that rarely respond, however, has remained constant at about 10-12%. The majority of less responsive SPOCs are found in the African region.

4 The draft report of the NCSR 1 meeting indicated that the group noted the concern of the ICAO/IMO Joint Working Group (JWG) (NCSR 1/19, section 7.2.2) that poor results from testing the communication with SAR Points of Contact might also indicate unreliability of the SAR services in the relevant areas. The group noted further that COSPAS-SARSAT was inviting administrations to share copies of any SPOC agreements that might be in place, with a view towards developing a "model" Memorandum of Agreement between MCCs and supported SPOCs to, among other things, assist in improving communications between MCCs and SPOCs.

5 In response, Vietnam submitted a Memorandum of Understanding between the Government of the Socialist Republic of Vietnam and the Government of the Kingdom of Cambodia for the cooperation in receiving, controlling and distributing COSPAS-SARSAT alert data, signed on 5 May 2009 to the COSPAS-SARSAT Council. COSPAS-SARSAT also directly received sample MCC/SPOC agreements from India (with Nepal), Chile (with Paraguay, in Spanish), Norway (with Sweden), and South Africa (not yet signed but intended for use with the 14 SPOCs currently in South Africa's service area). Additionally, Australia, France, Italy, Spain and the USA confirmed that they have no MCC/SPOC agreements in place; however, some do have SAR MOUs with some of their SPOCs.

6 Annex 12 of the Chicago Convention requires that all States designate a search and rescue point of contact. The COSPAS-SARSAT and ICAO Secretariats jointly developed a draft model agreement for use by MCCs and their SPOCs, based on existing agreements provided by MCC operators. The JWG is invited to review and comment on this draft agreement, provided at Attachment 2, with a view to including the model agreement in the IAMSAR manual and in guidance material published by COSPAS-SARSAT. The COSPAS-SARSAT Joint Committee will meet 21-30 September 2015 and will also consider the model agreement.

7 In recent years there has been a trend for States to identify a separate point of contact for aviation, maritime and/or PLB alerts. Given the difficulty in maintaining an accurate and up-to-date list of SPOC contact information, the JWG is requested to consider whether a recommendation should be provided to ICAO and IMO that request States to identify to COSPAS-SARSAT a single point of contact for receiving COSPAS-SARSAT alert and location data for distress locations in their SAR area of responsibility.

### **ICAO HIGH LEVEL SAFETY CONFERENCE**

8 The ICAO Second High-level Safety Conference (HLSC, 2-5 February 2015, ICAO HQ, Montreal) was attended by 710 delegates from 155 delegations. The list of participants is at: [http://www.icao.int/Meetings/HLSC2015/Documents/List\\_Delegates/HLSC2015\\_List%20of%20Delegates\\_No4.pdf](http://www.icao.int/Meetings/HLSC2015/Documents/List_Delegates/HLSC2015_List%20of%20Delegates_No4.pdf). This meeting was very well attended and included a large presence from the press. Topics were discussed at a very high level for the benefit of the press and victims' rights groups in attendance.

9 Of interest from the COSPAS-SARSAT perspective was a document from Sudan (HLSC/15-WP/53) encouraging ICAO to assist in development of regional SAR efforts and agreements. Sudan summarized their document as follows: "Notwithstanding the Convention on International Civil Aviation and Annex requirements and recommendations encouraging States to cooperate in search and rescue activities and to enter into agreements to facilitate search and rescue between neighbouring States and regions, many Contracting States were unable to effectively implement or undertake such a cooperative approach for several reasons. This paper proposes that ICAO play a leading role in the establishment of regional search and rescue organizations that would present an effective and efficient solution to resolve problems and obstacles." Sudan further invited the conference to:

- assess the benefits of establishing regional search and rescue organizations;
- recommend that ICAO actively support the establishment of such organizations; and
- encourage Contracting States to actively participate in regional search and rescue organizations to overcome the obstacles and problems that currently exist in this area.

10 The resulting recommendation, following strong support expressed by many conference attendees (Libya, Spain, South Africa, UAE, Saudi Arabia, Uganda, Mauritania, and Egypt), was: "The conference noted the challenges and suggestions to improve search and rescue activities through regional SAR organizations. The conference agreed that regional SAR training exercises related to abnormal flight behaviour can serve as a means to maintain proficiency on seldom-used emergency procedures and also provide feedback to further develop the GADSS\* in the future. This is particularly the case when cooperation amongst several stakeholders is essential." If undertaken, this effort could assist in the matter of non-responsive SPOCs, the majority of which, as noted above are located in the African region.

\*Global Aeronautical Distress and Safety System (GADSS)

### **ACTION REQUESTED OF JWG**

11 The ICAO/IMO JWG - SAR is invited to note the information provided on the matter of SPOC communication issues with the COSPAS-SARSAT Programme and take action, as appropriate, particularly with respect to:

- .1 supporting the ICAO efforts to conduct regional SAR training exercises, to assist in the matter of non-responsive SPOCs;
- .2 reviewing and commenting on the draft model agreement for use by MCCs and their SPOCs, with a view to recommending to ICAO and IMO that this model agreement be included in a future issue of the IAMSAR manual; and
- .3 consider whether a recommendation should be provided to ICAO and IMO that States should identify to COSPAS-SARSAT a single point of contact for receiving COSPAS-SARSAT alert and location data for distress locations in their SAR area of responsibility.

\*\*\*



Attachment 1

**DRAFT  
MCC/SPOC Model Agreement**

**[Agreement]  
between**

**[ name] Mission Control Centre**

**and**

**[State name] SAR Point of Contact**

**for the Distribution and Reception of COSPAS-SARSAT Distress Alert Data for Search  
and Rescue**

**DEFINITIONS**

“**Agreement**” means this Agreement;

“**Ground Segment Provider**” means any State which establishes and operates the ground segment equipment and avails itself to the System, under the terms of the International COSPAS-SARSAT Programme Agreement (ICSPA) and in the context of this [agreement], [State];

“**Local User Terminal (LUT)**” means a computer hardware system installed to receive signals relayed by the satellites and processes them to determine radio beacon location;

“**Mission Control Centre (MCC)**” means a computer system established to accept the output from the Local User Terminal and convey distress alert and location data to appropriate authorities and in the context of this MOU, the [name] SPOC;

“**Radio beacons**” means distress alert instruments designed to be activated in a distress and to transmit a radio signal at 406 MHz, the characteristics of which comply with appropriate provisions of the International Telecommunication Union and COSPAS-SARSAT specifications;

“**Search and Rescue Point of Contact (SPOC)**” means Rescue Co-ordination Centres and other established and recognized national points of contact which can accept responsibility to receive COSPAS-SARSAT alert data to enable the rescue of persons in distress;

“**Service Area**” means that part of the world within which a COSPAS-SARSAT alert data distribution service is provided by an MCC, in accordance with document C/S P.011 “COSPAS-SARSAT Programme Management Policy”; an MCC Service Area is defined by the list of SPOCs to which that MCC distributes COSPAS-SARSAT alert data;

“**System**” means the COSPAS-SARSAT System comprising a Space Segment, Ground Segment and radio beacons operating at 406 MHz.

## 1. PURPOSE

- a. The purpose of this Agreement between the [MCC] and [SPOC] is to formalize the exchange of space based distress alerts received through the satellite system of the International COSPAS-SARSAT Programme. This is to ensure that institutional arrangements between the two entities at the operational level are effective.
- b. This Agreement aims to ensure that rapid and reliable two-way communication is established between the two centres servicing the [name] Search and Rescue Region (SRR) for prompt provision of Search and Rescue Services to persons in distress in aviation, maritime and land incidents.

## 2. INTRODUCTION

- a. Knowing the importance of co-operation in search and rescue (SAR), and of the provision of expeditious and effective SAR services;
- b. Desiring to support the provisions of the Convention on International Civil Aviation of the International Civil Aviation Organisation (ICAO) and the International Convention on Maritime Search and Rescue of the International Maritime Organisation (IMO);
- c. Noting the Standards and Recommended Practices in Annex 12 to the Convention on International Civil Aviation of ICAO and the provisions of the International Convention for the Safety of Life at Sea (SOLAS);
- d. Supporting the principles of the COSPAS-SARSAT Programme as determined by the COSPAS-SARSAT Council;
- e. The [MCC] and [SPOC] have agreed as follows:

## 3. OBJECTIVES

[Administration of MCC], as signatory to the International COSPAS-SARSAT Programme Agreement, shall pursue the following objectives:

- a. Provide distress alert and location data from the System to the international community in support of SAR operations on a non-discriminatory basis;
- b. Support, by providing these distress alert and location data, the objectives of IMO and ICAO concerning search and rescue;
- c. Cooperate with other national authorities and relevant international organizations in the operation and co-ordination of the System;

- d. Provide and confirm distress alert and location data from the COSPAS-SARSAT System from the [name] MCC to the [SPOC]; and
- e. Provide information concerning the System status to [SPOC].

The [SPOC] shall at all times endeavour to support the [MCC] in its efforts to fulfil its objectives and commitments under the ICSPA in accordance with the provisions of this [Agreement].

The MCC and SPOC shall establish reliable communication links (AFTN, fax, email) and operational procedures, which include backup routines.

In the spirit of close cooperation, the MCC and SPOC shall consult from time to time with a view to ensuring the full implementation of the provisions of this [Agreement] and necessary amendments as appropriate.

#### **4. PROCEDURES**

- a. The [name] Mission Control Centre ([.]MCC) established in [location], [State], providing services under the ICSPA shall communicate distress alerts located in the SRR of the SPOC, or for beacons which contain the country code of the SPOC to [SPOC], [State] for undertaking search and rescue services, assisted as required by RCCs within the State of the SPOC.
- b. MCC and SPOC agree that the distribution of alert data by [name] MCC is undertaken on a best effort basis and that [name] MCC cannot guarantee continuous system availability.
- c. [State] shall designate a single SAR point of contact (SPOC), where possible, for receiving COSPAS-SARSAT alert and location data for distress locations in their SAR area of responsibility and provide the address, telephone, telex or facsimile number or AFTN address of their SPOC to [MCC] and the COSPAS-SARSAT Secretariat (Attachment 1).
- d. [SPOC] will immediately notify [MCC] of any changes to the provided contact details in (Attachment 1).
- e. [SPOC] shall develop a comprehensive plan for the distribution of distress alert and location data to SAR authorities within its SRR, as appropriate.
- f. The [SPOC] shall endeavour to minimize false alerts in their country.
- g. The [SPOC] shall provide information on their national point of contact for beacon registers to the COSPAS-SARSAT Secretariat and the [MCC].
- h. The [SPOC] shall maintain reliable communication links with MCC and respond to monthly communication tests from the [name] MCC immediately after receipt thereof (not using an automatically generated response) to verify the integrity of communications links between the MCC and SPOC.
- i. [SPOC] shall communicate routine reports, such as alert summaries and monthly operations reports on SAR incidents that were assisted by Emergency Locator Transmitters (ELTs), Emergency Position-indicating Radio Beacons (EPIRBs) or

Personnel Locator Beacons (PLBs) to [MCC] on a regular basis, with special reports as and when required.

## 5. DEPOSITARY

The Depositary of this Agreement and any subsequent amendments thereto shall be the Secretariat of the International COSPAS-SARSAT Programme.

The MCC and SPOC will also provide a signed copy of this Agreement to the ICAO Regional Office concerned with the [name] SRR and the IMO Secretariat, if desired by them.

## 6. ENTRY INTO FORCE, AMENDMENT, RENEWAL AND TERMINATION

This [Agreement] will enter into effect when it has been signed on behalf of all parties. The [Agreement] shall remain in force for a period of **two** years from the date on which it enters into force and shall be extended automatically for successive periods of **two** years.

- a. This [Agreement] is signed on Day \_\_\_\_ of \_\_\_\_\_ 20xx, between [MCC] and [SPOC].
- b. The [Agreement] will be reviewed as required and may be modified or amended by mutual agreement of both parties in writing.
- c. Both parties, in the event of initiating action to terminate the [Agreement] shall give the other party a minimum of 120 days prior notice in writing.

(I) **SIGNATURE**

\_\_\_\_\_

**AUTHORIZED REPRESENTATIVE**

**[MCC]**

\_\_\_\_\_

(II) **SIGNATURE**

\_\_\_\_\_

**AUTHORIZED REPRESENTATIVE**

**[SPOC]**

\_\_\_\_\_

**Attachment 1: CONTACT DETAILS**

[MCC]

**Phone:**

**Fax:**

**Email:**

**AFTN:**

**Other:**

[SPOC]

**Phone:**

**Fax:**

**Email:**

**AFTN:**

**Other:**

[Other]

**Phone:**

**Fax:**

**Email:**

**AFTN:**

**Other:**

**[Add further contacts as required]**

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