

PROCEDURES FOR CLASSIFYING AND ADDRESSING “U” DEFICIENCIES IN THE AIR NAVIGATION FIELD

1 Introduction

1.1 The procedures described below establish the steps to be followed by States and the ICAO NACC/SAM Regional Offices for resolving “U” deficiencies in the air navigation field. These procedures, developed in compliance with GREPECAS Decision 14/60, contribute to the application of a Uniform Methodology for the identification, assessment and reporting of deficiencies, as approved by ICAO Council, and are included as **Appendix A**.

1.2 These procedures shall provide Regional Offices and States with a method to re-classify current deficiencies, update procedures for capturing data and reports, and improve the use of the web application associated with the GANDD database.

1.3 These procedures shall also facilitate the *review of deficiencies* with “U” priority with a view to implement GREPECAS Conclusion 13/92 in the application of last resort action.

2 Common Criteria for its Classification and Storage in the GANDD

2.1 Two main parts are identified in the integral treatment of deficiencies as shown below:

1. ICAO NACC and SAM Regional Offices through:
 - a) specific fields (AGA, ATM, AIM, CNS, MET, SAR);
 - b) administration of the database (GANDD) by the ICT section of each Regional Office; and
2. States that coordinate with the Regional Offices through Focal Points in accordance with GREPECAS Conclusion 14/59.

2.2 The identification and reporting process of deficiencies is as prescribed in the Uniform Methodology.

2.3 The process of deficiency classification requires an assessment for priority assignment. For this reason, the deficiency must be duly identified and reported. In this regard, the information from columns 1 to 6 from **Appendix B**, which is the report extracted from the GANDD, must be available in order for the GREPECAS mechanism to revise the status of “U” “A” and “B” deficiencies.

2.3.1 In accordance with the guidance provided in paragraph 4 of the Uniform Methodology, the Regional Office, in coordination with the State Focal Point, shall determine the Priority of the Requirement, which determines the priority of the deficiency. In order to determine whether or not a “U” deficiency exists, a risk analysis will be necessary. **Appendix C** provides criteria for use in this respect.

*Important Note: Every deficiency may represent a potential **hazard** to air navigation, which is associated to a specific **risk**. There are several methods of risk analysis, each of them specific to the case in question. In the ICAO Safety Management System (SMS) training courses, a risk analysis method is presented that is applicable to cases affecting safety and determines whether the risk is intolerable or tolerable, and whether it may be mitigated. Based on this, a concept is available to mainly provide assistance with prioritizing the requirements that could result in “U” deficiencies, since the case of SMS methodology is oriented to risks affecting safety.*

2.4 Once the deficiency is classified, coordination with the Focal Point will take place regarding the information required in columns 8, 9, 10, and 11 from Appendix B, and will then be entered into the GANDD database, notifying the State through the Focal Point.

Important note: If some fields of Appendix B are not completed, for example, fields in the Action Plan, the deficiency will be entered into the GANDD and a notation will be made in the Remarks field.

3 **Reports to be Presented to the GREPECAS Mechanism**

3.1 In accordance with the Uniform Methodology, the GREPECAS mechanism shall receive information on deficiencies from the Regional Offices, found in the attached **Appendix B**. Based on this information, the mechanism shall proceed with the Uniform Methodology procedures. In addition, the GANDD can provide statistical reports that the mechanism could require for analysis.

4 **Responsibilities in the Treatment of Deficiencies and Maintenance of GANDD**

4.1 Considering that the GANDD is a tool to manage the treatment of deficiencies, the procedures outlined below are applicable while the deficiency is registered and stored in the database.

Responsibility of the Regional Offices

- a) Review and, if necessary, reclassify existing deficiencies based on established procedures.
- b) Coordinate the validation, revision, and/or updating of data for deficiencies with Focal Points, and update the information in the GANDD, advising the Focal Points of changes.
- c) Review periodic reports from Focal Points on the status of resolution implementation for the deficiencies. Any missing data from the Action Plan shall have a high priority during the review.

- d) Review deficiencies with the Focal Point during visits carried out by Regional Officers according to the mission programme established by the corresponding Regional Office.
- e) Present the list of deficiencies for revision at each meeting of GREPECAS Subgroups and/or Committees or other informal meetings, such as implementation meetings.
- f) Present information and reports to the ASB and to GREPECAS regarding the status of deficiencies.

Responsibilities of States/Focal Points

- a) Review, at least quarterly, the deficiencies and their respective Action Plans, and give special attention to missing information from the Action Plan.
- b) Respond to all requests from the Regional Offices that may necessitate the revision/updating of the list of deficiencies without delay.
- c) Request the corresponding Regional Office to update the status of deficiencies through the web application form (see details in paragraph 6).
- d) Once the deficiency is corrected, inform the corresponding Regional Office of the area involved without delay.

5 Deficiency Resolution Follow-up

5.1 Regional Offices and Focal Points shall closely follow-up on the Action Plan to resolve deficiencies, and the GANDD database will be updated accordingly. The deficiencies with missing data, for example, those referred to the Action Plan, will have priority in the follow-up.

6 Procedures to Manage the GANDD Database, Based on the Existing Web Application

6.1 In October 2004, the procedures for access and use of the GANDD database were circulated to States so that States could report, review and update their corresponding deficiencies. In accordance with GREPECAS Decision 14/60, the Regional Offices have completely revised the procedures and structure of the GANDD in order to increase the efficiency of this tool. Updated procedures for Focal Points to interact with the database to revise and report amendments are attached as **Appendix D**. A presentation in power-point has been uploaded on the websites of each Regional Office for training purposes.

7 **Complementary Measures**

7.1 This document will be updated by the ICAO Regional Offices. Amendments shall be distributed to States via e-mail through the Focal Points.
