

UNIFORM METHODOLOGY FOR THE IDENTIFICATION, ASSESSMENT AND REPORTING OF AIR NAVIGATION DEFICIENCIES

(Approved by the Council on 30 November 2001)

1. INTRODUCTION

1.1 Based on the information resulting from the assessment carried out by ICAO on the input received from various regions regarding deficiencies in the air navigation field, it became evident that improvements were necessary in the following areas:

- a) collection of information;
- b) safety assessment of reported problems;
- c) identification of suitable corrective actions (technical / operational / financial / organizational), both short-term and long-term; and
- d) method of reporting in the reports of ICAO planning and implementation regional groups (PIRGs).

1.2 This methodology is therefore prepared with the assistance of ICAO PIRGs and is approved by the ICAO Council for the efficient identification, assessment and clear reporting of air navigation deficiencies. It may be further updated by the Air Navigation Commission in the light of the experience gained in its utilization.

1.3 For the purpose of this methodology, the definition of deficiency is as follows:

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

2. COLLECTION OF INFORMATION

2.1 Regional office sources

2.1.1 As a routine function, the regional offices should maintain a list of specific deficiencies, if any, in their regions. To ensure that this list is as clear and as complete as possible, it is understood that the regional offices take the following steps:

- a) compare the status of implementation of the air navigation facilities and services with the regional air navigation plan documents and identify facilities, services and procedures not implemented;
- b) review mission reports with a view to detecting deficiencies that affect safety, regularity and efficiency of international civil aviation;

- c) make a systematic analysis of the differences with ICAO Standards and Recommended Practices filed by States to determine the reason for their existence and their impact, if any, on safety, regularity and efficiency of international civil aviation;
- d) review aircraft accident and incident reports with a view to detect possible systems or procedures deficiencies;
- e) review inputs, provided to the regional office by the users of air navigation services on the basis of Assembly Resolution A33-14, Appendix M;
- f) assess and prioritize the result of a) to e) according to paragraph 4;
- g) report the outcome to the State(s) concerned for resolution; and
- h) report the result of g) above to the related PIRG for further examination, advice and report to the ICAO Council, as appropriate through PIRG reports.

2.2 **States' sources**

2.2.1 To collect information from all sources, States should, in addition to complying with the Assembly Resolution A31-10, establish reporting systems in accordance with the requirements in Annex 13, paragraph 7.3. These reporting systems should be non-punitive in order to capture the maximum number of deficiencies.

2.3 **Users' sources**

2.3.1 Appropriate international organizations, including the International Air Transport Association (IATA) and the International Federation of Air Line Pilots' Associations (IFALPA), are valuable sources of information on deficiencies, especially those that are safety related. In their capacity as users of air navigation facilities they should identify facilities, services and procedures that are not implemented or are unserviceable for prolonged periods or are not fully operational. In this context it should be noted that Assembly Resolution A33-14, Appendix M and several decisions of the Council obligate users of air navigation facilities and services to report any serious problems encountered due to the lack of implementation of air navigation facilities or services required by regional plans. It is emphasized that this procedure, together with the terms of reference of the PIRGs should form a solid basis for the identification, reporting and assisting in the resolution of non-implementation matters.

3. REPORTING OF INFORMATION ON DEFICIENCIES

3.1 In order to enable the ICAO PIRGs to make detailed assessments of deficiencies, States and appropriate international organizations including IATA and IFALPA, are expected to provide the information they have to the ICAO regional office for action as appropriate, including action at PIRG meetings.

3.2 The information should at least include: description of the deficiency, risk assessment, possible solution, time-lines, responsible party, agreed action to be taken and action already taken.

3.3 The agenda of each PIRG meeting should include an item on air navigation deficiencies, including information reported by States, IATA and IFALPA in addition to those identified by the regional office according to paragraph 2.1 above. Review of the deficiencies should be a top priority for each meeting. The PIRGs, in reviewing lists of deficiencies, should make an assessment of the safety impact for subsequent review by the ICAO Air Navigation Commission.

3.4 In line with the above, and keeping in mind the need to eventually make use of this information in the planning and implementation process, it is necessary that once a deficiency has been identified and validated, the following fields of information should be provided in the reports on deficiencies in the air navigation systems. These fields are as follows and are set out in the reporting form attached hereto.

a) Identification of the requirements

As per ICAO procedures, Regional Air Navigation Plans detail inter alia air navigation requirements including facilities, services and procedures required to support international civil aviation operations in a given region. Therefore, deficiencies would relate to a requirement identified in the regional air navigation plan documents. As a first item in the deficiency list, the requirements along with the name of the meeting and the related recommendation number should be included. In addition, the name of the State or States involved and/or the name of the facilities such as name of airport, FIR, ACC, TWR, etc. should be included.

b) Identification of the deficiency

This item identifies the deficiency and would be composed of the following elements:

- i) a brief description of the deficiency;
- ii) date deficiency was first reported; and
- iii) appropriate important references (meetings, reports, missions, etc).

c) Identification of the corrective actions

In the identification of the corrective actions, this item would be composed of:

- i) a brief description of the corrective actions to be undertaken;
- ii) identification of the executing body;
- iii) expected completion date of the corrective action¹; and
- iv) when appropriate or available, an indication of the cost involved.

4. ASSESSMENT AND PRIORITIZATION

4.1 A general guideline would be to have three levels of priority organized on the basis of safety, regularity and efficiency assessment as follows:

“U” priority = Urgent requirements having a direct impact on safety and requiring immediate corrective actions.

Urgent requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is urgently required for air navigation safety.

“A” priority = Top priority requirements necessary for air navigation safety.

Top priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation safety.

“B” priority = Intermediate requirements necessary for air navigation regularity and efficiency.

Intermediate priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation regularity and efficiency.

¹ It should be noted that a longer implementation period could be assigned in those cases in which the expansion or development of a facility was aimed at serving less frequent operations or entailed excessive expenditures.

5. MODEL REPORTING TABLE FOR USE IN THE REPORTS OF PIRGS

5.1 Taking the foregoing into account, the model table at the Appendix is for use by PIRGs for the identification, assessment, prioritization etc. of deficiencies. It might be preferred that a different table would be produced for each of the different topics i.e. AGA, ATM, SAR, CNS, AIS/MAP, MET. However, all tables should be uniform.

6. ACTION BY THE REGIONAL OFFICES

6.1 Before each PIRG meeting, the regional office concerned will provide advance documentation concerning the latest status of deficiencies.

6.2 It is noted that the regional offices should document serious cases of deficiencies to the Air Navigation Commission (through ICAO Headquarters) as a matter of priority, rather than waiting to report the matter to the next PIRG meeting, and that the Air Navigation Commission will report to the Council.

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REPORTING FORM ON AIR NAVIGATION DEFICIENCIES IN THE FIELD IN THE REGION

Identification		Deficiencies			Corrective action			
Requirements	States/facilities	Description	Date first reported	Remarks	Description	Executing body	Date of completion	Priority for action*
Requirement of Part..., paragraph (table).. of the air navigation plan	Terra X Terra Y	Speech circuits not implemented Villa X - Villa Y	12 Dec. 2..X	Coordination meeting between Terra X and Terra Y on 16 July 2..X to finalize arrangements to implementation circuit via satellite	Implementation of direct speech circuit via satellite	Terra X	20 Aug. 2..X	A

* Priority for action to remedy a deficiency is based on the following safety assessments:

“U” priority = Urgent requirements having a direct impact on safety and requiring immediate corrective actions.

Urgent requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is urgently required for air navigation safety.

“A” priority = Top priority requirements necessary for air navigation safety.

Top priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation safety.

“B” priority = Intermediate requirements necessary for air navigation regularity and efficiency.

Intermediate priority requirement consisting of any physical, configuration, material, performance, personnel or procedures specification, the application of which is considered necessary for air navigation regularity and efficiency

GREPECAS PROCEDURAL HANDBOOK – SECTION 6
DEFINITIONS, ACRONYMS AND TERMINOLOGY FOR THE MEETINGS
OF THE GREPECAS AND ITS CONTRIBUTORY BODIES

Section 6- 1

APPENDIX B DEFICIENCIES

Identification			Deficiencies				Action Plan			
ID	Requirements	State/ Facilities and Services	Description	Reporting Date	Remarks	Priority	Description	Executing Body	Target Date	Remarks
1	2	3	4	5	6	7	8	9	10	11
AGA 454S	Annex 14, Vol I, Chap. 3	Colombia/UEAC/ Bogotá, El Dorado Intl. Airport	Depression between threshold and threshold lights in both thresholds (13L/31R RWY)	10/2005	Identified during September 2005 ICAO mission	A	<i>Include Action Plan coordinated with State</i>	UEAC	<i>Include as initial date that appearing in the Action Plan</i>	ASB/xx meeting recommended that Refer to details in the meeting report.

Explanation for the filling of the Form

Identification of Requirements

Column 1: ID – Deficiency number (area-sequential numbering-region S(SAM)/C(CAR): Example AGA 454 S
 Column 2: Requirements – Element from the Air Navigation Plan/Associated SARPs
 Column 3: State/Facilities and Services such as: airport, navigation aid, FIR, ACC, TWR, etc

Identification of Deficiency

Column 4: Clear and concise description of the deficiency
 Column 5: Reporting date of deficiency (month/year)
 Column 6: Important references, such as meetings, missions, reports, etc. *Other areas being affected by this deficiency should be indicated here.*
 Column 7: Identified Priority (U, A, B)

Action Plan

Column 8: Clear and concise description of the Action Plan coordinated with the State. It should indicate how and when the deficiency will be resolved.
 Column 9: Identification of the body/institution responsible for Action Plan implementation.
 Column 10: Target date (month/year). The date in the Action Plan coordinated with the State will be inserted here. The Action Plan may need to be periodically updated; therefore, the corresponding target date will be amended accordingly.
 Column 11: Important references such as actions recommended by GREPECAS to promote Action Plan implementation, progress with deficiency elimination, delays with Action Plan execution missing information, etc.

APPENDIX C

EVALUATION TABLE AND PRIORITY ALLOCATION TO AIR NAVIGATION DEFICIENCIES

PRIORITY	DEFINITION	COMMON CRITERIA FOR THE CLASSIFICATION OF <i>PRIORITIES</i>
U	<p>Urgent priority requirements having direct impact on safety and requiring immediate corrective measures</p> <p>Urgent requirements are defined as any physical specification of configuration, material, performance, personnel, or procedures, whose application is urgently required for the safety of air navigation</p>	<ul style="list-style-type: none"> ▪ Evaluation and analysis of the risk; the deficiency is unacceptable ▪ Immediate action for resolution in the minimum elapsed time ▪ Lack of measures for resolution implies remittance to the ICAO Air Navigation Commission
A	<p>High priority requirements necessary for the safety of air navigation</p> <p>High priority requirements are defined as any physical specification of configuration, material, performance, personnel, or procedures, whose application is necessary for the safety of air navigation</p>	<ul style="list-style-type: none"> ▪ Evaluation and analysis of the risk; the deficiency can be mitigated to an acceptable level ▪ Establish an Action Plan with target dates for resolution ▪ Lack of measures for resolution implies remittance to GREPECAS
B	<p>Intermediate priority requirements necessary for the regularity and efficiency of air navigation</p> <p>Requirements of Intermediate priority are defined as any physical specification of configuration, material, performance, personnel, or procedures, whose application is considered necessary for the regularity and efficiency of air navigation</p>	<ul style="list-style-type: none"> ▪ Evaluation of the risk; the deficiency is at an acceptable level and only requires that measures be taken to improve the regularity and efficiency of air navigation ▪ Establish an Action Plan, as far as possible, with a cost/benefit analysis and target dates for resolution ▪ Lack of measures for resolution implies remittance to GREPECAS