

THIRD MEETING OF THE ALLPIRG/ADVISORY GROUP

(Montreal, 6 – 8 April 1999)

Agenda Item 5.1: Interregional coordination and harmonization mechanism – Uniform methodology for assessing shortcomings and deficiencies - Application and need for further refinement

(Presented by the Secretariat)

SUMMARY

In response to ALLPIRG/2 Conclusion 2/15, the ICAO Council approved a uniform methodology for the identification, assessment and reporting of air navigation shortcomings and deficiencies. This paper informs ALLPIRG of the status of implementation of that methodology.

1. INTRODUCTION

1.1 By its Conclusion 2/15, the second meeting of the ALLPIRG (Montreal, 16-18 February 1998) endorsed a methodology to be uniformly applied in all ICAO regions by States, PIRGs, ICAO regional offices and user organizations. Following a review by the ICAO Air Navigation Commission and further refinement, on 23 June 1998 the ICAO Council approved the methodology. A copy of the Council approved methodology is attached to this paper.

2. DISCUSSION

2.1 The uniform methodology approved by the Council has been brought to the attention of States and selected international organizations.

2.2 Furthermore, the ICAO PIRGs have been informed and their role as reflected in the methodology has been emphasized. The PIRGs have also decided to include the methodology in their Procedural Handbooks. Regularly the agenda of PIRG meetings contains an item on the review of air navigation shortcomings and deficiencies in the region concerned on the basis of the approved methodology.

2.3 An important aspect of the methodology is technical assessment of the reported shortcomings and deficiencies and its safety impact. In many cases this requires review and assessment by PIRG sub-groups concerned for in-depth examination.

2.4 The ICAO regional offices have always been actively involved in identifying air navigation shortcomings and deficiencies and discussing them with the States concerned for resolution. However, the newly approved uniform methodology better organizes this activity. The uniform methodology is a living document, in that if any modification is needed thereto as a result of experience or developments, an appropriate proposal should be made to the Council through the PIRG concerned.

3. **ACTION BY THE ALLPIRG**

3.1 The meeting is invited to:

- a) note the attached Council approved uniform methodology and progress of its application in ICAO regions; and
- b) advise if the methodology needs any further refinement.

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Subject: Council approval of the uniform methodology for the identification, assessment and reporting of air navigation shortcomings and deficiencies

Action required: 1) States to note the methodology, in particular paragraph 2.2 thereof related to States' sources; 2) selected international organizations to note the methodology, in particular paragraph 2.3 thereof related to users' sources

Sir/Madam,

1. I have the honour to inform you that the Council of ICAO, at the 19th meeting of its 154th Session on 23 June 1998, approved a uniform methodology for the identification, assessment and reporting of air navigation shortcomings and deficiencies. A copy of this methodology is attached to this letter for your utilization.

2. It should be noted that the identification, assessment and reporting of air navigation shortcomings and deficiencies is one of the important tasks of the ICAO planning and implementation regional groups (PIRGs). States and selected international organizations make a notable contribution to this task and, to achieve consistency in assessment and reporting, a uniform methodology is necessary.

Accept, Sir/Madam, the assurances of my highest consideration.

R.C. Costa Pereira
Secretary General

Attachment:

Uniform methodology for the identification, assessment and reporting of air navigation shortcomings and deficiencies

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

(Approved by the Council on 23 June 1998)

1. Introduction

1.1 Based on the information resulting from the assessment carried out by ICAO on the input received from various regions regarding shortcomings and 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 shortcomings and 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, a situation where a facility is not installed or a service is not provided in accordance with a regional air navigation plan is considered to be a shortcoming. A situation where an existing facility or service is partially unserviceable, incomplete or not operated in accordance with appropriate ICAO specifications and procedures is considered to be a deficiency. The net effect of either a shortcoming or a deficiency is a negative impact on safety, regularity and/or efficiency of international civil aviation.

2. Collection of information

Regional office sources

2.1 As a routine function, the regional offices are expected to maintain a list of specific shortcomings and 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 shortcomings and 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;

- 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 A31-5, 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.

States sources

2.2 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.

Users sources

2.3 Appropriate international organizations, including IATA and IFALPA are valuable sources of information on shortcomings and 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 A31-5, 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 shortcomings and deficiencies

3.1 In order to enable the ICAO PIRGs to make detailed assessments of shortcomings and 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 shortcoming and 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 shortcomings and 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 shortcomings and deficiencies should be a top priority for each meeting. The PIRGs, in reviewing lists of shortcomings and 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 shortcoming or deficiency has been identified and validated, the following fields of information should be provided in the reports on shortcomings and 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, shortcomings or deficiencies would relate to a requirement identified in the regional air navigation plan documents. As a first item in the shortcoming/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 shortcoming or deficiency

This item identifies the shortcoming or deficiency and would be composed of the following elements.

- i) a brief description of the shortcoming or deficiency;
- ii) date shortcoming or deficiency was first reported;
- iii) Status of implementation; ie, S = shortcoming
D = deficiency
- iv) 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 action*; and
- iv) when appropriate or available, an indication of the cost involved.

* 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.

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.

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 shortcomings and 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 shortcomings and deficiencies.

6.2 It is noted that the regional offices should document serious cases of shortcomings and 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.

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

Identification		Shortcomings and deficiencies				Corrective action			
Requirements	States/facilities	Description	Date first reported	Implementation status (S, D)*	Remarks	Description	Executing body	Date of complete	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	12/02/9X	S	Co-ordination meeting between Terra X and Terra Y on 16/07/9X to finalize arrangements to implementation circuit via satellite	Implementation of direct speech circuit via satellite	Terra X	August 199X	A

*S = shortcoming D = deficiency

** Priority for action to remedy the shortcoming 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.

