



ICAO

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North American, Central American and Caribbean Office

WORKING PAPER

ANI/WG/3 — WP/23
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Third NAM/CAR Air Navigation Implementation Working Group Meeting (ANI/WG/3)
Mexico City, Mexico, 4 to 6 April 2016

Agenda Item 4: Follow-up, Performance Evaluation and Monitoring of the NAM/CAR Regional Performance Based Air Navigation Implementation Plan (NAM/CAR RPBANIP) Targets

4.1 Progress Reports of the Task Forces and the ANI/WG

SINGLE EASTERN CARIBBEAN (E/CAR) AIM-QMS MEETING

(Presented by the Secretariat)

EXECUTIVE SUMMARY

The focus of this Working Paper is to present the results of the AIM-QMS Meeting held in St. Johns, Antigua and Barbuda from 14 to 18 March 2016, taking into account targets contained in the *Port-of-Spain Declaration* with specific emphasis on Quality Management. Some objectives were:

- Define the responsibilities and accountabilities with respect to AIM Quality Management System (QMS)
- Provide an overview of the requirements of a QMS
- Explain the importance of a QMS in the context of Aeronautical Information Management (AIM)
- Explain Quality Management principles and ISO 9001 Standard requirements
- Explain the procedure for handling non-conformities, corrective and preventive actions
- Explain the procedure for document and records control
- Review and agree on proposed amendments to the existing Letters of Agreements (LoAs) which will reflect the inclusion of QMS and other requirements. Agree on an Action Plan and Implementation Schedule for E/CAR States relating to QMS

Action:	Action Suggest in Section 6.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety• Air Navigation Capacity and Efficiency
<i>References:</i>	<ul style="list-style-type: none">• Annex 15 — <i>Aeronautical Information Services</i>• ICAO Doc 9839 - <i>Manual on the Quality Management System for Aeronautical Information Services</i>(Unedited version -Draft-)

1. Introduction

1.1 In accordance with the ICAO Annex 15 — *Aeronautical Information Services* requires that States introduce a quality system to implement quality management at each function stage performed by the aeronautical information service. Furthermore, it is recommended in Annex 15 that the quality system is in conformity with the International Organization for Standardization (ISO) 9000 series of quality assurance standards and that it is certified by an approved organization.

1.2 In this regard, the Meeting presented a project proposal on a single AIM QMS that could be used as the basis for a proposal to senior management to secure approval of the QMS implementation project in the E/CAR States. It can also be used as a framework for the development of the QMS in terms of defining scope, assessing the potential benefits, outlining the project, determining the roles and responsibilities of those States involved in the implementation of the QMS in E/CAR, and for specifying deliverables, target dates and the resources needed for each E/CAR States, taking into account the deployment and testing of the QMS phase and the final adjustment and audit for ISO certification phase.

1.3 Trinidad and Tobago presented the following Meeting structure to participants:

- Introduction
- Objective
- Scope
- Benefits
- Programme description
 - Planning/Design of the QMS
 - Deployment and testing of the QMS
 - Final adjustment and internal and external audit
- Project plan and Project team
- Resources
- Deliverables

2. Objective and Scope

2.1 This proposal outlines the project to implement a QMS within the AIM of E/CAR States. The objectives of the project are to comply with the ICAO provisions and agree with LoAs. The project described will implement a QMS for all AIM activities performed by all functional groups (NOTAM, FPL, PIB, IAIP, etc.) at all locations (Anguilla, Antigua and Barbuda, Barbados, Dominica, Grenada, Guadeloupe, Martinique, Montserrat, Nevis, St. Kitts and Nevis, St. Lucia, Sint Maarten, St. Vincent and the Grenadines, Trinidad and Tobago) that contribute to AIM-IAIP in E/CAR States.

2.2 Additionally, it was emphasized that the implementation and operation of quality measures in the form of a Single AIM-QMS for E/CAR States will bring improvements in quality, efficiency and reliability with subsequent enhancements to productivity, safety and AIM service levels. As the QMS develops, the procedures need to be issued/applied and the system must be implemented in such a manner that the processes can be tested and checked for correct functioning. Specific discrepancies will be dealt with by corrective action and follow-up action procedures.

2.3 The final phase also represents the on-going working QMS which will be certified and operated by Trinidad and Tobago for a period of time before the internal audit. This provides an opportunity for fine tuning of the QMS elements and the rest of the E/CAR States involved. The timescale for this adjustment phase may extend beyond the internal audit date programed at June 2016, in order to accommodate any corrective action issues that may arise from the internal audit.

3. Discussion

3.1 The following E/CAR States staff members (**Appendix A**) were proposed to form the implementation team. An assessment of the effort required of each staff member is included:

PROJECT IMPLEMENTATION TEAM (PoCs)				
State	Name	Role	Skills/department represented	Estimated effort required
		To be developed	To be developed	To be developed

3.2 Some deliverables were presented to the attendance for the project objective in order to establish a QMS that meets the requirements of the ISO 9001 standard. The following are considered to be essential elements of this process:

- Quality manual
- Documented procedures
- Quality records

3.3 The Meeting also was requested to review and comment on the following proposal for Minimum Requirements:

...“(State- AIS Unit) shall establish and maintain an effective QMS that covers the following:

- i. Designated QMS Point of Contact (PoC) and alternate. (Refer to para. 3.1 for ‘Roles, Responsibilities, Training and Competencies’)
- ii. Availability of adequate resources to ensure effective operation of the QMS
- iii. Adequately trained personnel with the requisite skills and competencies including general knowledge of quality management and the ISO 9001 Standard.

- iv. *A training program that ensures skills and competencies of all staff are maintained and improved, as necessary, including effective training record maintenance*
- v. *Established procedure for handling non-conformities and for carrying out corrective and preventive actions. Refer to ICAO Doc 9839 (Draft), ISO 9001:2008 and State QMS Procedure for Non-Conformity, Corrective and Preventive Actions (NCPA) for details.*
- vi. *Established procedure for controlling documents and records. PIARCO AIM Department shall be responsible for monitoring compliance with these minimum requirements. This shall be done primarily via:*
 - *Periodic Audits performed by PIARCO Quality Assurance (QA) Unit personnel*
 - *Bi-annual Status Reports submitted by States relating to the NCPA QMS Procedure. In addition, the following methods shall be used to supplement the following:*
 - *Telephone calls made periodically or after delivery of products and/or service;*
 - *Questionnaires and surveys; and*
 - *Teleconferences or focus groups*

3.4 Some suggestions and small modifications were commented on the draft version of the LoAs proposed.

4. Final Recommendations of the AIM QMS Workshop Participants for the Implementation of a Single AIM-QMS in the Eastern Caribbean States

4.1 The Meeting acknowledged that generally AIS/AIM in the Eastern Caribbean is still underrated, underappreciated but most of all under resourced. Implementation of QMS is challenging and labour intensive, in States where the functions of AIS are performed by Officers who also function as Air Traffic Controllers (ATC) and Meteorologists the task will be almost insurmountable.

5. Recommendations from the AIM-QMS Meeting:

1) Responsibility of the Directors General Civil Aviation (DGCA's)

Given that **all the Directors of the NACC Region** signed the *Port-of-Spain Declaration* for 100% implementation of phase one of the transition from AIS to AIM, **those Directors** that have not yet committed the resources necessary to achieve this goal should be reminded to do so by ICAO at the next NACC Directors Meeting scheduled for the Bahamas in May 2016. In cases where the scope of responsibility of the DGCA does not include the provision of Aeronautical Information Service, the DGCA is responsible for ensuring that the appropriate authority with this responsibility in each State or Territory provides the resources needed to meet the *Port-of-Spain Declaration* AIM target.

2) Responsibility of the Air Navigation Service Provider

Management Commitment to:

- Provide the resources needed – human, financial, materials, work space (not in the control tower)
- Seek separation of the functions of Air Traffic Control/Meteorology/Aeronautical Information
- Ensure that there are enough (more than one) trained AIS/AIM Officers appropriate to the level of activity in the State to meet the requirements of Aeronautical Information Management.

3) Training

ICAO coordinates with the Aviation Training Centers in the Region the development of training programmes in:

- Quality Management Systems, specifically covering the following:
 - ISO 9001 2015 Standard
 - The application of the standard to Aeronautical Information
 - Auditing quality systems
- Advance training in aeronautical information that focuses on the elements of phases two and three of the Transition from AIS to AIM

4) Familiarization in the PIARCO AIM QMS Unit

That the Trinidad and Tobago Civil Aviation Authority be requested to facilitate any request for familiarization in the QMS Unit.

5) That the appropriate authorities in each State or Territory sign the revised LoAs in accordance with the schedule set out in the AIM QMS Implementation plan developed by Trinidad and Tobago.**6. Suggested Actions**

6.1 The Meeting is invited to:

- a) take note of the development of the Single AIM-QMS for ECAR States;
- b) review the list of designated PoCs (Appendix A) for any change; and
- c) agree any other action as deemed appropriate by the Meeting.

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APPENDIX
LIST OF AIM POINT OF CONTACTS (PoCS) E/CAR STATES

Satate		Participants Name	Telephone Number	Email Address
1.	Anguilla	Ms. Roshima Roberts	264-497-2526	Roshima.Roberts@gov.ia
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