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12/06/02

INTERNATIONAL CIVIL AVIATION ORGANIZATION

Seventh Meeting of Civil Aviation Authorities of the SAM Region (RAAC/7)

(Salvador, Bahía, Brazil, 01 - 03 July 2002)

(Presented by the Secretariat)

Agenda Item 5: **Participation of States in regional activities**

b) Reduction/correction of deficiencies;

Summary

The purpose of this working paper is to present a list of deficiencies by State in each of the air navigation areas, which require that the Administrations take action for their elimination.

References:

- Uniform methodology for the identification, assessment and reporting of air navigation shortcomings and deficiencies according to the ICAO Council;
- Report of GREPECAS/9 (Rio de Janeiro, Brazil, 7-12 August 2000); and
- Report of GREPECAS/10 (Las Palmas, Spain, 23-27 October 2001).

1. Introduction

1.1 In keeping with its faculties and based on the uniform methodology for the identification, assessment and reporting of air navigation deficiencies developed by the ICAO Council and to which the improvements approved by the Council on 30 November 2001 (**Appendix A**) were added, GREPECAS has been doing periodic reviews of the status of implementation of the CAR/SAM Regional Air Navigation Plan at its meetings, with a view to determining and assessing aspects related to air navigation safety. The results of these reviews are submitted to the ICAO Council and reported to the States and user organisations concerned.

1.2 The GREPECAS/9 meeting, through Decision 9/20, decided to make changes to the GREPECAS structure, including the creation of the Air Safety Board, which, in keeping with its terms of reference, is responsible for assessing, monitoring and doing the follow-up of urgent (U) air navigation deficiencies in the CAR/SAM Regions and taking appropriate measures.

2. **Discussion**

2.1 Taking into account that stated in paragraph 1.2, the various GREPECAS contributory bodies, the ICAO NACC and SAM Regional Offices, and the users have been sending, since late 2000, the lists of urgent (U)-rated deficiencies in the various air navigation areas to the Air Safety Board for their discussion at the various meetings that have been held (ASB/1, ASB/2 y ASB/3).

2.2 In this respect, and in order to solve the (U) regional deficiency related to aeronautical phraseology, GREPECAS/10 formulated Conclusion 10/58 and Decision 10/59. Likewise, the Board requested the assistance of the Pan-American Air Safety Team (PAAST)[*] with respect to a regional deficiency related to English proficiency in the aeronautical field. When implementing measures to solve deficiencies, the Board could also request the assistance of the PAAST, of ICAO, through Technical Cooperation Projects and SIPs, and to the recently approved International Financial Fund for Aviation Safety (IFFAS), which could have funds available for the adoption of measures to correct safety-related (U) deficiencies.

2.3 Regarding deficiencies classified as “A” and “B” which affect the various navigation fields in the CAR/SAM Regions, taking into account the experience acquired by the GREPECAS Air Safety Board in dealing with urgent (U) deficiencies, especially in their assessment, validation and follow-up, GREPECAS/10 approved Decision 10/60 entrusting the follow-up of these deficiencies to the corresponding ICAO NACC and SAM Regional Offices, so that, in coordination with the States, action plans can be developed to solve said deficiencies. GREPECAS, through the Regional Offices, is kept informed of the results obtained.

2.4 Based on the above and in order to do a close follow-up of each of the deficiencies detected in the various air navigation areas included in **Appendix B** to this working paper, the following Conclusion is submitted to the consideration of the meeting:

[*] The Pan-American Aviation Safety Team is an initiative fostered by the international civil aviation industry in which recognised organisations such as IATA, the Flight Safety Foundation (FSF), AITAL, FAA, NTSB, among others, including aircraft manufacturers such as Airbus Industries and Boeing, participate together with ICAO.

This team has been established at the regional level in the CAR/SAM Regions with the purpose of selecting and establishing effective tools to improve civil aviation safety indices, and is composed of the Mexico and Lima Regional Offices for the coordination with national authorities and various heads of teams belonging to the crews of several international operators, for dissemination to as many regional commercial air operators as possible.

The PAAST has a Regional Aviation Safety Programme that has identified the need for assistance in the provision of training in language proficiency and phraseology, to ensure that the personnel has knowledge of ATC factors affecting aviation safety. Its purpose is to adopt actions in the fields of standardisation and training.

CONCLUSION 07/XX **DEFICIENCIES IN THE VARIOUS FIELDS OF AIR NAVIGATION IN THE SAM REGION**

That the aeronautical authorities,

a) review the deficiencies included in Appendix XX to this part of the report which correspond to their State and identify the appropriate corrective (technical/operational/financial/organisational) measures to solve them; and

b) based on a), prepare an Action Plan and send it to the ICAO SAM Regional Office by _____ at the latest.

3. **Suggested action**

3.1 The meeting is invited to:

a) take note of the information provided in this working paper;

b) formulate the Draft Conclusion contained in paragraph 2.4; and

c) adopt the necessary measures to overcome the negative impact that the deficiencies in the various air navigation fields in the SAM Region have on air operations.

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APPENDIX A

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

(approved by the Council on 30 November 2001)

1. INTRODUCTION

1.1 The assessment made by ICAO of the information received from various regions as to air navigation deficiencies revealed the need to make improvements in the following areas:

a) collection of information;

b) safety assessment of the problems reported;

c) identification of the appropriate short- and long-term (technical/operational/ financial/organisational) corrective measures; and

d) uniform method for reporting in the reports of the ICAO regional planning and implementation groups (PIRGs).

1.2 Therefore, this methodology has been developed with the assistance of the ICAO PIRGs and the approval of the ICAO Council for the identification, effective assessment and clear reporting of air navigation deficiencies. Subsequently, the Air Navigation Commission may update this methodology based on the experience of its use.

1.3 In this methodology, a deficiency is considered to be any situation in which a facility, service or procedure is not provided in keeping with the regional air navigation plan approved by the Council, or does not comply with the corresponding ICAO standards and recommended practices, and has a negative impact on the safety, regularity or efficiency of international civil aviation.

2. COLLECTION OF INFORMATION

2.1 Sources of the Regional Offices

2.1.1 The Regional Offices, as part of their regular functions, should keep a list of the concrete deficiencies in their regions. To ensure that this list is as comprehensive and clear as possible, it is understood that the Regional Offices would adopt the following measures:

a) Compare the status of implementation of air navigation facilities with the Regional air navigation plan documents and identify the facilities, services and procedures that have not been implemented as yet;

b) Review mission reports to detect deficiencies affecting the safety, regularity and efficiency of international civil aviation;

c) Carry out a systematic analysis of the discrepancies with the ICAO standards and recommended practices, presented by the States, in order to determine their cause and repercussions, if any, on the safety, regularity and efficiency of international civil aviation;

d) Review aircraft accident and incident reports in order to detect possible deficiencies in systems or procedures;

e) Review the data provided by the the users or air navigation services to the Regional Offices, based on Assembly Resolution A33-14, Appendix M;

f) Assess and assign a level of priority to the results of a) to e) according to paragraph 4;

g) Report the results to the State or States concerned for the adoption of solutions; and

h) Report the results indicated under g) to the relevant PIRG so that its conclusions may be examined more thoroughly and the ICAO Council advised and informed thereof through the PIRG reports.

2.2 **State sources**

2.2.1 The States, in order to collect the information coming from all types of sources, should, in addition to applying Assembly Resolution A31-10, establish reporting systems consistent with the requirements of Annex 13, paragraph 7.3. Said reporting systems should not be punitive, so as to enable the identification of as many deficiencies as possible.

2.3 **User sources**

2.3.1 The appropriate international organisations included in the International Air Transportation Association (IATA) and the International Federation of Air Line Associations (IFALPA), are valuable sources of information on deficiencies, especially those related to safety. As users of air navigation facilities, these organisations should identify the facilities, services and procedures that have not been implemented or that are inoperative for long periods of time or that are not fully operational. Within this context, Assembly Resolution A33-14, Appendix M and several decisions of the Council require that users of air navigation facilities report any serious problems they find due to the non-implementation of air navigation facilities or services required by regional plans. It should be noted that this procedure, together with the faculties of the PIRGs, should serve as a basis for the identification, reporting and advice to solve issues related to non-implementation.

3. REPORTING OF INFORMATION ON DEFICIENCIES

3.1 In order for the ICAO PIRGs to assess deficiencies in detail, the States and appropriate international organisations, including IATA and IFALPA, are expected to provide the ICAO Regional Office with any information they may have, so that the appropriate measures can be adopted, including those adopted at PIRG meetings.

3.2 The information should include, at least: the description of the deficiencies, risk assessment, possible solutions, dates, responsible party, measures agreed for adoption and measures already adopted.

3.3 The agenda of PIRG meetings should include an item on air navigation deficiencies, including the information reported by States, IATA and IFALPA, in addition to those identified by the Regional Office, in keeping with paragraph 2.1. The review of deficiencies should be a matter of high priority at each meeting. The PIRGs, upon reviewing the lists of deficiencies, should assess their impact on safety so they can be submitted again to the ICAO Air Navigation Commission.

3.4 In keeping with the above, and taking into account the need to use, sooner or later, this information in the planning and implementation process, it is necessary that, once a deficiency has been identified and assessed, the following fields of information be provided in the reports on air navigation deficiencies. The information fields to be reported are as follows, as included in the attached reporting form.

a) **Identification of requirements**

In keeping with ICAO procedures, regional air navigation plans show, *inter alia*, the the detailed air navigation requirements, including the facilities, services and procedures required to support international civil aviation operations in a given region. Therefore, the deficiencies are related to a requirement identified in the regional air navigation plan documents. The first item in the list of deficiencies should be the requirement together with the name of the meeting and the corresponding number of the recommendation. The name of the State or States involved and the name of the facilities, such as the name of the airport, FIR, ACC, TWR, etc. should also be included.

b) **Identification of deficiencies**

Under this item, the deficiency is identified based on the following elements:

i) a brief description of the deficiency;

ii) date in which the deficiency was first reported;

iii) relevant references (meetings, reports, missions, etc.).

c) **Identification of corrective measures**

For the identification of corrective measures, this item should include:

i) a brief description of the corrective action to be taken;

ii) identification of the organisation in charge of applying the corrective measures;

iii) target date for completion of the corrective measure*; and

iv) an indication of the cost involved, if applicable or available;

* It should be noted that a longer implementation period could be defined in those cases in which the expansion or construction of a facility is intended to serve less frequent operations or involve an excessive expenditure.

4. ASSESSMENT AND ASSIGNMENT OF PRIORITIES

4.1 As a general guideline, three levels of priority could be established based on the following assessment of safety, regularity and efficiency:

"U" priority = urgent requirements having a direct impact on safety and which require the adoption of immediate corrective action.

The urgent requirement is any physical, configuration, material, performance, personnel, or procedural specification whose application is urgently required for the safety of air navigation.

"A" priority = high-priority requirements that are needed for the safety of air navigation.

A high-priority requirement consisting of any physical, configuration, material, performance, personnel or procedural specification whose application is considered necessary for the safety of air navigation.

"B" priority = intermediate requirements that are needed for the regularity and efficiency of air navigation.

A requirement of intermediate priority consisting of any physical, configuration, material, performance, personnel or procedural specification whose application is considered necessary for the regularity and efficiency of air navigation.

5. MODEL OF REPORTING TABLE TO BE USED IN PIRG REPORTS

5.1 Taking into account the aforementioned aspects, the appendix contains the model of the table to be used by PIRGs for the identification, assessment, priorisation, etc. of deficiencies. It might be better to prepare a different table for each topic, that is, AGA, ATM, SAR, CNS, AIS/MAP, MET. However, the table format should be the same for all.

6. MEASURES TO BE TAKEN BY THE REGIONAL OFFICES

6.1 Before each PIRG meeting, the Regional Office concerned will provide documentation on the latest status of deficiencies.

6.2 Regional Offices should, as a matter of priority, document cases of serious deficiency for submission to the Air Navigation Commission (through ICAO Headquarters), instead of waiting until the next PIRG meeting to report on the matter. The Air Navigation Commission will inform the Council.

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FORM FOR REPORTING AIR NAVIGATION DEFICIENCIES IN THE …… FIELD IN THE…..... REGION

Identification		Deficiencies			Corrective measures			
Requirements	**State/ facilities**	**Description**	**Date it was first reported**	**Remarks**	**Description**	**Executing body**	**Target date**	**Priority of the measure***
Requirement of Part ..., paragraph (table)... of the air navigation plan	Land X Land Y	Non-implemented speech circuits City X - City Y	12/02/2..X	Coordination meeting between Land X and Land Y on 16/07/2..X to finalise the arrangements for the implementation of the satellite circuit	Implementation of the satellite direct speech circuit	Land X	August 20..X	A

*The priority of corrective measures to solve a deficiency is based on the following safety assessments:

"U" priority = urgent requirements having a direct impact on safety and requiring immediate corrective measures.

The urgent requirement is any physical, configuration, material, performance, personnel, or procedural specification whose application is urgently required for the safety of air navigation.

"A" priority = high-priority requirements necessary for the safety of air navigation.

A high-priority requirement consisting of any physical, configuration, material, performance, personnel or procedural specification whose application is considered necessary for the safety of air navigation.

"B" priority = intermediate requirements necessary for the regularity and efficiency of air navigation.

A requirement of intermediate priority consisting of any physical, configuration, material, performance, personnel or procedural specification whose application is considered necessary for the regularity and efficiency of air navigation.

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