

APPENDIX C

Draft Regional Strategy for the Resolution of Deficiencies

1. Objective

1.1 This strategy for the identification, evaluation, classification and resolution of the deficiencies that affect air navigation services will be applied by the Regional Office, in coordination with the States, for the establishment of a Coordinated Action Plan and the respective follow-up and reporting tools for the resolution of the most critical deficiencies that affect the implementation of the Air Navigation Plan and the application of the corresponding SARPs. When applying the strategy, the following should be taken into account:

- a) Pursuant to the directives of the Council, and as a regular function, the Regional Office must keep a list of concrete deficiencies that exist in the SAM Region, adopting the necessary measures for the collection of information in order to identify, evaluate and classify deficiencies, assigning the corresponding priorities, in keeping with the uniform methodology approved by the Council.
- b) The deficiency report format will be that defined in the methodology approved by the Council. Under the Corrective Measures/Description column, a detailed description of the Coordinated Action Plan with the State for the resolution of deficiencies will be provided.
- c) The Regional Office will submit to GREPECAS the “U” deficiencies to be dealt by the Regional Group, together with an executive summary of the most relevant actions taken by the Regional Office/States for the resolution of deficiencies types “A” and “B” (GREPECAS Conclusion 10/60). The Regional Office, through the GREPECAS reports and the action taken by the Council/Air Navigation Commission on “U” deficiencies, will coordinate the corresponding Coordinated Action Plan with the States.

1.2 This strategy must be considered by the Regional Office and the States as a matter of high priority for the resolution of deficiencies.

2. Regional strategy

2.1 Identification, evaluation and classification of deficiencies

2.1.1 The Regional Office, for the identification, evaluation and classification of deficiencies will use mainly the following sources:

- a) regular correspondence with the States;
- b) visits to the States (mission reports);
- c) air navigation meetings of all types (formal and informal);

- d) users, through IATA, IFALPA, etc; and
- e) reports on aircraft incidents/accidents.

2.1.2 Each air navigation area of the Regional Office, after examining the deficiency, will assign the corresponding priority. The Regional office will advise the State about this matter as a first step for the establishment of the corresponding coordinated action plan.

2.2 **Records of deficiencies kept by the Regional Office**

2.2.1 The Regional Office will keep the following types of deficiency records:

- a) regular files, in hard copy, as part of the information records
- b) database

2.2.1.1 Regarding the files other than the General File on Deficiencies LT 1/19, each air navigation area (AGA, AIS, ATM, CNS, MET, SAR) must open the corresponding file.

2.2.1.2 As a matter of urgency, a database shall be developed that, in keeping with the format contained in the methodology approved by the Council, delivers different types of reports, namely:

- a) reports on all deficiencies, by State
- b) reports on deficiencies in specific areas, by State
- c) others

2.2.1.3 Each air navigation area of the Regional Office will be responsible for maintaining that part of the database of its competence, which will be accessed by the person responsible in each area. Likewise, each air navigation area will be responsible for the management and updating of the files and for the follow-up of the Action Plans Coordinated with the States. Each area, based on the records and in coordination with the Office Director, will prepare the deficiency reports for internal follow-up and for their presentation to the air navigation meetings within and outside the Region and to GREPECAS.

2.3 **Resolution of deficiencies**

2.3.1 Once the deficiency has been identified, evaluated, and classified according to the corresponding priority, the Office, based on the review made by each air navigation area, will begin coordinations with the State in order to establish the corresponding Coordinated Action Plan for solving the deficiency. This coordinated action plan must contain a summary of, at least, the following information:

- a) *What* action and *how* will it be implemented by the State/States involved in the implementation of the solutions to the deficiency.
- b) *When* (date) is it more likely that the action and procedures to be carried out to solve the deficiency, in keeping with a) above, will become effective.
- c) If possible, resources (personnel and budget) committed for the resolution of the deficiency.
- d) Financing source (own State's resources, others); and

- e) Recommendations to improve service provision (for example, the application of datalink instead of speech circuits for ATS coordination).

Note: This Coordinated Action Plan can also be established at the air navigation meetings or during visits to the States.

2.3.2 For purposes of the work to be carried out by the Regional Offices, the following mechanisms must be considered as tools for coordination, follow-up and reporting of deficiencies:

- a) official visits to the States by Regional Office staff
- b) official correspondence with the States
- c) air navigation meetings (formal and informal).

2.3.3 As indicated in 2.2.1.3, each air navigation area of the Regional Office will be responsible for the follow-up of the Coordinated Action Plans agreed by the States. In keeping with the classification and priority assigned to the deficiency, these follow-up actions must be carried out on an on-going basis so as not to lose the momentum generated by the establishment of the cited plan. In this sense, and in coordination with the Director, each Regional Official, based on the coordination with the States and in keeping with their regional vision, should consider annual objectives measurable against the resolution of deficiencies. For instance, a percentage value could be assumed for the resolution of a certain type of deficiency in the region or in some States or State in particular. In doing so, the Regional Official should establish and implement an appropriate work plan, preferably supported by a project management tool.

Air navigation meetings to support the resolution of deficiencies

2.3.4 For each air navigation area, the Regional Office will schedule at least one implementation meeting per year. These meetings will deal, *inter alia*, with all matters that are deemed necessary for the resolution of deficiencies under a specific agenda item of the meeting. In order to guarantee this support mechanism, the Regional Office must make sure that the States are fully committed to the holding of these implementation meetings and to participating with delegates with ample decision-making power.

2.3.5 The Regional Office will be in constant coordination with the States with respect to the implementation of the coordinated action plans. The Meetings of Civil Aviation Authorities will be the events of highest institutional hierarchy to which the Regional Office will submit a detailed report of the status of implementation of the coordinated action plans, with a view to defining actions aimed at strengthening the mechanisms for the implementation of such plans.

Official visits to the States

2.3.6 One of the main objectives of the official visits to the States by the staff of the ICAO Regional Office will be the resolution of deficiencies, based on the Coordinated Action Plan. During the visit, the ICAO staff will assist the State in furthering the application of the cited plan. The visit will also be used to identify other deficiencies for subsequent review, in keeping with the aforementioned procedures.

Other mechanisms to strengthen the implementation of solutions to deficiencies

2.3.7 The Regional Office, in coordination with the States, may agree to other possible mechanisms for establishing measures for the resolution of deficiencies. In this respect, ICAO tools include the mechanism offered by its technical cooperation, the special implementation projects of the Council, seminars and workshops.
