



International Civil Aviation Organization

CAR/SAM Regional Planning and Implementation Group (GREPECAS)

Eleventh Meeting of the GREPECAS Aeronautical Information Management Subgroup (AIM/SG/11)

Bogotá, Colombia, 16 - 20 June 2008

AIM/SG/11-WP/13

03/06/08

Agenda Item 4: Review of the Implementation Process

- 4.2 Review of CAR/SAM State Action Plans regarding the resolution of existing deficiencies in AIM areas (AIS/MAP), and review of actions taken by the ASB/8 Meeting held in Lima, Peru, from 5-6 March 2008, in ICAO SAM Office regarding reclassification of “U” deficiencies using SMS methodology as a means for risk assessment.**

(Presented by the Secretariat)

SUMMARY

This Working Paper has the purpose to evaluate the re-categorization of “U” deficiencies from the use of risk methodology evaluation of the Safety Management System SMS, as an ASB/8 Meeting conclusion.

References:

- AIS/MAP/SG/10 Meeting Report (Caracas, Venezuela 26 February-02 March 2007)
- Report of the Fourteenth Meeting of the CAR/SAM Regional Planning and Implementation Group (GREPECAS/14)
- ASB/8 Meeting Report (Lima, Peru 5-6 March 2008)

1. Introduction

1.1 The ICAO CAR/SAM Regional Offices, through GREPECAS, has the responsibility of following-up and evaluate the deficiencies en each Air Navigation area and recommend pertinent actions for their solution, specially the deficiencies classified as “U” (**Appendix A**). Despite receiving a special treatment by the GREPECAS Air Safety Board (ASB), a lot of deficiencies are as on-going for many years, constituting a potential risk for the safety of air operations, or they were inadequate classified as “U”.

1.2 The implementation status of The CAR/SAM Air Navigation Regional Planning has been reviewed, based on a uniform methodology for the Identification, Evaluation and notification of Deficiencies in Air Navigation formulated by ICAO Council and by the Regional Offices in coordination with States and with GREPECAS mechanism to evaluate the operational safety aspects in air navigation area.

2. Discussion

2.1 The Meeting should take into account the importance of Conclusion 14/59 and 14/60 (**Appendix B**) formulated in the last GREPECAS Meeting.

2.2 Regarding Conclusion **14/59** – “National Coordinator responsible for updating the GREPECAS Air Navigation Deficiency database (GANDD)”, it is relevant to say that Regional Offices have the national coordinators list for the GANDD updating. This follow-up made by the Secretariat has shown that this new procedure might be used by national coordinators without difficult since it counts with more interface user friendly for their operation.

2.3 Regarding Decision **14/60** – Procedures for classifying and addressing GREPECAS “U” Deficiencies”, the Meeting should consider that the criteria for classifying “U” Deficiencies was developed using the approach using the risk analysis approach of the SMS ICAO official course. The idea is to consider all deficiencies with risk indexes 5A, 5B, 5C, 4A, 4B and 3A, respectively, with frequent, occasional and remote levels of probability and **catastrophic, hazardous and major** levels of severity as “U” deficiencies.

2.4 The Meeting will also review the elements that enable the reclassification of “U” deficiencies carried out by the Regional Offices according to the document “Procedures for Classifying and Addressing GREPECAS “U” Deficiencies, which is attached as **Appendix B1**.

2.5 On the other hand, for the use of the “last resort action” which was required by Conclusion 13/92 of GREPECAS/13 Meeting is still under study and will be finalized after States/Territories/International Organizations answer the requirements of ASB/8 Conclusion 8/2, which says:

CONCLUSION ASB/8/2 CLASSIFICATION OF “U” DEFICIENCIES

That:

- a) GREPECAS “U” type deficiencies be sent to States/Territories and International Organizations (IATA and IFALPA) to carry out a risk analysis assessment for each “U” deficiency and the aspects of the uniform methodology approved by the Council;
- b) States/Territories and International Organizations should determine the Risk Index for each deficiency according to the ICAO SMS methodology for risk assessment (the respective matrix is represented by Appendix D to the Report (**Appendix C** to this Working Paper), using the format presented as Appendix E (**Appendix D** to this Working Paper); and
- c) The Secretary of GREPECAS present the results of the analysis mentioned in a) and b) to the ASB/9 Meeting scheduled previous to GREPECAS/15 Meeting.

Suggested Action

3.1 After analyzing the content of this working paper and Appendix A, the Meeting is invited to decide if AIS/MAP deficiencies reclassification is required classified as “U” urgent.

OUTSTANDING DEFICIENCIES

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

IDENTIFICATION			DEFICIENCY				ACTION PLAN			
ID	Requirements	States/facilities	Description	Date first reported	Remarks	Priority	Description	Executing body	Date of completion	Remarks
1	2	3	4	5	6	7	8	9	10	11
ABW Aruba										
AIS 29	CAR Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Aruba	Implementation of the WGS-84 is on going	JAN/ 1998	GREPECAS AIS/MAP Subgroup	U	Need to implement the WGS-84 Geodetic System	State	NOV/ 2005	
AIS 96	CAR Doc. 8733 Basic ANP, Part VIII, Paras. 9 to 12	Aruba	Lack of highest priority for printing of AIS publications.	SEP/ 1996	Records/files NACC RO; GREPECAS reports	U	Need to provide a higher priority for the printing of AIS publications	State		
ANT Netherlands Antilles										
AIS 41	CAR Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Netherlands Antilles	Lack of implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup	U	Need to implement the WGS-84 Geodetic System	State	NOV/ 2004	
BHS Bahamas										
AIS 7	CAR Annex 15, Chap. 4, Para. 4.2.9; Doc. 8733, Basic ANP, Part VIII, Paras 33 to 37	Bahamas	Lack of regular and effective updating of the AIP Document	OCT/ 2000	GREPECAS AIS/MAP Subgroup	U	Need to keep updated the information/data contained in the AIP	State		
AIS 17	CAR Annex 15, Chapter 3, Paras. 3.1.5 and 3.1.6; Chapter 5, Paras. 5.1.1.1 and Sec. 5.3	Bahamas	Timely distribution of the information through NOTAM	OCT/ 2000	GREPECAS AIS/MAP Subgroup	U	Need to disseminate on time all operational information through NOTAM	State		
AIS 30	CAR Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Bahamas	Implementation of the WGS-84 is on going	JAN/ 1998	GREPECAS AIS/MAP Subgroup	U	Need to implement the WGS-84 Geodetic System	State	NOV/ 2005	
BLZ Belize										
AIS 31	CAR Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Belize	Lack of implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup	U	Need to implement the WGS-84 Geodetic System	State	NOV/ 2006	
AIS 273	CAR Doc. 8733 Basic ANP, Part VIII, Paras. 9 to 12	Belize	Lack of highest priority for printing of AIS publications.	APR/ 2001	Records/files in NACC R0; ICAO visit April 2001	U	Need to provide a higher priority for the printing of AIS publications	State		
CRI Costa Rica										
AIS 33	CAR Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Costa Rica	Partial implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup	U	Need to implement the WGS-84 Geodetic System	State	JUL/ 2007	

IDENTIFICATION			DEFICIENCY				ACTION PLAN			
ID	Requirements	States/facilities	Description	Date first reported	Remarks	Priority	Description	Executing body	Date of completion	Remarks
1	2	3	4	5	6	7	8	9	10	11

DOM	Dominican Republic
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AIS	34 CAR	Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Dominican Republic	Partial implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup Survey to States, Was informed on a new WGS 84 suvey project (enc. 131 file NE-58-3/mar-15-2002)	U	Need to implement the WGS-84 Geodetic System. Action Plan: 90% completed.	State	NOV/ 2004	Administrative coordination.
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GTM	Guatemala
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AIS	36 CAR	Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Guatemala	Partial implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup Survey to States	U	Need to implement the WGS-84 Geodetic System	State	NOV/ 2006	
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HND	Honduras
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AIS	101 CAR	Doc. 8733 Basic ANP, Part VIII, Paras. 9 to 12	Honduras	Lack of highest priority for printing of AIS publications.	SEP/ 1996	Records/files NACC RO; GREPECAS reports	U	Need to provide a higher priority for the printing of AIS publications	State		
AIS	267 CAR	Doc 8733 Basic ANP, Part VIII, Paras. 59 k), 61, 62. 64 7) and FASID Table AIS 7.	Honduras	Lack of production of the World Aeronautical Chart ICAO 1:1000 000	JAN/ 1994	Records/files NACC RO; GREPECAS reports	U	Need to produce the chart.	State		

JAM	Jamaica
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AIS	14 CAR	Annex 15, Chap. 4, Para. 4.2.9; Doc. 8733, Basic ANP, Part VIII, Paras 36 to 37	Jamaica	Lack of regular and effective updating of the AIP Document	OCT/ 2000	GREPECAS AIS/MAP Subgroup	U	Need to keep updated the information/data contained in the AIP	State		
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MEX	Mexico
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AIS	26 CAR	Annex 15, Chapter 3, Paras. 3.1.5 and 3.1.6; Chapter 5, Paras. 5.1.1.1 and Sec. 5.3	Mexico	Timely distribution of the information through NOTAM	OCT/ 2000	GREPECAS AIS/MAP Subgroup	U	Need to disseminate on time all operational information through NOTAM	State		
AIS	40 CAR	Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Mexico	Lack of implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup Survey to States	U	Need to implement the WGS-84 Geodetic System	State		
AIS	311 CAR	Annex 15, Chapter 4, Paras. 4.2.8 and 4.3.4., Chapter 6; Doc 8733 Basic ANP Part VIII, Paras. 45 to 49	Mexico	Lack of effective compliance with the AIRAC system requirement	JUN/ 2006	Records/files NACC RO	U	Need for an efficient application of AIRAC requirements.	State		

NIC	Nicaragua
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AIS	42 CAR	Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	Nicaragua	Lack of implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup Survey to States	U	Need to implement the WGS-84 Geodetic System. Action Plan: Surveys have been performed at the main aerodromes of the country.	State	NOV/ 2004	
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IDENTIFICATION			DEFICIENCY				ACTION PLAN			
ID	Requirements	States/facilities	Description	Date first reported	Remarks	Priority	Description	Executing body	Date of completion	Remarks
1	2	3	4	5	6	7	8	9	10	11

SLV	El Salvador
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AIS	35 CAR	Annex 15, Para. 3.6.4; Annex 4, Para. 2.18; Doc. 8733, Basic ANP, Part VIII, Paras 50 to 58, FASID Table AIS 5	El Salvador	Partial implementation of the WGS-84	JAN/ 1998	GREPECAS AIS/MAP Subgroup Survey to States	U	Need to implement the WGS-84 Geodetic System	State	NOV/ 2006
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TCA	Turks and Caicos
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AIS	28 CAR	Annex 15, Chapter 3, Paras. 3.1.5 and 3.1.6; Chapter 5, Paras. 5.1.1.1 and Sec. 5.3	Turks and Caicos Islands	Timely distribution of the information through NOTAM	OCT/ 2000	GREPECAS AIS/MAP Subgroup	U	Need to disseminate on time all operational information through NOTAM	State	
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OUTSTANDING DEFICIENCIES

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

IDENTIFICATION			DEFICIENCY				ACTION PLAN			
ID	Requirements	States/facilities	Description	Date first reported	Remarks	Priority	Description	Executing body	Date of completion	Remarks
1	2	3	4	5	6	7	8	9	10	11

ARG Argentina

AIS	35 SAM	Annex 15; 3.6.1 English language	Argentina	Requirement to use English for plain language texts in AIS publications	SAM RO Records..	U	Action Plan (2006) indicated that relevant action is being taken on the matter. NOTAM impl. 100%; AIP 30%	Indicated State.
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BOL Bolivia

AIS	7 SAM	ICAO Annex 15, Para. 3.4.4.1 WGS-84.Geodetic System	Bolivia	Need to comply with effective and total implementation of the WGS-84.	SAM RO Records..	U	Action Plan (2006) 40% implemented	Indicated State
AIS	16 SAM	ICAO Annex 4, WGS-84.Geodetic System	Bolivia	.Need for production of all required aeronautical charts under the WGS-84 system.	SAM RO records.	U	Action Plan (2006) 40% implemented	Indicated State
AIS	27 SAM	ICAO Annex 15, Chapter 6; ANP (Doc. 8733) Par. 46 - 49. Sistema AIRAC.	Bolivia	Need for an effective implementation of AIRAC requirements	SAM RO Records.	U	Action Plan (2006) 90% implemented	Indicated State

BRA Brasil

AIS	2 SAM	ICAO Annex 15, Chapter 4; [Appendix 1, ENR 6 and AD 2.24]. Restructured AIP	Brazil	Need to issue the AIP document under a restructured format. [It is required that Enroute chart be included in AIP/ENR 6 section; and that all aeronautical charts related with the international airports, be also included in section AIP/AD 2.24.	SAM Office records.	U	Action Plan (2004) not indicated what action is being taken on the matter.	Indicated State
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ECU Ecuador

AIS	19 SAM	ICAO Annex 4; Annex 15, Para. 3.6.4.1 and 3.6.4.2. WGS-84.Geodetic System	Ecuador	Lack of total implementation of the WGS-84 system, mainly concerning requirements as the the publication of the geoid undulation as it is required.	SAM RO records.	U	Action plan 2006 80% implemented	Indicated State
AIS	32 SAM	ICAO Annex 15, Chapter 6; ANP (Doc. 8733) Par. 45.	Ecuador	Need for implementation of AIRAC requirements.	SAM RO Records.	U	Action plan 2006 20% implemented	Indicated State.

GUY Guyana

AIS	9 SAM	ICAO Annex 15, Para. 3.4.4.1 WGS-84.Geodetic System	Guyana	Need to comply with effective and total implementation of the WGS-84.	SAM RO Records..	U	Actiona Plan (2004) 60% implemented	Indicated State
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IDENTIFICATION			DEFICIENCY				ACTION PLAN			
ID	Requirements	States/facilities	Description	Date first reported	Remarks	Priority	Description	Executing body	Date of completion	Remarks
1	2	3	4	5	6	7	8	9	10	11

AIS	20 SAM ICAO Annex 4. WGS-84.Geodetic System	Guyana	Need for production of all required aeronautical charts under the WGS-84 system.		SAM RO records.	U	Action Plan (2004) 80% implemented.	Indicated State		
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SUR	Suriname
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AIS	13 SAM ICAO Annex 15, Para. 3.4.4.1 WGS-84.Geodetic System	Suriname	Need to comply with effective and total implementation of the WGS-84.		SAM RO Records..	U	Action plan 2005. Ongoing	Indicated State		
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AIS	31 SAM CAO Annex 15, Chapter 6; ANP (Doc. 8733) Par. 46 - 49. Sistema AIRAC.	Suriname	Need for an effective implementation of AIRAC requirements.		SAM RO Records.	U	Action Plan (2005). 80% implemented	Indicated State		
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VEN	Venezuela
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AIS	14 SAM ICAO Annex 15, Para. 3.4.4.1 WGS-84.Geodetic System	Venezuela	Need to comply with effective and total implementation of the WGS-84.		SAM RO Records..	U	Action plan (2006) Ongoing	Indicated State		
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APPENDIX B

**CONCLUSION 14/59 NATIONAL COORDINATOR RESPONSIBLE FOR UPDATING
THE GREPECAS AIR NAVIGATION DEFICIENCY DATABASE**

That,

- a) the States/Territories designate a National Coordinator responsible for updating the GREPECAS Air Navigation Deficiency Database (GANDD);
- b) the name, e-mail address, phone and fax numbers, etc., of the National Coordinator be forwarded to the ICAO Regional Offices **no later** than 31 May 2007; and
- c) the Regional Offices foster a workshop to train identified National Coordinators so that they can fully master all aspects of the GANDD.

**DECISION 14/60 PROCEDURES FOR CLASSIFYING AND ADDRESSING
GREPECAS “U” DEFICIENCIES**

That,

- a) the ICAO Regional Offices, in accordance with the Uniform Methodology of the Council, develop procedures for classifying and addressing GREPECAS deficiencies, which should contain at a minimum the following:
 - i) common classification criteria;
 - ii) procedures for using the database;
 - iii) reports on deficiencies to be submitted to GREPECAS;
 - iv) the responsibility of the States for database maintenance;
 - v) the responsibility of the States for presenting action plans to correct deficiencies;
 - vi) the responsibility of the Regional Offices for completing coordination;
 - vii) follow-up of deficiencies, etc.
- b) the procedures referred to in the previous paragraph be sent to the members of GREPECAS for approval, using the Fast-Track System;
- c) once the procedures are approved, the Regional Offices apply it to “U” deficiencies contained in the GANDD; and
- d) the Secretary of GREPECAS convene a meeting of the ASB for the first quarter of 2008.

PROCEDURES FOR CLASSIFYING AND ADDRESSING “U” DEFICIENCIES IN THE AIR NAVIGATION FIELD

1 Introduction

1.1 The procedures described below establish the steps to be followed by States and the ICAO NACC/SAM Regional Offices for resolving “U” deficiencies in the air navigation field. These procedures, developed in compliance with GREPECAS Decision 14/60, contribute to the application of a Uniform Methodology for the identification, assessment and reporting of deficiencies, as approved by ICAO Council, and are included as **Appendix A**.

1.2 These procedures shall provide Regional Offices and States with a method to re-classify current deficiencies, update procedures for capturing data and reports, and improve the use of the web application associated with the GANDD database.

1.3 These procedures shall also facilitate the *review of deficiencies* with “U” priority with a view to implement GREPECAS Conclusion 13/92 in the application of last resort action.

2 Common Criteria for its Classification and Storage in the GANDD

2.1 Two main parts are identified in the integral treatment of deficiencies as shown below:

1. ICAO NACC and SAM Regional Offices through:
 - a) specific fields (AGA, ATM, AIM, CNS, MET, SAR);
 - b) administration of the database (GANDD) by the ICT section of each Regional Office; and
2. States that coordinate with the Regional Offices through Focal Points in accordance with GREPECAS Conclusion 14/59.

2.2 The identification and reporting process of deficiencies is as prescribed in the Uniform Methodology.

2.3 The process of deficiency classification requires an assessment for priority assignment. For this reason, the deficiency must be duly identified and reported. In this regard, the information from columns 1 to 6 from **Appendix B**, which is the report extracted from the GANDD, must be available in order for the GREPECAS mechanism to revise the status of “U” “A” and “B” deficiencies.

2.3.1 In accordance with the guidance provided in paragraph 4 of the Uniform Methodology, the Regional Office, in coordination with the State Focal Point, shall determine the Priority of the Requirement, which determines the priority of the deficiency. In order to determine whether or not a “U” deficiency exists, a risk analysis will be necessary. **Appendix C** provides criteria for use in this respect.

*Important Note: Every deficiency may represent a potential **hazard** to air navigation, which is associated to a specific **risk**. There are several methods of risk analysis, each of them specific to the case in question. In the ICAO Safety Management System (SMS) training courses, a risk analysis method is presented that is applicable to cases affecting safety and determines whether the risk is intolerable or tolerable, and whether it may be mitigated. Based on this, a concept is available to mainly provide assistance with prioritizing the requirements that could result in “U” deficiencies, since the case of SMS methodology is oriented to risks affecting safety.*

2.4 Once the deficiency is classified, coordination with the Focal Point will take place regarding the information required in columns 8, 9, 10, and 11 from Appendix B, and will then be entered into the GANDD database, notifying the State through the Focal Point.

Important note: If some fields of Appendix B are not completed, for example, fields in the Action Plan, the deficiency will be entered into the GANDD and a notation will be made in the Remarks field.

3 **Reports to be Presented to the GREPECAS Mechanism**

3.1 In accordance with the Uniform Methodology, the GREPECAS mechanism shall receive information on deficiencies from the Regional Offices, found in the attached **Appendix B**. Based on this information, the mechanism shall proceed with the Uniform Methodology procedures. In addition, the GANDD can provide statistical reports that the mechanism could require for analysis.

4 **Responsibilities in the Treatment of Deficiencies and Maintenance of GANDD**

4.1 Considering that the GANDD is a tool to manage the treatment of deficiencies, the procedures outlined below are applicable while the deficiency is registered and stored in the database.

Responsibility of the Regional Offices

- a) Review and, if necessary, reclassify existing deficiencies based on established procedures.
- b) Coordinate the validation, revision, and/or updating of data for deficiencies with Focal Points, and update the information in the GANDD, advising the Focal Points of changes.
- c) Review periodic reports from Focal Points on the status of resolution implementation for the deficiencies. Any missing data from the Action Plan shall have a high priority during the review.

- d) Review deficiencies with the Focal Point during visits carried out by Regional Officers according to the mission programme established by the corresponding Regional Office.
- e) Present the list of deficiencies for revision at each meeting of GREPECAS Subgroups and/or Committees or other informal meetings, such as implementation meetings.
- f) Present information and reports to the ASB and to GREPECAS regarding the status of deficiencies.

Responsibilities of States/Focal Points

- a) Review, at least quarterly, the deficiencies and their respective Action Plans, and give special attention to missing information from the Action Plan.
- b) Respond to all requests from the Regional Offices that may necessitate the revision/updating of the list of deficiencies without delay.
- c) Request the corresponding Regional Office to update the status of deficiencies through the web application form (see details in paragraph 6).
- d) Once the deficiency is corrected, inform the corresponding Regional Office of the area involved without delay.

5 Deficiency Resolution Follow-up

5.1 Regional Offices and Focal Points shall closely follow-up on the Action Plan to resolve deficiencies, and the GANDD database will be updated accordingly. The deficiencies with missing data, for example, those referred to the Action Plan, will have priority in the follow-up.

6 Procedures to Manage the GANDD Database, Based on the Existing Web Application

6.1 In October 2004, the procedures for access and use of the GANDD database were circulated to States so that States could report, review and update their corresponding deficiencies. In accordance with GREPECAS Decision 14/60, the Regional Offices have completely revised the procedures and structure of the GANDD in order to increase the efficiency of this tool. Updated procedures for Focal Points to interact with the database to revise and report amendments are attached as **Appendix D**. A presentation in power-point has been uploaded on the websites of each Regional Office for training purposes.





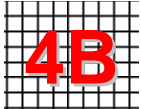

7 Complementary Measures

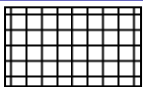
7.1 This document will be updated by the ICAO Regional Offices. Amendments shall be distributed to States via e-mail through the Focal Points.

APPENDIX C

ASB/ 8

Appendix D to Report on Agenda Item 4

Risk probability	Risk severity				
	Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequent 5	 5A	 5B	 5C	5D	5E
Occasional 4	 4A	 4B	4C	4D	4E
Remote 3	 3A	3B	3C	3D	3E
Improbable 2	2A	2B	2C	2D	2E
Extremely improbable 1	1A	1B	1C	1D	1E



“U” type deficiencies correspond to the shadowed area of this matrix (Risk Indexes: 5A, 5B, 5C, 4A, 4B and 3A)

Appendix D

**FORMAT TO BE SENT TO STATES/TERRITORIES TO CARRY OUT RISK
ASSESSMENT AND ESTIMATE RISK INDEX**

Example

Area	State	Deficiency	Current Classification	Risk Index
AGA	Ecuador	Number and description	“U”	
		Number and description	“U”	
	Paraguay	Number and description	“U”	
	Panamá	Number and description	“U”	
	Suriname	Number and description	“U”	
		Number and description	“U”	
	Venezuela	Number and description	“U”	
		Number and description	“U”	
		Number and description	“U”	
		Number and description	“U”	
		Number and description	“U”	