



- Agenda Item 4: Review of AIM Implementation Processes**
4.2. Update on the re-classification of “U” deficiencies using the latest version of the modified SMS risk assessment methodology, and incorporation of sources of information validated by IATA and IFALPA into the GREPECAS GANDD.

(Presented by the Secretariat)

Summary	
The purpose of this working paper is to present the meeting with the actions taken by GREPECAS/15 regarding the classification of “U” deficiencies, in keeping with that agreed upon by the ASB/8/2 meeting and the approved use of the risk assessment methodology of the SMS safety management system.	
References:	
<ul style="list-style-type: none">• Report of the GREPECAS/15 meeting (Rio, Brazil, 13 – 17 October 2008)• Reports of the ASB/8 and ASB/9 meetings	
Strategic Objectives	<i>This working paper is related to Strategic Objectives A and D.</i>

1. Introduction

1.1 The ASB/9 meeting reviewed the report of the ASB/8 meeting, as approved by GREPECAS/14, and used it as a basis for discussing the other agenda items.

1.2 The meeting also reviewed the documentation prepared by GREPECAS regarding the procedures for classifying and treating “U” deficiencies. In this respect, the meeting noted that these procedures contributed to the implementation of the uniform methodology for the identification, assessment, and reporting of deficiencies approved by the ICAO Council, which contained criteria for identifying “U” deficiencies, and thus considered extending them to include all deficiencies.

2. Discussion

Review of the results of the classification of “U” deficiencies, in keeping with Conclusion ASB/8/2

2.1 Taking as a reference the results of the ASB/9 meeting, GREPECAS/15 agreed that IATA and IFALPA, based on the information provided by ICAO (also available in the GANDD), should carry out the risk assessment and provide the information to the respective ICAO Regional Office as soon as possible and, in any case, no later than 1 March 2009.

2.2 In this respect, GREPECAS/15, through Conclusion 15/47 – *Further Action for the Implementation of Conclusion ASB/8/2*, urges the States that have not done so yet to conduct, as soon as possible, a risk assessment of “U” deficiencies, and to present the results obtained to the accredited Regional Office.

Analysis of the standard classification of “A” and “B” air navigation deficiencies

2.3 On this matter, GREPECAS/15 reviewed the implementation of Decision ASB/8/1. In this regard, it noted that GREPECAS had developed criteria for the classification of “U” deficiencies based on the existing SMS risk analysis model, and that, through the aforementioned decision, the Secretariat had been requested to conduct an analysis to extend the use of these criteria to the classification of “A” and “B” deficiencies.

2.4 Taking into consideration that:

- a) the ICAO SMS risk analysis model only applies to those cases related to matters affecting air navigation safety;
- b) an “A” deficiency is defined as a deficiency with high-priority requirements in terms of safety; and
- c) a “B” deficiency is defined as a deficiency with intermediate requirements in terms of air navigation regularity and efficiency.

2.5 The analysis by the Secretariat concluded that, in addition to the elements of the SMS risk analysis model considered for the classification of “U” deficiencies (elements 5A, 5B, 5C, 4A, 4B, and 3A), the remaining elements could be used to classify “A” deficiencies. Therefore, when analysing a deficiency that affects safety using the SMS model, it is noted that a deficiency unrelated to risk indices associated with type “U” deficiencies could be classified as an “A” deficiency, and matters affecting the regularity and efficiency of air operations could be classified as a “B” deficiency.

2.6 Furthermore, taking into account the criteria of the uniform methodology approved by the Council, the deficiency exists, and thus should be subsequently classified. Accordingly, GREPECAS/15 considered that the SMS model should be subsequently used only as a tool to classify the deficiencies affecting safety, that is, “U” or “A”, according to the uniform methodology approved by the Council. It also recognised that classification criteria could be improved, but considered that it was more important to put into practice the aforementioned criteria and gain experience with their implementation.

2.7 Finally, GREPECAS/15 approved the use of the ICAO SMS risk assessment model shown in **Appendix A** to this working paper, for the classification of “U”, “A” and “B” deficiencies.

Specific deficiencies related to planning and implementation in the CAR/SAM Regions

2.8 GREPECAS/15 agreed that consideration should be given to the fact that the existing deficiencies affecting the provision of air navigation services in the ICAO Regions, and the need for the States/Territories to establish programmes for their elimination, were matters of ongoing concern and high priority for the ICAO Council.

2.9 In view of the above, the meeting took note of Conclusion 14/59 – *National Coordinator Responsible for Updating the GREPECAS Air Navigation Deficiency Database*, and in order to facilitate the administrative coordination of the GREPECAS database (GANDD) with those responsible for the various areas of the air navigation services of the States/Territories, the Secretariat prepared a list of National Coordinators responsible for updating the GANDD (see **Appendix B** to this working paper).

3. Suggested Action

3.1 The Meeting is invited to:

- a) take note of the information contained in this working paper;
- b) use the ICAO SMS risk assessment model contained in **Appendix A** for the classification of “U”, “A” and “B” deficiencies; and
- c) take note of the list shown in **Appendix B** and maintain close coordination with the respective National Coordinators responsible for updating the GANDD.

APPENDIX A

METHODOLOGY TO DETERMINE THE THREE LEVELS OF PRIORITY OF AIR NAVIGATION DEFICIENCIES (U/A/B) BASED ON THE RISK INDEX

Risk Probability	Risk Severity				
	Catastrophic A	Hazardous B	Higher C	Lower D	Insignificant E
Frequent 5	5	5	5	5	5
Occasional 4	4	4	4	4	4
Remote 3	3	3	3	3	3
Unlikely 2	2	2	2	2	2
Extremely unlikely 1	1	1	1	1	1

APÉNDICE B / APPENDIX B**COORDINADORES NACIONALES GANDD / GANDD NATIONAL COORDINATORS****REGION CAR / CAR REGION**

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