



ICAO

International Civil Aviation Organization  
North American, Central American and Caribbean Office

# **Air Navigation Services (ANS) / Air Traffic Services (ATS) Safety Inspector Workshop**

## **Summary of Discussions**

Mexico City, Mexico, 20-24 February 2017

### Summary of Discussions

<b>Date</b>	20 to 24 February 2017
<b>Location</b>	Mexico City, Mexico
<b>Opening Ceremony</b>	The Meeting was attended by 32 delegates from 13 States/Territories from the NAM/CAR/SAM Regions. The list of participants is attached at <b>Appendix A</b> .
<b>1.</b>	<p><b>References</b></p> <ul style="list-style-type: none"> <li>• Sixth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/06) and the Declaration of Intent, Nassau, Bahamas, 10 to 12 May 2016</li> <li>• ICAO North America, Central America and Caribbean (NACC) No Country Left Behind (NCLB) Strategy — <i>Enhancement of Regional Organizations and Collaboration Initiative</i></li> <li>• Universal Safety Oversight Audit Programme – Continuous Monitoring Approach (USOAP-CMA) — Results from 1 January 2013 to 31 December 2015  <a href="http://www.icao.int/safety/CMAForum/Documents/USOAP_REPORT_2013-2016.pdf">http://www.icao.int/safety/CMAForum/Documents/USOAP_REPORT_2013-2016.pdf</a></li> </ul>
<b>2.</b>	<p><b>Objectives</b></p> <p>2.1 As part of the NACC Regional Office NCLB Strategy activities, the workshop aimed to provide participants a guide on the USOAP-CMA Critical Elements (CEs), including background information and provide an opportunity to States/Territories to present their point of views, promote discussion, share experiences, and good practices. The main objectives of the workshop were the following:</p> <ul style="list-style-type: none"> <li>• Enhancement of the Air Navigation Services (ANS) inspectorate areas</li> <li>• Sharing of good experiences and lessons learned</li> <li>• Provide States an opportunity to agree on the next steps</li> <li>• Support the safety oversight system capacity</li> <li>• Encourage States to find solutions and improve the ANS area as part of the USOAP-CMA mechanism</li> </ul>

**3.**

**Introduction**

3.1 Mr. Melvin Cintron, Regional Director, ICAO NACC Regional Office, welcomed participants, highlighted the importance of the event on the harmonized implementation of air navigation and encouraged States/Territories to work effectively in the ICAO NACC Regional Office NCLB Strategy. Mr. Julio Siu, Deputy Regional Director, ICAO NACC Regional Office, also provided opening remarks, he mentioned the relevance of this type of workshops to assist in the resolution of safety ANS deficiencies identified in the USOAP and the application of the lessons learned for a more effective implementation of the ICAO Standards and Recommended Practices (SARPs), recognizing that ANS is one of the three less effective implemented areas in the States' safety oversight systems. Mr. Luis Sanchez, Regional Officer, Aeronautical Meteorology and Environment, ICAO NACC Regional Office, acted as Secretary of the event.

**4.**

**Workshop Schedule and Activities**

4.1 The Workshop was conducted from 09:00 to 16:30, with several working sessions and hands-on exercises.

**Day 1:**

4.2 The Secretariat presented an introduction to the workshop, reviewing background information, objectives, and expectations. The programme of the event was explained, as well as the daily goals, methodology, and administrative topics.

4.3 The Secretariat presented the NACC Regional Office NCLB Strategy, its scope, phases and a detailed description of its implementation status, emphasizing the progress and challenges. Likewise, the CAR Project RLA/09/801 — Multi-Regional Civil Aviation Assistance Programme (MCAAP) was presented.

4.4 United States presented the essential aviation safety oversight responsibilities, the basic safety oversight responsibilities of an Air Navigation Service Provider (ANSP), and the USOAP CEs 1 and 2:

4.5 A discussion was held on the States' essential safety oversight responsibilities and the application of these responsibilities to the ANSPs oversight. These sessions considered different regulatory models that States may adopt to achieve their safety oversight objectives and the strategies to develop a risk-based approach to regulation. Another discussion was carried out to focus on USOAP audits on the States capabilities to provide safety oversight by assessing whether a State has effectively and consistently implemented the CEs of a safety oversight system, which enable the State to ensure the implementation of ICAO's safety-related SARPs and the associated procedures and guidance material.

4.6 The final sessions of the first day focused on the USOAP CE 1 and 2. Presentations and discussions addressed important considerations to ensure that these CEs are reflected in the authority granted to the ANS oversight organization, and in the operating regulations applicable to ANSPs. Throughout the day, participants shared experiences of their States through responses to discussion questions made by the facilitators, which included reflection on the important characteristics of effective regulators, and government versus privatized structure of ANSPs.

**Day 2:**

4.7 United States guided participants in the reviewing of USOAP CEs 3, 4, 5, and 6. The presentations focused on safety oversight requirements associated with each of these CEs, and emphasized the important links between establishing a strong safety oversight foundation of CEs 1 to 5, which can be applied to the implementation of CEs 6 to 8. Discussions on these topics considered the following issues and challenges related to the workshop requirements, such as: establishing an organizational structure for the ANS organization oversight that supports it in carrying out its responsibilities; various models which can be used to calculate staffing needs; strategies for recruitment, provide training, and retain qualified personnel. The importance of integrating technical guidance and tools to the training programme of inspectorate staff; and the strategies to effectively manage a large personnel licensing programme with a comparatively small inspector group.

4.8 To conclude the second day, participants worked in small groups to complete an analysis on the Strengths, Weaknesses, Opportunities, and Threats (SWOT) associated with CEs 3, 4, and 6, which may provide a basis for future strategic planning focused on taking advantage of strengths and opportunities to successfully implement these CEs. Through the SWOT analysis activity, participants identified opportunities to collaborate across States boundaries, such as working together to share the costs of the development of an inspector training course that could be offered across the region at one of the established training centers. Participants exchanged point of views among regulators and service providers related to the strengths and weaknesses of the aviation systems.

**Day 3:**

4.9 The groups presented the results of their SWOT analyses, included in **Appendix B**, and discussed the ways in which the outcomes of the analysis could be used to develop plans to mitigate weaknesses and threats that may be obstacles to achieve the effective implementation of the CEs. During this day, the workshop continued with a review of USOAP CE 7 and the requirements for establishing and carrying out a surveillance programme.

4.10 United States shared experiences related to the development of a risk-based surveillance programme, which generated a discussion among participants about the creation and management of occurrence reporting systems, safety performance measurement, and the continuous monitoring of ANSP operations. The facilitators provided an overview of the processes used to develop and conduct a risk-based safety oversight audit. Participants concluded the third day of the workshop by working in groups to plan an air traffic safety audit mock and created requirements checklists.

**Day 4:**

4.11 The groups presented a summary on the audit plans and checklists that they created during the previously mentioned mock activity, which intended to provide a risk-based overview decision making principles in determining the topics to audit and to visit the facilities. Many participants mentioned that this was their first time experiencing with this type of activity.

4.12 United States guided the review of CE 8 requirements, focused on the importance that Civil Aviation Authorities (CAAs) take actions on safety concerns as required by CE 1, and the value provided by voluntarily reporting safety programmes. During this discussion, participants shared their experiences to establish voluntary reporting programmes.

**Day 5:**

4.13 The session concluded with an overview of basic Safety Management System (SMS) concepts, Annex 19 requirements related to the establishment of a State Safety Programme (SSP), and strategies that States should consider to support a successful SSP and SMS implementation.

4.14 At the beginning of the last day, participants worked in groups to complete a second SWOT analysis associated with CEs 7 and 8. The groups presented the results of their SWOT analyses, which is included in **Appendix C**, and discussed the ways in which the outcomes of the analysis could improve the surveillance programmes in their States and the benefits associated to the implementation of a risk-based surveillance strategy to support surveillance obligations. Participants exchanged point of views among the implementation of processes and procedures to resolve deficiencies impacting safety in the aviation system and identified opportunities to develop a safety culture and good practices to encourage voluntary reporting.

4.15 United States guided the review of the safety management requirements emphasizing the importance to incorporate it into the national policy and discuss the roles and responsibilities of the State, as the regulator in the implementation of a SMS as a SSP, a description of the goals, framework and components of the SSP was provided and the experiences of the strategies to include air traffic oversight in the SSP were shared. In addition, participants were led through a deep discussion of the regulator's strategies to oversee an SMS and the use of a competency framework as a tool to ensure the right team to perform the oversight.

4.16 The session concluded with a brief discussion about collaboration and sharing of safety work and the proposal for the development of a self-assessment to review the knowledge of the organization's capabilities for safety management and the identification of gaps to focus on key performance requirements and results.

**5.**

**Outcome/Recommendations**

5.1 Participants were familiarized with the ICAO NACC Regional Office NCLB Strategy and were encouraged to work together and effectively towards a harmonized air navigation implementation.

5.2 Also, participants shared experiences of their States in the resolution of the safety ANS deficiencies identified in the USOAP and the application of the lessons learned for a more effective implementation and identified opportunities to work together with other States.

5.3 The workshop reviewed different regulatory models that States may adopt to achieve their safety oversight objectives and the strategies to develop a risk-based approach to regulation.

5.4 An overview of the processes used to develop and conduct a risk-based safety oversight audit was provided.

5.5 It was recommended the establishing of an organizational structure for the ANS organization oversight that supports it in carrying out its responsibilities; the use of models to calculate staffing needs and the implementation of strategies for recruitment, training, and retention of qualified personnel.

5.6 Participants provided the following recommendations:

- To share the costs of the development of an inspector training course that could be offered across the region at one of the established training centers.
- To include in the content of future workshops:
  - An example of an ANS inspector training programme
  - Methods for carrying out the audit as in the way of questions to be asked and handle personnel considering human factors
  - Orientations to inspectors to give response to the USOAP Protocol Questions based on CEs
- Ensure that the level of expertise and competence of ANS inspectors is equal to or greater than the level of the ANSP personnel, by promoting more rigorous training programs, especially in the area of SMS
- To disseminate the NAAC NCLB Strategy to the other ICAO regions, as well as workshops such as the one developed.

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## APPENDIX A

## LIST OF PARTICIPANTS / LISTA DE PARTICIPANTES

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## SWOT Analysis Worksheet

- For instructions on using SWOT Analysis, visit [www.mindtools.com/rs/SWOT](http://www.mindtools.com/rs/SWOT).

<p><b>Strengths</b></p> <p>What do you do well? What unique resources can you draw on? What do others see as your strengths?</p>	<p><b>Weaknesses</b></p> <p>What could you improve? Where do you have fewer resources than others? What are others likely to see as weaknesses?</p>
<p><b>Opportunities</b></p> <p>What opportunities are open to you? What trends could you take advantage of? How can you turn your strengths into opportunities?</p>	<p><b>Threats</b></p> <p>What threats could harm you? What is your competition doing? What threats do your weaknesses expose you to?</p>



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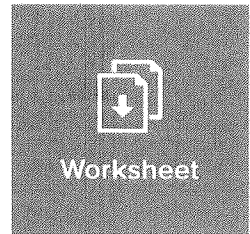
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<b>Strengths</b> What do you do well? What unique resources can you draw on? What do others see as your strengths?	<b>Weaknesses</b> What could you improve? Where do you have fewer resources than others? What are others likely to see as weaknesses?
<ul style="list-style-type: none"> <li>- Small countries with a few ATC facilities, easy to audit.</li> <li>- Well organized CAAs, well trained personnel.</li> <li>- Experienced civil aviation personnel (small islands).</li> </ul>	<ul style="list-style-type: none"> <li>- Political changes causing lack of resources and the willing to maintain safety.</li> <li>- Small organizations with low income.</li> <li>- Low salaries.</li> </ul>
<b>Opportunities</b> What opportunities are open to you? What trends could you take advantage of? How can you turn your strengths into opportunities?	<b>Threats</b> What threats could harm you? What is your competition doing? What threats do your weaknesses expose you to?
<ul style="list-style-type: none"> <li>- Join with others organizations to share expenses, safety information, standardizing rules.</li> <li>AIDC - MEUA - Radar sharing.</li> <li>Dominican Rep. Air Academy to train Inspect. for the region.</li> </ul>	<ul style="list-style-type: none"> <li>- Tourism is main source of revenues, sensible to terrorism, natural events (hurricanes, etc)</li> <li>- Operations without the resources to update old fleet.</li> <li>- Political.</li> </ul>



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<b>Strengths</b>
What do you do well? What unique resources can you draw on? What do others see as your strengths?
1)Implement procedures. 2) possess the ability to identify deficiency. 3)Human Factor 4)To be able to make immediate action. 5)To be able collaborate with the ANSP.(TRANSPARENT) 6)Assist and provide guidance to the ANSP. 7) able to define roles and responsibilities to the ANSP. 8)Ability to use audit tools such as Handbooks and guidance material. 9)To be non-punitive.

<b>Opportunities</b>
What opportunities are open to you? What trends could you take advantage of? How can you turn your strengths into opportunities?
1)Ability to learn from outside organizations to resolve safety issues. 2)Request assistance from outside organizations. 3)Information sharing/Exchange of data. 4) Access to Online / web based data. 5)External Collaboration.

<b>Weaknesses</b>
What could you improve? Where do you have fewer resources than others? What are others likely to see as weaknesses?
1) The authority doesn't resolve compliance and safety issues in a timely manner. 2)Loss of human factor 3)Lack of documentation and manuals. 4)Inadequate SMS training. 5)Non-compliance (not a 100%)

<b>Threats</b>
What threats could harm you? What is your competition doing? What threats do your weaknesses expose you to?
1)Intentional or reckless deviations from standards. 2)Lack of enforcement to prevent occurrences. 3)Misalign priorities. 4)Lack of recurrent training or updated training. 5)Inability to define risks and their levels (LOW,MED,HIGH) 6)Lack of funding. 7)Not paying attention to voluntary reporting. 8)Not giving proper guidance to the ANSP. 9)Inability to find the root cause of the problem.



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