



SAFE SKIES.
SUSTAINABLE FUTURE.

Air Navigation Services(ANS) Safety Oversight Inspector Workshop

Module 9

Procedures for the Classification and Resolution
of Non-Conformities Detected

Module Objectives

That participants analyze and understand the procedures for classifying nonconformities arising from safety oversight activities and the process involved in their resolution (involving both the CAA and the ANSP), using Chapter 10 of the “Guide to Support Safety Oversight of ANSPs” as a reference.

Introduction

- Documentation and classification of nonconformities.
- Relevant elements of the operational safety oversight process.
- Reporting formats.
- What is the purpose of these procedures?

Module Content

Description of the
Procedure

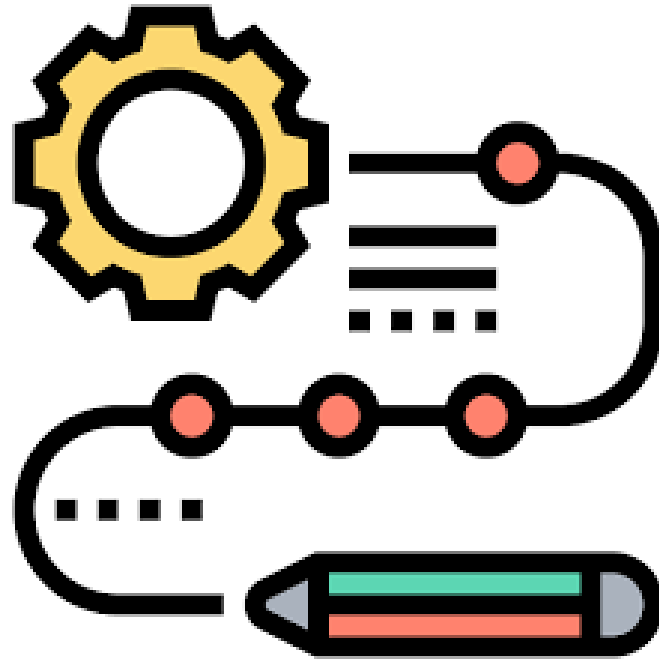
Categories of non-
conformances

Corrective Action Plan
(CAP)

Follow-up procedure to the
ANS CAPs

Lack of attention to the CAP by
the ANSP

Attachments to the
Guidance



DESCRIPTION OF THE PROCEDURE

Step by Step

The Inspector:

1. Documents all detected nonconformances (in the format or form developed for this purpose).
2. Classifies nonconformances (according to the criteria defined by the CAA).
3. Coordinates the reporting of nonconformances to the ANSP with the CAA department/responsible person.
4. Monitors the preparation and submission of CAPs by the ANSP.
5. Reviews and evaluates CAPs submitted by the ANSP for acceptance or to request revisions or clarifications.



CATEGORIES OF NON-CONFORMANCES

Criteria

- For the classification of non-conformances there is a wide variety of criteria that could be used by the CAA, which range from the development of an operational safety risk matrix for its classification or the simplest ones that focus on the aspects of prescriptive compliance.
- we focus on the guidance for the implementation of a simple but effective classification system for non-conformances..
- Based on the qualification received by the non-conformances resulting from the oversight activities, the priority for the implementation of the corrective or mitigation measures is defined, as well as the deadlines for the implementation of the Corrective Action Plans of the non-conformances.

Classification System

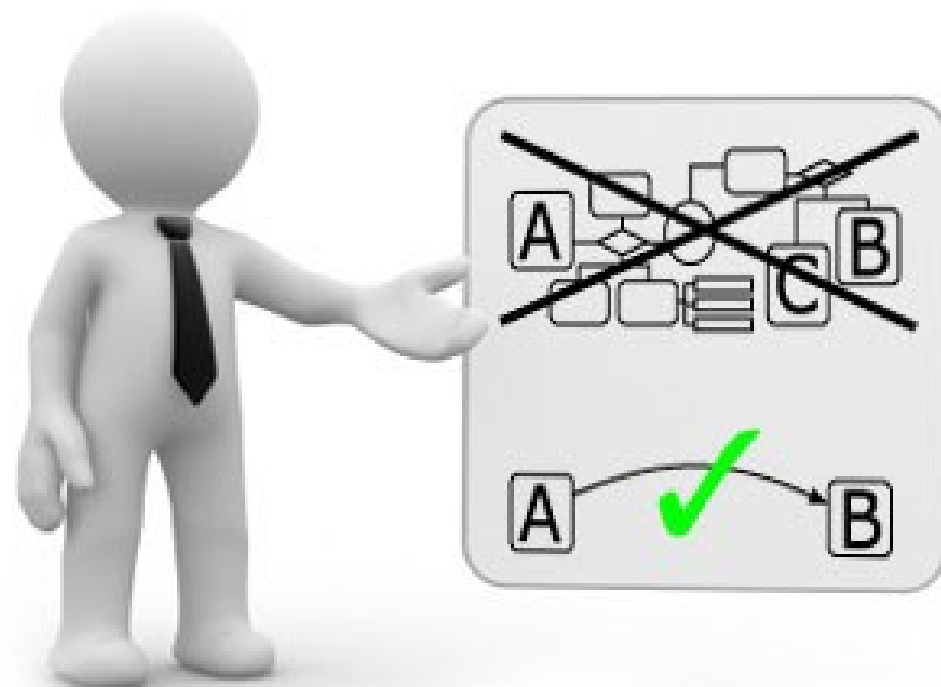
- A or 1.
- B or 2.
- In correspondence with the categorization of non-conformances seen above, the CAA will establish deadlines both for the start of the implementation of corrective actions, and for the eradication of the non-conformance.

What do you interpret from the description of each of these categories?

Establishment of deadlines

- For the establishment of deadlines, it is important to take into consideration the scope of the measure to be implemented and the feasibility of implementation within it, as an example we can take, the time that could require the modification of a manual or procedure, and the time needed to acquire some equipment or technology.
- The deadlines established in the guidance (for each category of non-conformity) are indicative, and each CAA must adopt the deadlines that best fit its operational context.
- What is essential is that the deadlines are defined, included in the Inspector's Manual, and shared with the ANSP.





CORRECTIVE ACTION PLAN (CAP)

CAA

- Establishes the guidelines for the ANSP to prepare CAPs.
- Defines the criteria for accepting or rejecting the CAP.
- Guides the ANSP in preparing the CAP.
- Monitors compliance with the various deadlines of the process.
- Evaluates progress in the implementation of the measures proposed (and accepted) by the ANSP in the CAPs.
- Notifies the ANSP of the acceptance or rejection (with the corresponding reasons) of the CAPs.

ANSP

- Prepare the CAPs in accordance with the provisions of the CAA.
- Submit the CAPs to the CAA for acceptance within the established deadlines.
- Implement the CAPs in accordance with the CAA's acceptance.
- If necessary, request, with advance notice, extensions to the deadlines established by the CAA (with due justification).
- Maintain constant, fluid, and effective communication with the CAA regarding the implementation of the CAPs and the resolution of nonconformities.

Criteria for the development of CAP

Relevant

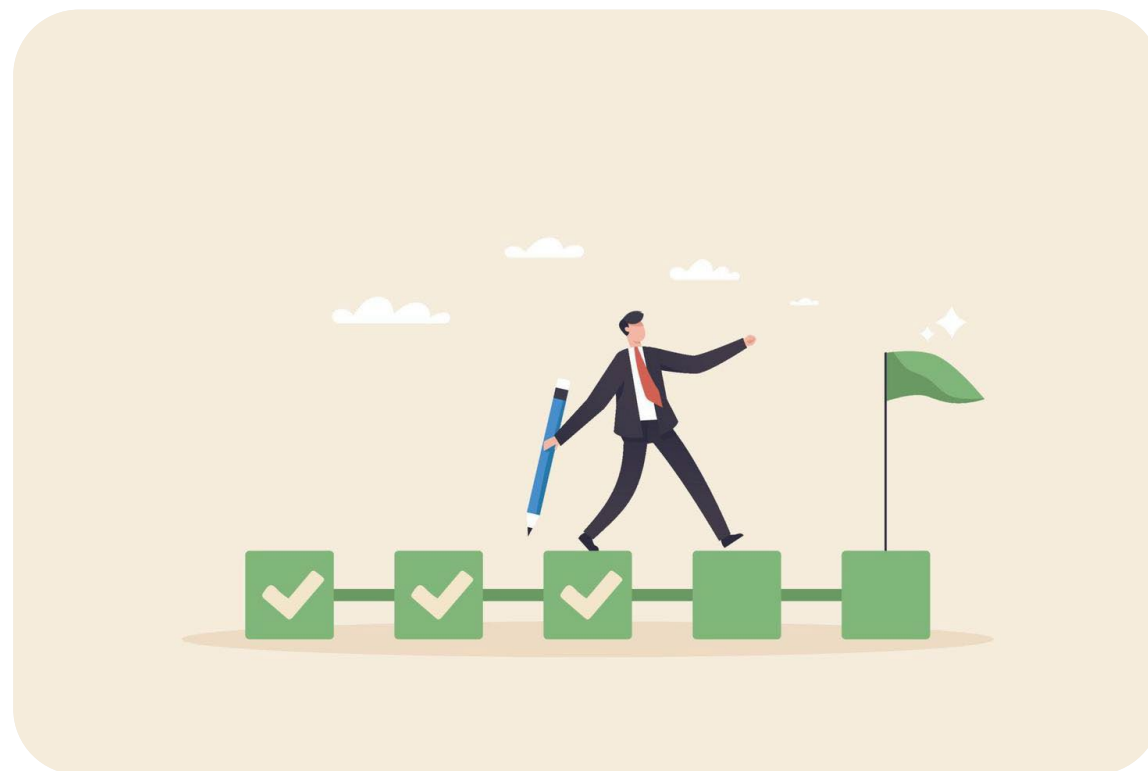
Integral

Detailed

Specific

Realistic

Consistent



FOLLOW-UP PROCEDURE TO THE ANS CAPS

General Information

- As part of the process for the follow-up and resolution of non-conformances, according to what is established in the CAP submitted to the ANSP, the ANSP must submit the documentation that serves as evidence for the closure of the non-conformances within the term established in the CAP.
- The CAA must establish the necessary reminder mechanisms for ANSPs.

Review of Evidence

- Upon receiving the evidence, it must be evaluated by the ANS Inspector(s) of the corresponding area, who will keep a record of it, which could include photos, video and voice recordings, documents, emails, etc., in order to demonstrate the progress of your CAP.

Follow-up Activities

- If necessary, within the follow-up process, and taking into consideration the nature of the non-conformance or non-conformances, oversight activities may be carried out for the follow-up and closure of the non-conformances, for which a format or form should be available..

How could the implementation of the CAP be effectively monitored?

to analyze

- A follow-up activity identifies that the ANSP's CAP implementation has not reached the level necessary to resolve the nonconformity. What should be done?
- Information protection and process transparency.
- The importance of follow-up for the credibility and effectiveness of the SSO.



FAIL

LACK OF ATTENTION TO THE CAP BY
THE ANSP

Doc. 9734, Part A, Chapter 3

“Effective and timely measures taken by the industry should allow operational safety issues to be effectively resolved. Otherwise, the CAA should take appropriate enforcement measures, such as imposing restrictions, suspending or revoking certificates, licenses, or approvals, or imposing financial penalties.”

Policies and Procedures

- Based on the legislation and procedures of the State, the CAA must establish and implement clear, complete and detailed policies and procedures regarding compliance for the use of its inspection personnel. Such policies and procedures should allow for an effective, proportionate, gradual, and consistent approach to compliance by CAA personnel..
- correct implementation of CE 8.

Note. These policies and procedures must be based on State law to have the required validity.

Compliance Measures

- If an ANSP fails to pay due attention to its CAP and fails to correct nonconformities within the timeframes established by the CAA, appropriate and progressive compliance measures should be adopted to ensure the nonconformities are promptly corrected.
- The guide includes a reference to a gradual process for implementing compliance measures, as well as a (non-exhaustive) list of mitigation measures.

Who and how are these measures applied?



ATTACHMENTS

Attachments A-G. Inspection Protocols

[CAA LOGO]		[NAME CAA AND ANS OVERSIGHT UNIT]				
CHECKLIST [INSERT APPLICABLE NATIONAL REGULATION]						
1. Name of the ANSP:					2. Date:	
3. Address:						
4. Name of the director/executive/head responsible:						
5. Lead inspector:						
6. Inspectors: <ul style="list-style-type: none"> • A • B. • C • D 						
7. Chapter 1/A/I... [Insert name of the chapter of the applicable national regulation]						
8. No.	9. Reference	10. Protocol question	11. Response	12. Guidance for review of evidence	13. Status of implementation	14. Evidence /Notes/ Comments
001	[Insert reference to regulation requirement]	Are the provisions of the CAA applied in reference to the structure and organization of the airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Verify: 1. Descriptive manual of the organization 2. ATS Operational Manual 3. Law/code/decree	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/> Not applicable	

Attachment H. Guidance for the preparation of inspection protocols

a. Header

[CAA LOGO]	[NAME CAA AND ANS OVERSIGHT UNIT]
CHECKLIST [INSERT APPLICABLE NATIONAL REGULATION]	

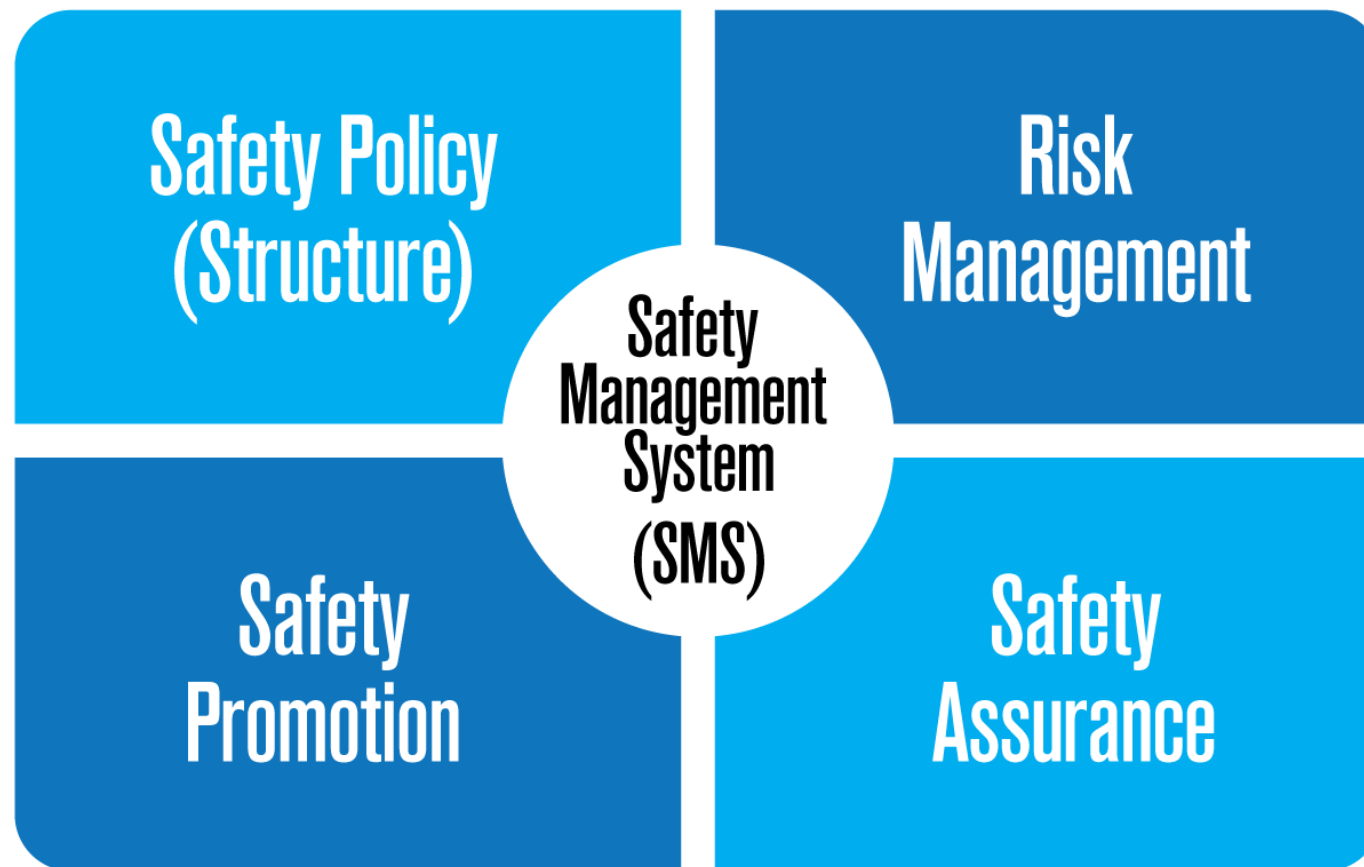
b. Inspection information

1. Name of the ANSP:	2. Date:
3. Address:	
4. Name of the director/executive/head responsible:	
5. Lead inspector:	
6. Inspectors: <ul style="list-style-type: none"> • A • B. • C • D 	

c. Protocol Body

7. Chapter 1/A/I... [Insert name of the chapter of the applicable national regulation]						
8. No.	9. Reference	10. requirement question	11. Response	12. Requirement Question Assessment Guidance	13. State implementation	14. Evidence /Notes/ Comments

Attachment I. Guidance for the verification of SMS implementation phases



¿Preguntas?



¡Muchas gracias!