International Civil Aviation Organization
CAR/SAM Regional Planning and Implementation Group (GREPECAS)
Second Meeting of the Programmes and Projects Review Committee (PPRC/2)
(Lima, Peru, 16-18 July 2013)

Agenda Item 1: **Follow-up status of GREPECAS and PPRC conclusions and decisions in force and air navigation deficiencies in the CAR/SAM Regions with "U" priority**

1.3 Status of air navigation deficiencies in the CAR/SAM Regions with "U" priority

FOLLOW-UP ON THE STATUS OF HIGH-RISK (U) AIR NAVIGATION DEFICIENCIES IN THE CAR/SAM REGIONS

(Presented by the Secretariat)

SUMMARY

This working paper presents the activities carried out by the GREPECAS Secretariat through the NACC and SAM Regional Offices to follow up on the conclusions of the GREPECAS/16 meeting concerning air navigation deficiencies with "U" priority in CAR/SAM States/Territories, Conclusion 1 of the PPRC/1 meeting, and the results of the new revised methodology based on a hazard identification and risk analysis (HIRA) process.

REFERENCES

- Report of the Sixteenth Meeting of the CAR/SAM Regional Planning and Implementation Group (GREPECAS/16), Punta Cana, Dominican Republic, 28 March to 1 April 2011;
- GREPECAS Air Navigation Deficiencies Database (GANDD); and
- Report of the First Meeting of the Programmes and Projects Review Committee (PPRC/1), Mexico City, Mexico, 25-27 April 2012.

ICAO Strategic Objectives:	*A – Safety*

1. Introduction

1.1 The First Meeting of the Programmes and Projects Review Committee (PPRC/1) took note of the insufficient application of the revised methodology for addressing deficiencies, which involves applying hazard identification and risk assessment (HIRA) to deficiencies with a "U" priority. Only Brazil and Cuba had applied the procedure agreed by GREPECAS/16.

1.2 The PPRC/1 meeting made the following observations:

a) One of the possible reasons for not applying the revised methodology could be the lack of understanding of the hazard and risk analysis concepts.
b) Some comments were made regarding GANDD efficiency and the process followed by the Secretariat to resolve deficiencies.

c) The Secretariat should organise training activities within the context of already scheduled events, visits to the Regional Offices by States willing to do it that way, teleconferences, by correspondence, or during missions to States by the Secretariat.
d) The Secretariat should request the States to inform the reasons why they have not processed "U" deficiencies using the HIRA process, and to provide such information to the corresponding Regional Office.

1.3 Accordingly, the PPRC/1 meeting formulated Conclusion 1/1 – *Actions to improve processing of air navigation deficiencies*, urging ICAO to:

a) conduct training activities on the HIRA process related to deficiencies and the mechanism for reporting to the Regional Offices, within the context of existing events, missions to States, State visits to ICAO Regional Offices, teleconferences, etc.;
b) request States to report, by 30 June 2012, the difficulties they may be facing for the implementation of the HIRA process for "U" deficiencies; and
c) urge States to test the centralized database on the ICAO iSTARS platform, following the guidance contained in PPRC/1-WP/16 and provide feedback to the ICAO Regional Office by 31 August 2012.

2. Discussion

2.1 As a follow-up to PPRC Conclusion 1/1, the GREPECAS Secretariat sent State letters through the SAM and NACC Regional Offices regarding the effective implementation of the hazard identification and risk assessment (HIRA) process to address air navigation deficiencies, inviting them to inform on the difficulties they faced for the implementation of the HIRA process and provide feedback on testing of the new centralised database of the ICAO Integrated Safety Trend Analysis and Reporting System (iSTARS).

2.2 Although the Secretariat, through its Regional Offices, requested States and Territories to test the Air Navigation Deficiencies (ANDEF) application in the integrated safety trend analysis and reporting system (iSTARS), which would eventually replace the existing GREPECAS air navigation deficiencies database (GANDD), in late 2012 it was informed that the transfer of information on air navigation deficiencies from the GANDD to the ANDEF scheduled for December 2012 had been postponed until further notice. Consequently, the GANDD continues to be the official application for the storage, updating and reporting of information on deficiencies.

Follow-up in the CAR Region

2.3 In the CAR Region, since the PPRC/1 meeting, several updates and information on deficiencies have been received for Aruba, Barbados, Costa Rica, Cuba, Curacao, El Salvador, United States, France, Grenada, Guatemala, Honduras, Mexico, Nicaragua, United Kingdom, and COCESNA, as reflected in the GANDD in accordance to reports from States and ICAO State missions.

2.4 **Appendix A** to this working paper contains a summary of the 27 "U" deficiencies and the percentage of area covered in the CAR Region. Since the last PPRC meeting, there has been a very positive evolution in the resolution of "U" deficiencies, which dropped by 40% (45 were reported in 2012, compared to the current 27). Most "U" deficiencies (30%) occur in the air traffic management area, followed by aerodromes (AGA) and communications, navigation, and surveillance (CNS) with 26% in each area. This positive response is illustrated in the CRRP/1-CRRP/2 comparative graph, showing that the reduction in "U" deficiencies occurred mainly in AGA and CNS. Likewise:

a) AGA deficiencies dropped to 5 between PPRC/1 and PPRC/2, and 2 new deficiencies were added in June 2012 following an ICAO mission.
b) ATM deficiencies were reduced in 1 between PPRC/1 and PPRC/2, and one new deficiency was added following an ICAO mission.
c) CNS deficiencies were reduced in 2 between PPRC/1 and PPRC/2, and one new deficiency was added following an ICAO mission.

2.5 Likewise, pursuant to PPRC Conclusion 1/1 aimed at improving the processing of air navigation deficiencies, on 17 May, the ICAO NACC Regional Office conducted the Workshop on the Management of Air Navigation Deficiencies. The purpose of this workshop was to better understand the management of air navigation deficiencies, the use of the revised methodology based on the HIRA process, and the use of the GANDD, and to conduct practical HIRA exercises as required by the Secretariat. The presentations, exercises, and executive summary of this workshop are available in the web page of the event: http://www.mexico.icao.int/Meetings/2013ANDeficienciesWorkshop.html. Several suggestions were made to improve the HIRA and GANDD management:

HIRA:

a) Update the description of the HIRA process, revising the title and the description of fields, such as field 8 on *Potential consequences of the deficiency*
b) Review the revised methodology based on the safety requirements contained in Annex 19
c) The need was identified for an ICAO workshop on SSP and SMS implementation, in line with the new *Safety Management Manual* (Doc 9859) and Annex 19, for the application of the HIRA process
d) There is a need to train the States on the practical use of the HIRA methodology
e) International organisations, like IATA, IFALPA, etc. should be encouraged to provide regional safety information for ICAO to address this issue
f) Consideration should be given to the importance of data analysis for establishing an appropriate risk assessment criterion in order to reduce subjectivity in the analysis.

GANDD:

a) Include a function to add evidence (files) to justify the resolution of the deficiency
b) Include a data export function in the GANDD
c) States should make more use of the GANDD to update information on air navigation deficiencies.

Follow-up in the SAM Region

1.2 **Appendix B** to this working paper contains a comparative table of “U” deficiencies between April 2012 and June 2013. In this regard, it may be noted that the status is almost the same, with very little variation. Out of the 21 “U” deficiencies in April 2012, 20 remain to date. AGA, ATM, CNS, and MET deficiencies remain the same, and the AIS area has one less deficiency.

2. **Suggested action**

2.1 The Meeting is invited to:

a) take note of the information contained in **Appendices A** and **B** to this working paper;

b) based on the results of the Workshop on management of air navigation deficiencies mentioned in paragraph 2.5, consider the convenience of conducting similar events; and

c) analyse other issues it may deem appropriate in relation to this matter.

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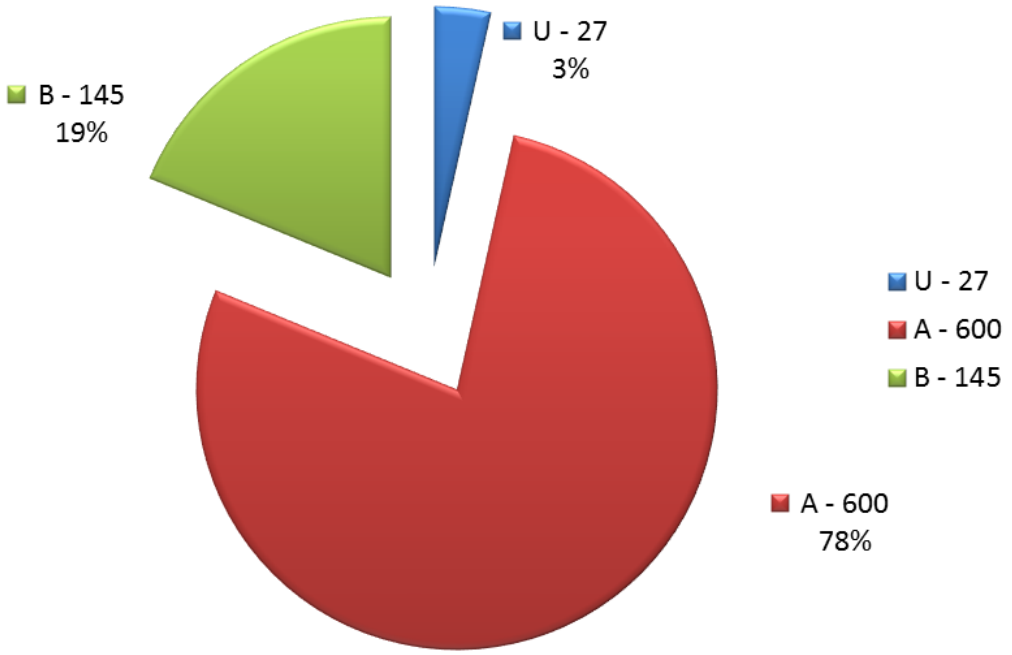
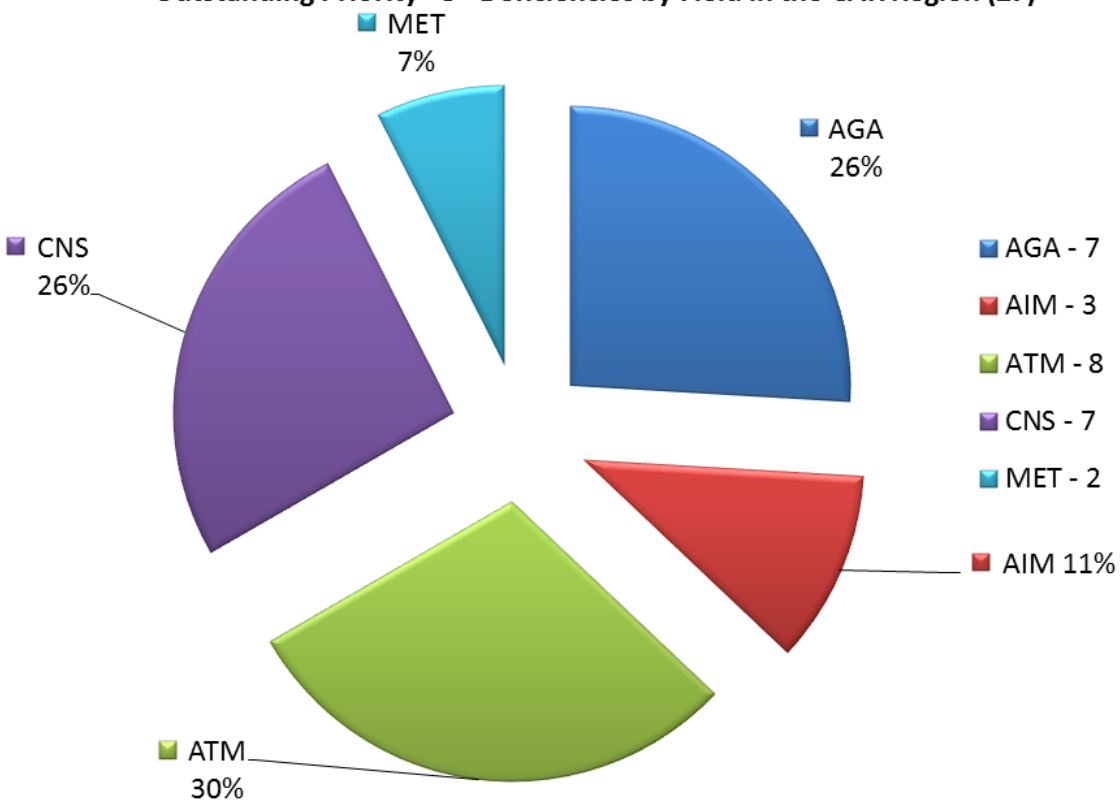
APPENDIX A

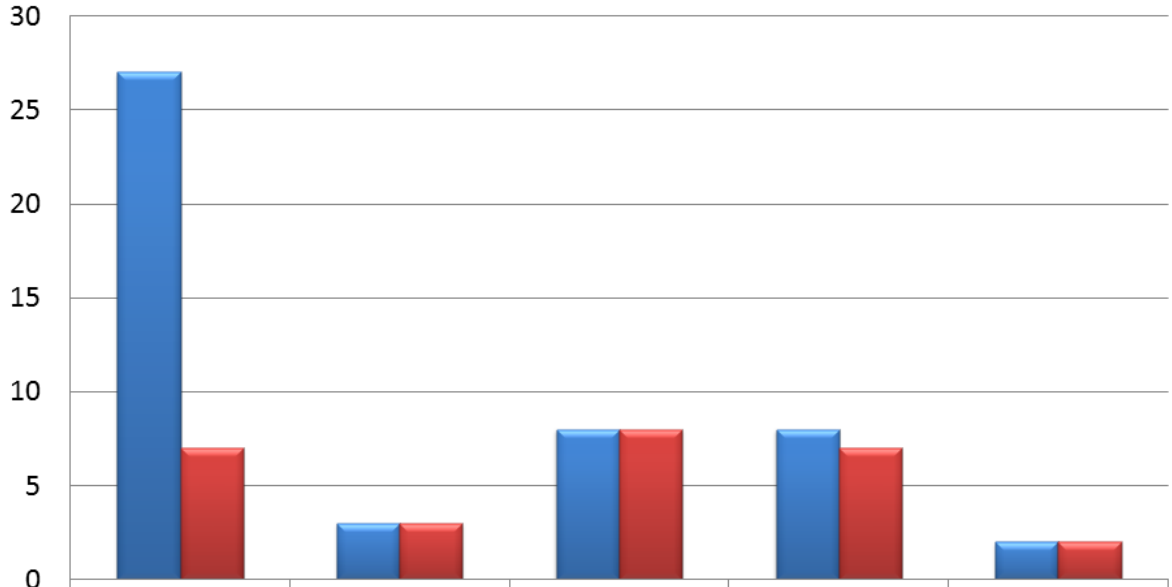
Outstanding Air Navigation Deficiencies by Priority "U", "A" and "B" in the CAR Region (772)



Outstanding Priority "U" Deficiencies by Field in the CAR Region (27)



"U" Deficiencies Status and Changes Between the PPRC/1 and PPRC/2 Meetings - CAR Region



	AGA	AIM	ATM	CNS	MET
2012	27	3	8	8	2
2013	7	3	8	7	2

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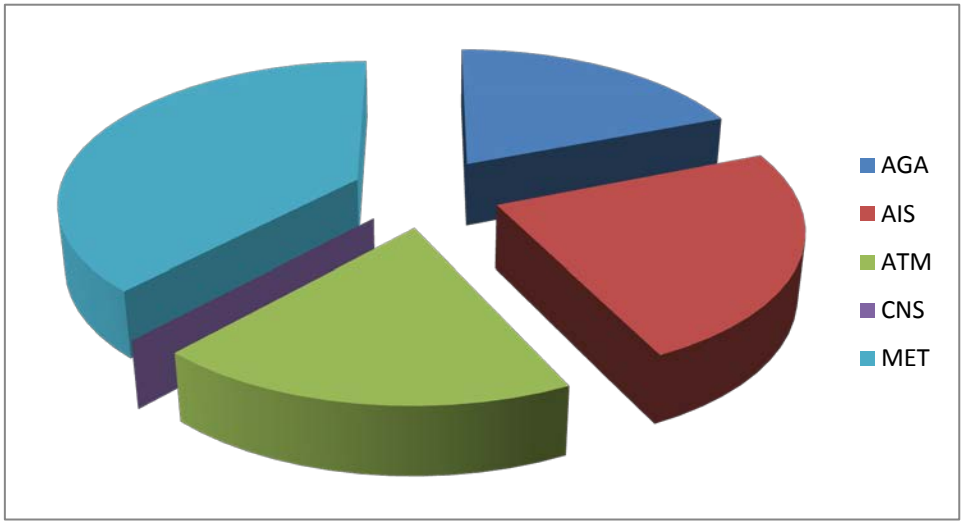
APPENDIX B

TYPE "U" DEFICIENCIES IN THE SAM REGION BETWEEN APRIL 2012 AND JUNE 2013

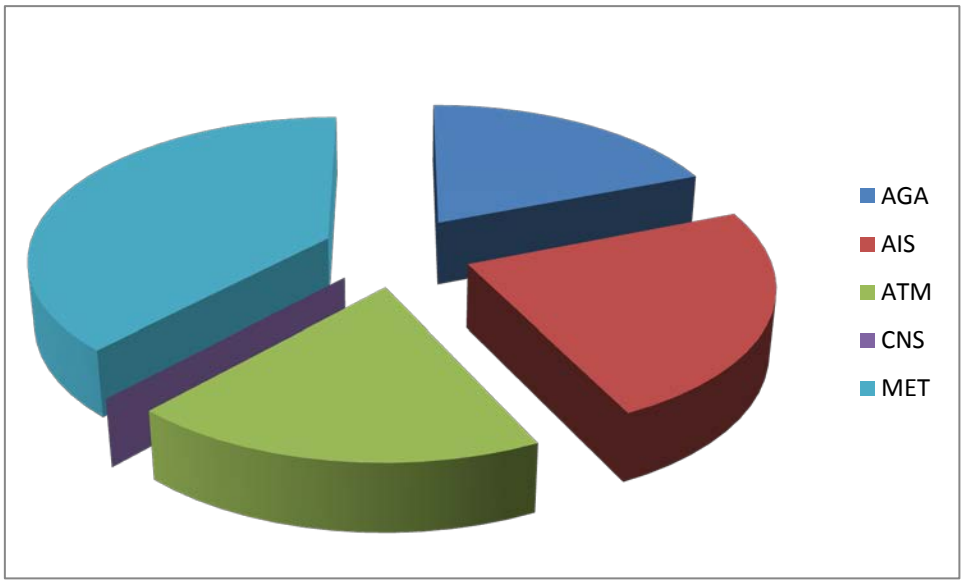
Status of type "U" deficiencies as of April 2012 - SAM Region

AGA	4
AIS	5
ATM	4
CNS	0
MET	8
TOTAL	**21**



Status of type "U" deficiencies as of June 2012 - SAM Region

AGA	4
AIS	4
ATM	4
CNS	0
MET	8
TOTAL	**20**



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