

INTERNATIONAL CIVIL AVIATION ORGANIZATION
FIRST MEETING OF DIRECTORS OF CIVIL AVIATION OF THE
CARIBBEAN REGION (CAR/DCA/1)

(Grand Cayman, Cayman Islands, 8-11 October 2002)

Agenda Item 4: Air Navigation

4.1 ATM Developments

ATS Quality Assurance, ATM Audits and Runway Safety/Runway Incursions

(Presented by the Secretariat)

SUMMARY

This working paper presents to civil aviation authorities of the Caribbean Region information on ATM developments such as: Air Traffic Services (ATS) Quality Assurance Programmes approved by the CAR/SAM Regional Planning and Implementation Group (GREPECAS) for use by States, Territories/International Organizations, Safety Oversight Audits to Annex 11, Air Traffic Services and information on activities related to Runway Safety/Runway Incursions.

References: Report of the GREPECAS/8 Meeting
Report of the CAR/SAM/3 RAN Meeting
Report of the GREPECAS/10 Meeting
Guidance Material for ATS Quality Assurance Programmes in the CAR/SAM Regions
33rd Session of the Assembly

1. Introduction

1.1 This working paper is aimed at presenting, in a consolidated form, several activities of Air Traffic Management (ATM) being carried out in a regional or interregional way in the CAR Region and CAR/SAM Regions respectively, that will allow Directors of Civil Aviation of the CAR Region to have an updated view on the following items: ATS Quality Assurance

Programmes, Safety Oversight Audits to Annex 11, Air Traffic Services and activities related to Runway Safety/Runway Incursions.

2. Discussions

2.1 ATS Quality Assurance Programmes

2.1.1 As a result of an increased awareness of ATS incidents and of their relationship with safety in the CAR/SAM Regions, the recommendations of the Eighth Meeting of the CAR/SAM Regional Planning and Implementation Group (GREPECAS/8) and ATS incident reports received by the Regional Offices, the ICAO NACC and SAM Regional Offices started a programme to reduce ATS incidents, which subsequently served as the basis for an ATS quality assurance programme for both Regions.

2.1.2 In the last years, several meetings of Directors of Civil Aviation of Central America and the Central and Eastern Caribbean discussed matters related to ATS incidents, and, with great concern, recognized the need to take concrete action to overcome existing deficiencies.

2.1.3 The concept of introducing an ATS quality assurance programme in the States was presented to the CAR/SAM/3 Regional Air Navigation (RAN) Meeting (Buenos Aires, October 1999). Following discussions on this subject, it was recommended that ICAO develop guidance material for ATS quality assurance programmes for use worldwide (Rec. 5/36). It also approved Recommendation 5/38 urging States and ATS service providers to implement a quality assurance programme at all ATS units.

2.1.4 The drafting by the ICAO Regional Office in Mexico of the Guidance Material for ATS Quality Assurance Programmes in the CAR/SAM Regions has been the first phase in the development of this material for use worldwide, and can be initially used by CAR/SAM States/Territories and International Organisations as guidance material as approved by GREPECAS/10 Conclusion 10/18. Complete guidance material could be found in the Web-Page: www.icao.int/nacc.

2.1.5 On the other hand, ICAO recently approved Amendment 40 to Annex 11, urging States to implement, by **27 November 2003**, systematic and suitable ATS safety management programmes to ensure that ATS services continue to be provided safely in their airspace and aerodromes. These ATS safety management programmes are closely related to ATS quality assurance programmes.

2.1.6 In order to meet the objectives of the recommendations of the CAR/SAM/3 RAN meeting concerning ATS quality assurance, the ICAO NACC Regional Office has carried out a series of activities related to the subject such as: *ATS Quality Assurance Programme Seminar* (Mexico City, October 2000), *ATS Quality Assurance Workshop - English* (Trinidad and Tobago, November 2001) *ATS Quality Assurance Workshop - Spanish* (El Salvador, June 2002). Another *CAR/SAM ATS Quality Assurance Programme Seminar* is scheduled in Lima, Peru 15 to 18 October 2002.

2.1.7 One of the goals of the ATS quality assurance programme is to provide specific guidelines for reporting, investigating and resolving different types of ATS incidents that affect the quality of ATS services. These programme should be designed to work together with ICAO Standards and Recommended Practices as well as State regulations.

2.1.8 All CAR/SAM States/ATS providers should implement an ATS quality assurance programme. The programme should set forth its purpose, objectives and responsibilities within the State or within the ATS service provider, and should be established by each ATS unit.

2.1.9 The implementation of an ATS quality assurance programme will allow civil aviation authorities of the Caribbean (CAR) Region to meet the first objective of the programme, that is, to minimize ATS incidents while improving the quality of air traffic services.

2.1.10 Based on the above, the following Draft Conclusion is presented for the Directors consideration and approval:

DRAFT
CONCLUSION 1/X - ATS QUALITY ASSURANCE PROGRAMMES

That States/Territories/ATS Providers in the CAR Region:

- a) based on the guidance material for ATS quality assurance programmes approved by the CAR/SAM Regional Planning and Implementation Group, implement an ATS quality assurance programme at ATS units not later than **December 2003**, designating the person responsible who will also be the focal point and coordinator of the programme;
- b) inform the ICAO NACC Regional Office about such designation; and
- c) participate actively at all events that seek to disseminate, provide training in, and implement ATS quality assurance programmes.

2.2 Extension of the ICAO Universal Safety Oversight Audit Programme (USOAP) to Annex 11 – Air Traffic Services

2.2.1 The ICAO NACC Regional Office has performed ATM evaluations to Cayman Islands (November 1997), Bahamas (September 1999), Guatemala (May 2000), Aruba and Netherlands Antilles (June 2000) and Jamaica (July 2000). In 2001 an ATM evaluation programme to States/ATS Providers responsible for the CAR Region FIR was approved, utilizing the methodology of the CAR/SAM Guidance Material on ATS Quality Assurance Programmes. The following ATM evaluations have been carried out: COCESNA (March 2001), Trinidad and Tobago (November 2001), Mexico (January/February 2002) and Cuba (April 2002).

2.2.2 These last evaluations have been useful to find out the status of ATS provision in the Flight Information Regions (FIRs) in charge of the evaluated States/International Organizations in the CAR Region. In this way ATS personnel has been familiarized with this new methodology of ATM evaluations and have been useful as a transition to audits of the ICAO USOAP to Annex 11, Air Traffic Services.

2.2.3 It is known by all of you that the ICAO Assembly in its 33rd Session (Montreal, 25 September to 5 October 2001) through Resolution A 33-8 resolved that the ICAO Universal Safety Oversight Audit Programme be expanded to, among others, Annex 11, Air Traffic Services as of 2004.

2.2.4 In December 2000, there were some thirty Contracting States which had effected an organizational separation between the Air Traffic Services (ATS) regulator and the ATS provider. In the remaining Contracting States, the ATS regulator and ATS provider belong to the same organization, usually the Directorate of Civil Aviation, a Civil Aviation Authority, or a similarly named government department. The trend in the industry is that more States will eventually separate the two responsibilities.

2.2.5 The implication for the Safety Oversight Audits in the ATS area is that the audits need to take into account two different levels, i.e. that of the regulator and that of the ATS provider. Broadly speaking, the provisions of Annex 11 – Air Traffic Services would have to be audited at the regulatory level and the provision of the Procedures for Air Navigation Services – (Doc 4444, PANS-ATM/501) would have to be audited at the ATS provider's level. At the same time, however, the audits must assess the effectiveness of the regulator's oversight vis-a-vis the provisions of Doc 4444 as applied by the ATS provider.

2.2.6 Based on the above, we consider that the ATM evaluations carried out by the NACC Office in the CAR Region since 1997 have achieved that active inspections to ATS facilities be no more an unknown phenomenon for States in the region; and thus be prepared when ATM audits of the USOAP to ATS Services start, as of 2004.

2.3 Runway Safety/Runway Incursions

2.3.1 The NACC Regional Office is organizing a Conference for the NAM/CAR/SAM Runway Safety/Runway Incursions Conference. This event will be held 22 to 25 October 2002 under the co-sponsorship of the Dirección General de Aeronáutica Civil (DGAC Mexico), Aeropuertos y Servicios Auxiliares (ASA) and Servicios a la Navegación Aérea en el Espacio Aéreo Mexicano (SENEAM). The purpose of this Conference is to promote awareness on the subject in the Regions under the ICAO Global Aviation Safety Plan (GASP) objectives.

2.3.2 The Runway Safety/Runway Incursions Conference will include presentations of outstanding speakers in the following areas:

- a) Aerodrome Safety
- b) Air Traffic Management Control (ATM), and
- c) Aircraft Operations (OPS)

2.3.3 With this Conference it is expected that attention be drawn to this important subject in aircraft safety operations in the different airports of the Region and provide valuable

information to States, International Organizations, Operators, Airport Authorities and users in the NAM/CAR/SAM Regions.

2.3.4 This Conference will be conducted in English and Spanish and interpretation services will be provided in both languages. The Tentative Programme of the Conference as well as the Registration Form are presented as **Appendix** to this working paper.

2.3.5 Taking into consideration the aforementioned, the following Draft Conclusion is formulated:

DRAFT
CONCLUSION 1/XX NAM/CAR/SAM CONFERENCE ON RUNWAY
SAFETY/RUNWAY INCURSIONS

Administrations of the CAR Region are urged to attend the NAM/CAR/SAM Conference on Runway Safety/Runway Incursions that will be held in Mexico City from 22 to 25 October 2002.

3. **Suggested Action**

3.1 The Meeting is invited to review the information provided on different ATM aspects mentioned in this working paper, and if appropriate, approve suggested actions concerning the implementation of the ATS Quality Assurance Programmes and Runway Safety/Runway Incursions

- - -