

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

4.3 AGA Developments

STATE AERODROME CERTIFICATION

(Presented by the Secretariat)

SUMMARY

This paper provides the meeting with a status update on the new requirement for State certification of aerodromes with reference to the expansion of the ICAO Universal Safety Oversight Audit Programme (USOAP) to include aerodromes (Annex 14) audits.

REFERENCES

- State Letter AN 4/1.2.18-02/4 dated 7 March 2002 Certification of aerodromes, and safety management systems for aerodromes and air traffic services
- Uniform methodology for the identification, assessment and reporting of air navigation deficiencies (approved by the Council on 30 November 2001)
- Report of the 10th GREPECAS Meeting (Spain, 23 – 27 October 2001)
- Doc 9790, Assembly Resolutions in Force (as of 5 October 2001)
- Assembly — 33rd Session (Montreal, 25 September – 5 October 2001) , Executive Committee, WP/48 - Continuation and Expansion of the ICAO Universal Safety Oversight Audit Programme
- State Letter AN 4/1.2.18-01/36 dated 6 April 2001 Adoption of Amendment 4 to Annex 14, Volume I

1. Introduction

1.1 This paper provides the meeting with a status update on the new requirement for States to certify their aerodromes and the expansion of the ICAO Universal Safety Oversight Audit Programme (USOAP) to include aerodromes (Annex 14). These developments are welcome in a Region where much greater emphasis is required by many States on improving the inadequate condition of facilities, operations and services provided at most aerodromes. The current condition of aerodromes, which in some cases has resulted from neglect by States and aerodrome operators, is evidenced by the extensive and increasing number of urgent and long-outstanding deficiencies identified and reported for aerodromes in the Region.

1.2 The aerodrome deficiencies are situations which have a negative impact on the safety of aircraft operations. The deficiencies are items of non-compliance with ICAO Annex 14 Aerodromes standards and recommended practices and non-implementation of the required aerodrome facilities and services as specified in the ICAO regional air navigation plan. These include differences to standards notified by States to ICAO when these deficiencies have a negative impact on safety. This process is established in the uniform methodology for the identification, assessment and reporting of air navigation deficiencies approved by the ICAO Council.

1.3 It has been recognised that in many cases these deficiencies are a result of inadequate and ineffective airfield maintenance programmes. It is expected that State certification of aerodromes and ICAO audits will focus greater attention on ensuring the timely correction and future prevention of aerodrome deficiencies. This will contribute significantly to enhancing the level of safety of aircraft operations at aerodromes in the Region.

2. Background

2.1 Amendment 4 to ICAO Annex 14 Volume I, which became applicable on 1 November 2001, includes, amongst others, a new requirement for the certification of aerodromes. The new requirement is for States to certify aerodromes in accordance with the specifications in Annex 14 Volume I, as well as other relevant ICAO specifications, and a national regulatory framework. The certification is based on the submission of an aerodrome manual and evidence of having an aerodrome safety management system. These requirements were introduced as recommended practices applicable from 1 November 2001 and will become Standards on 27 November 2003 for State certification of international aerodromes and on 24 November 2005 for aerodromes to have safety management systems.

2.2 The new ICAO Manual on Certification of Aerodromes (Doc. 9774) was published in October 2001. The manual provides guidance for States (and aerodrome operators) on implementing the new Annex 14 requirements related to the certification of aerodromes. The manual includes chapters on aerodrome certification regulatory system, model regulations, procedures and functions of a regulatory authority. In addition, typical contents of an aerodrome manual, a sample application form and aerodrome certificate, as well as references of those States which have established their national aerodrome certification systems, are provided in the manual.

2.3 The ICAO Assembly at its 33rd Session, held from 25 September to 5 October 2001, adopted the resolution A33-8, included in **Appendix A** to this paper, on the continuation and expansion of ICAO USOAP. The Assembly resolved that the ICAO USOAP be expanded to Annex 14 Aerodromes with these audits to commence as of 2004. The 33rd Session of the Assembly also introduced an amendment to Appendix Q of existing Resolution A32-14 and adopted the new Appendix Q to Resolution A33-14, included in **Appendix B** to this paper, related to the provision of adequate aerodromes, certification of aerodromes and to the introduction of safety management systems for aerodromes.

3. Discussion

3.1 On the basis of draft Conclusions 1/4, 1/5 and 1/6 developed by the GREPECAS Aerodromes and Ground Aids/Aerodrome Operational Planning Subgroup at its 1st meeting held in Bahamas from 12 to 15 June 2001, GREPECAS at its 10th meeting held in Spain from 23 to 27 October 2001 adopted Conclusions 10/44, 10/45 and 10/46 on Aerodrome Certification Implementation, Aerodrome Certification Workshop and Sharing of Information on Aerodrome Certification, included in **Appendix C** to this paper to facilitate their reference. A status report on aerodrome certification implementation based on information provided by States at regional meetings of States and in response to a letter sent to States is included in **Appendix D** to this paper.

3.2 Several States in the Region have commenced, and some have completed, implementation of the new requirement for States to certify aerodromes. It is suggested that States which have not commenced, or are in the process of implementation, consult with those other States which have established an aerodrome certification system, as well as with the ICAO Regional Office and the new Manual on Certification of Aerodromes, for additional guidance, if required.

3.3 Furthermore, ICAO held an Aerodrome Certification Workshop from 13 to 16 May 2002 in Port of Spain, Trinidad and Tobago, for English language States in the CAR/SAM Regions. The workshop was directed by the AGA Section of ICAO Headquarters and coordinated by the ICAO Regional Offices for the NACC and SAM Regions. The workshop presented the new ICAO Manual on Certification of Aerodromes and included an aerodrome certification application evaluation exercise. States also presented national provisions, knowledge and experience in certification of aerodromes, aerodrome safety management systems and the preparation of aerodrome manuals. A similar aerodrome certification workshop for Spanish language States in the CAR/SAM Regions was held in Santiago, Chile, from 24 to 27 September 2002. States which attended the ICAO workshops took advantage of the unique opportunity provided by the workshop to obtain useful additional guidance, clarifications and exchange of knowledge, expertise and experience on aerodrome certification.

4. Conclusion

4.1 It is recommended that States continue to take advantage of the guidance and assistance available from ICAO and States in the Region to implement the new requirement for States to certify aerodromes and in preparation for the ICAO USOAP audits of aerodromes to commence in January 2004.

5. Action by the Meeting

5.1 The Meeting is invited to note the contents of this paper and take any action it considers appropriate to further encourage regional cooperation and the timely implementation by States of the new aerodrome certification requirement. The Meeting is also invited to review the implementation of Conclusions 10/44, 45 and 46. Furthermore, it is requested that States participating in this meeting complete the form included in **Appendix D** to this paper with up-to-date information corresponding to their respective State, and return the form to the Secretariat during the Meeting to enable the results to be presented in the meeting report.

APPENDIX A

33rd SESSION OF THE ASSEMBLY RESOLUTION A33-8

A33-8: Continuation and expansion of the ICAO Universal Safety Oversight Audit Programme

Whereas the ICAO Universal Safety Oversight Audit Programme (USOAP) has been successful in meeting the mandate given by Resolution A32-11;

Whereas the primary objective of ICAO continues to be that of ensuring the safety of international civil aviation;

Whereas promoting the implementation of international standards contributes to this objective;

Recalling the responsibility of Contracting States for safety oversight;

Recalling that the 32nd ordinary session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

Recalling that Assembly Resolution 32-11 requested the Council to present proposals for the funding of the programme on a long-term basis;

Recognizing that the implementation of the USOAP had been instrumental in the identification of safety concerns and in providing recommendations for their resolution;

Recognizing that the continuation and expansion of the USOAP is essential to ensure the adequate implementation of safety-related Standards and Recommended Practices;

The Assembly:

1. *Expresses* its appreciation to the Secretary General on the successful implementation of the ICAO Universal Safety Oversight Audit Programme;
2. *Requests* the Secretary General to continue the USOAP and to complete the remaining audits relating to Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft* and Annex 8 — *Airworthiness of Aircraft*, as soon as practicable;
3. *Requests* the Secretary General to complete the validation of the implementation of the action plans through the conduct of follow-up missions or other means, as applicable;

4. *Requests* the Secretary General to adopt a more flexible approach in the implementation of the Programme on a long-term basis, including the strengthening of the Regional Offices;
5. *Requests* the Secretary General to re-structure the safety oversight audit reports to reflect the critical elements of a safety oversight system, as presented in ICAO Doc 9734 — *Safety Oversight Manual, Part A - The Establishment and Management of a State's Safety Oversight System*;
6. *Requests* the Secretary General to undertake a study on the establishment of an independent quality assurance mechanism to monitor and assess Programme quality and report to the Council;
7. *Resolves* that the ICAO Universal Safety Oversight Audit Programme be expanded to Annex 11 — *Air Traffic Services* and Annex 14 — *Aerodromes* as of 2004;
8. *Instructions* the Secretary General to undertake a study regarding the expansion of the Programme to other safety-related fields, and in particular on the conduct of audits of the core elements of Annex 13 — *Aircraft Accident and Incident Investigation*, as soon as possible, without significantly increasing the cost of the expansion;
9. *Requests* the Council to ensure the long-term financial sustainability of the USOAP, phasing in all of its activities into the Regular Programme Budget, in due course;
10. *Requests* the Secretary General to continue to develop safety oversight-related guidance material to be used by Contracting States as reference manuals;
11. *Urges* Contracting States to accept and respect the primacy of USOAP audit results as meeting the established international Standards, Recommended Practices and Procedures, when considering the need for additional or supplementary safety oversight audits by States; and
12. *Requests* the Council to report to the next ordinary session of the Assembly on the overall implementation of the Programme.

APPENDIX B

33rd SESSION OF THE ASSEMBLY RESOLUTION A33-14 (part)

A33-14: Consolidated statement of ICAO continuing policies and associated practices related specifically to air navigation

Whereas in Resolution A15-9 the Assembly resolved to adopt in each session for which a Technical Commission is established a consolidated statement of continuing policies related specifically to air navigation up to date as at the end of that session;

Whereas a statement of continuing policies and associated practices related specifically to air navigation as they existed at the end of the 32nd Session of the Assembly was adopted by the Assembly in Resolution A32-14, Appendices A to W inclusive;

Whereas the Assembly has reviewed proposals by the Council for the amendment of the statement of continuing policies and associated practices in Resolution A32-14, Appendices A to W inclusive, and has amended the statement to reflect the decisions taken during the 33rd Session; and

Whereas the statement of continuing policies in Resolution A32-14 is hereby superseded;

The Assembly:

1. *Resolves* that:
 - a) the Appendices attached to this resolution constitute the consolidated statement of continuing air navigation policies and associated practices of the Organization as they exist at the close of the 33rd Session of the Assembly; and
 - b) the practices associated with the individual policies in the appendices constitute guidance intended to facilitate and ensure implementation of the respective policies;
2. *Declares* that this resolution supersedes Resolution A32-14 with its Appendices A to W inclusive.

APPENDIX Q

The provision of adequate aerodromes

Whereas major improvements to physical characteristics of aerodromes are required at many locations;

Whereas in certain cases these improvements will involve considerable outlay and it would be inadvisable to plan such work without taking into account future developments;

Whereas States and aerodrome authorities will continue to need to know the general trends in aerodrome requirements which succeeding generations of aircraft will most likely produce;

Whereas many serious problems can be avoided if the operating requirements of new aircraft are such as to permit them to operate economically without further demands on physical characteristics of aerodromes;

Whereas the operation of aerodromes has many advantages, environmental considerations have imposed limitations upon the operation of aircraft at some locations. In view of the capacity problems currently experienced globally, account should be taken of the introduction into service of newer quieter aircraft; and

Whereas there is a growing trend for aerodromes to be operated by autonomous entities, the obligation of States to ensure safe aerodrome facilities and services remains unaffected;

The Assembly resolves that:

1. the technical requirements for aerodromes shall be kept under review by the Organization;
2. there is a need for future generations of aircraft to be designed so that they are capable of being operated efficiently, and with the least possible environmental disturbance, from aerodromes used for the operation of present-day aircraft;
3. States shall undertake certification of aerodromes; and
4. States should ensure that safety management systems are introduced at their aerodromes.

Associated practices

1. In the light of the results of the continuing review mentioned in Resolving Clause 1 above the Council, taking into account the requirement to improve still further existing safety levels, should:

- a) develop additional guidance material on future developments; and
- b) keep Contracting States informed of developments.

2. The Council should continue to draw the attention of aircraft manufacturers and operators to the policy expressed in Resolving Clause 2.

APPENDIX C

GREPECAS/10 CONCLUSIONS RELATED TO AERODROME CERTIFICATION

CONCLUSION 10/44 AERODROME CERTIFICATION IMPLEMENTATION

That States,

- a) should urgently commence preparations for the implementation of the certification of aerodromes in order to be compliant with the new SARPs by 27 November 2003; and
- b) provide an implementation status report to the 2nd AGA/AOP/SG Meeting.

CONCLUSION 10/45 AERODROME CERTIFICATION WORKSHOP

That ICAO hold a workshop on aerodrome certification for the CAR/SAM Regions by June 2002.

CONCLUSION 10/46 SHARING OF INFORMATION ON AERODROME CERTIFICATION

That,

- a) States with aerodrome certification systems provide information on these, in electronic format, to the ICAO Regional Offices; and
- b) the ICAO Regional Offices distribute this information to all States and International Organisations in the CAR/SAM Regions.
