



Agenda Item 3: Specific Air Navigation Activities and Developments
3.1 Aerodromes (AGA)

AERODROME CERTIFICATION AND AUDITS

(Presented by the Secretariat)

SUMMARY

This paper presents the latest information reported to ICAO in relation to the implementation of aerodrome certification in States in the CAR Region. The Meeting is invited to update the information for States and Territories in the Eastern Caribbean Region. The paper also presents to the Meeting for information the latest developments in the ICAO preparatory activities for the USOAP audits in Aerodromes.

References:

- ICAO Annex 14 – Aerodromes, Volume I – Aerodrome Design and Operations, 3rd Ed., July 1999, Amendment No. 4 - 1 Nov. 2001
- ICAO Doc. 9774 – Manual on Certification of Aerodromes, 1st Ed. - 2001
- ICAO Report of the 11th GREPECAS Meeting (Brazil, December 2002)
- ICAO Council Working Paper C-WP/11952 dated 28/01/03 – Action Plan for the Conduct of Audits in the Areas of Expansion.
- ICAO Council Working Paper C-WP/12005 dated 05/05/03 – Continuation of the ICAO Universal Safety Oversight Audit Programme – Progress Report on the Preparatory Work for the Conduct of Audits in the Areas of Expansion
- ICAO State Letter AN 19/9-03/53 dated 30/05/03 – Expansion of the ICAO Universal Safety Oversight Audit Programme – State Aviation Activity Questionnaire

1. Introduction

1.1 A status report on aerodrome certification implementation in the CAR Region based on information provided by States at regional meetings and in correspondence with the ICAO NACC Regional Office is included in **Appendix A** to this paper.

1.2 GREPECAS at its 11th meeting held in Brazil in December 2002 adopted the following Conclusion:

CONCLUSION 11/11 AERODROME CERTIFICATION IMPLEMENTATION

That States,

- a) should urgently implement the aerodrome certification process in order to be compliant with the new standard by 27 November 2003; and*
- b) provide an implementation status report to the AGA/AOP/SG/3 Meeting in September 2003.*

1.3 The ICAO Universal Safety Oversight Audit Programme (USOAP) Preparatory Work Plan for the Expansion of the Programme to Annexes 11, 13 and 14 is presented in **Appendix B** to this paper.

1.4 The ICAO USOAP Air Traffic Services, Aircraft Accident and Incident Investigation and Aerodromes State Aviation Activity Questionnaire (SAAQ) was sent to States in a State Letter dated 30 May 2003. The SAAQ is presented in **Appendix C** to this paper and the deadline for States to complete and submit it to ICAO is **31 August 2003**. The SAAQ can be found in electronic format, completed and submitted online on the Safety Oversight Audit Section's web page of the ICAO-Net. If unable to do so, States can use fax, courier or airmail to submit the completed SAAQ.

1.5 The ICAO Draft Memorandum of Understanding (MoU) between States and ICAO regarding Safety Oversight Audit is presented in **Appendix D** to this paper. The Draft MoU has recently been reviewed by the ICAO Council and once finalised, it will be sent to States for signature and return to ICAO.

1.6 The ICAO Vacancy Announcement for a Standards and Procedures Officer, Aerodromes, Air Routes and Ground Aids for the Safety Oversight Audit Section of the Air Navigation Bureau at ICAO Headquarters is presented in **Appendix E** to this paper. The deadline for applications is 30 July 2003.

1.7 Further to the ICAO Aerodrome Certification Workshop held in Trinidad and Tobago in May 2002, the ICAO NACC Regional Office, in cooperation with the United States, is planning to hold an Airport Certification Inspector Workshop in Miami in September 2003. The invitation letter to States/Territories is presented in **Appendix F** to this paper.

1.8 With regard to the order of conducting the ICAO USOAP Annex 11, 13 and 14 audits, the Council has established the following criteria:

- a) requests of Contracting States to be audited;
- b) level of reported compliance with Annex SARPs found in Part III of the pre-audit questionnaire;
- c) whether an organizational structure to provide oversight has been established in the State;
- d) whether a safety management system has been established in the State;
- e) level of aviation activity;
- f) aircraft accident and incident rate;

- g) historical trend on the audited level of compliance with Annex SARPs related to other Annexes already audited; and
- h) regional balance.

2. Action by the Meeting

2.1 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/Territories of the aerodrome certification requirement. Furthermore, it is requested that States participating in this meeting complete the table included in **Appendix A** to this paper with up-to-date information corresponding to their respective State/Territories, and submit this to the Secretariat during the Meeting to enable the results to be presented in the meeting report.

Aerodrome Certification Implementation in the CAR Region States/Territories			
State/Territory	Certification System Implementation Progress/Status	Certification Commencement Date	Remarks
Aruba	Implemented	-----	
Bahamas	Did not report to ICAO	?	
Barbados ¹	New legislation addressing aerodrome certification will be effected by December 2002	2003	
Belize ²	An aerodrome licensing system exists which will be modified to be in line with the ICAO specifications	2003	
Costa Rica ²	The revised law was approved in March 2000. It is expected that aerodrome regulations will be finalised by July 2003	2003	
Cuba	Implemented	-----	
Dominican Republic	In the process of amending legislation to include aerodrome certification and develop the associated regulations	2003	
El Salvador ²	The development of aerodrome regulations is ongoing	2003	
France	At the present time, French CAA is including basic legislation about certification in civil aviation laws	French CAA has planned to perform audits on French major airports (8 in 2003 and 7 in 2004)	French CAA homologates civil airports since 1997. The French homologation is very like certification, but without SMS and with some little differences
Guatemala ²	The revised law was approved in December 2001. It is expected that the corresponding aerodrome regulations will be finalised in 2003.	2003	

Aerodrome Certification Implementation in the CAR Region States/Territories			
State/Territory	Certification System Implementation Progress/Status	Certification Commencement Date	Remarks
Haiti ¹	The regulations for aerodrome certification and the licensing system are in preparation and to be completed by June 2003	2003	
Honduras ²	It is expected that the revised law will be approved by national congress. It is expected that the development of aerodrome regulations will be finalised by 2003. CAA personnel is being trained and preventive aerodromes audits are being undertaken	2003	
Jamaica ¹	Implemented	-----	
Mexico	The official Mexican standards are in the process of validation. Verification units to be established.	2003	
Netherlands Antilles	The Council of Ministers has passed aviation legislation - Government Decree "Civil Aviation Safety Oversight" which requires all airports within the Netherlands Antilles engaged in international air services to be certified by 27 November 2003. Aerodrome Manual Working Group established to prepare airports.	2003	
Nicaragua ²	It is expected that the revised law will be approved and the aerodrome regulations will be finalized in 2003.	2003	
OECS ¹ Antigua and Barbuda Dominica Grenada Saint Kitts and Nevis Saint Lucia Saint Vincent and the Grenadines	Aerodrome regulations are in preparation	2003	
Trinidad and Tobago ¹	Trinidad and Tobago is unable to enact any new legislation at this time as Parliament cannot be convened. The new legislation for aerodrome certification is still pending.	2003	

Aerodrome Certification Implementation in the CAR Region States/Territories			
State/Territory	Certification System Implementation Progress/Status	Certification Commencement Date	Remarks
United Kingdom ³ Anguilla British Virgin Islands Cayman Islands Montserrat Turks and Caicos	A partial aerodrome certification/licensing system is in place which will be replaced by new regulatory powers and systems including aerodrome certification.	2003	
United States Puerto Rico US Virgin Islands	Implemented.	-----	

¹ CARICOM member States of Regional Aviation Safety Oversight System (RASOS) have approved the establishment of an Aerodrome Certification Working Group (AC/WG) to provide support to States for aerodrome certification to be implemented by November 2003 and prepare for ICAO USOAP Aerodromes audits to commence in 2004.

² Central American member States of COCESNA have approved the expansion of ACSA to provide oversight support to States for ICAO Annexes 11, 13, 14 and 17, including aerodrome certification to be implemented in all States by November 2003.

³ The United Kingdom Civil Aviation Authority has established the Air Safety Support International (ASSI) to help provide a civil aviation safety regulation system in the UK Overseas Territories. It is responsible for supporting the Territories' existing authorities in the safety regulation of all aspects of civil aviation, including the licensing of personnel and the certification of aircraft, airlines, airports and air traffic control.

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APPENDIX B

ICAO Universal Safety Oversight Audit Programme Preparatory Work Plan for the Expansion of the Programme (2003)																		
ID	Task Name	Qtr 1, 2003			Qtr 2, 2003			Qtr 3, 2003			Qtr 4, 2003			Qtr 1, 2004			Qtr	
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	
1	Phase 1 - PREPARATORY WORK																	
2	Recruitment and briefing of Consultants																	
3	Development of Pre-audit Questionnaire, Audit Protocols and Auditor Training Courses																	
4	Pre-audit Questionnaire, Parts I and II																	
5	Development																	
6	Review																	
7	Translation																	
8	Publication and dispatch to States																	
9	Response from States																	
10	Review and integration of responses																	
11	Pre-audit Questionnaire, Part III																	
12	Development																	
13	Review																	
14	Translation / other language versions																	
15	Publication																	
16	Dispatch to States to be audited, 1st Semester of 2004																	
17	Audit Protocols																	
18	Development																	
19	Review																	

ICAO Universal Safety Oversight Audit Programme Preparatory Work Plan for the Expansion of the Programme (2003)												
ID	Task Name	Qtr 1, 2003	Qtr 2, 2003	Qtr 3, 2003	Qtr 4, 2003	Qtr 1, 2004	Qtr 2, 2004	Qtr 3, 2004	Qtr 4, 2004	Qtr 1, 2005	Qtr 2, 2005	Qtr 3, 2005
20	Translation / review of translated material	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov
21	Publication											
22	Dispatch to States to be audited, 1st Semester 2004											
23	Training Course											
24	Development											
25	Review											
26	Test-run											
27	Memorandum of Understanding											
28	Development											
29	Review											
30	Approval											
31	Amendments to Doc 9734 and Doc 9735											
32	Development											
33	Review											
34	Translation											
35	Publication and dispatch to States											
36	Audit Findings and Differences Data Base (AFDB)											
37	Modification of the software (programme)											
38	Input of SARPs into the Data Base											
39	Input of Protocols into the Data Base											

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ICAO Universal Safety Oversight Audit Programme Preparatory Work Plan for the Expansion of the Programme (2003)																
ID	Task Name	Qtr 1, 2003			Qtr 2, 2003			Qtr 3, 2003			Qtr 4, 2003			Qtr 1, 2004		
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
40	Administrative actions															
41	Vacancy Notice for recruitment of Staff in Expansion area															
42	Letters to States requesting nomination of short-term seconded auditors															
43	Establishment of audit schedule for 2004															
44	Posting and dispatch of audit schedule for 2004															
45	Communication established between SOA and States to be audited															
46	Dispatch of specific audit materials to States to be audited															
47	Quality Management System Documentation Review (Ongoing process)															
48	Phase 2 - IMPLEMENTATION															
49	Training of auditors															
50	Auditor's training Headquarter's Staff															
51	Auditor's training Regional Office and Seconded personnel - Europe															
52	Auditor's training Regional Office and Seconded personnel - Africa															
53	Auditor's training Regional Office and Seconded personnel - Asia Pacific															
54	Auditor's training Regional Office and Seconded personnel - Caribbean and South America															
55	Auditor's training Headquarter's staff and seconded personnel, North America															
56	Phase 3 - Conducting Audits (February 2004 - December 2008)															



ICAO Universal Safety Oversight Audit Programme

Air Traffic Services

Aircraft Accident and Incident Investigation

Aerodromes

State Aviation Activity Questionnaire

For

[CONTRACTING STATE]

INTRODUCTION

Safety Oversight Audits relating to Annexes 11, 13 and 14

The Safety Oversight Audit process relating to Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*, comprises three distinct phases. In the first phase ICAO will establish a database containing information on States' organization and administration, legislative and regulatory framework, and technical activities in the audit areas. This information, to be submitted by all the Contracting States, will constitute baseline information on each Contracting State and will serve as one of the factors for preparing audit schedules and determining the type of audit to be conducted. The second phase of the audits will constitute the physical safety oversight audits to be conducted by ICAO audit teams. The third phase of the audit process will be the post-audit activities.

In the first phase all the Contracting States shall complete the enclosed State Aviation Activity Questionnaire and submit it to ICAO by the date indicated in the accompanying State Letter. The submitted information, in concert with the factors established for planning and scheduling an audit, will enable ICAO to maintain an up-to-date database on the related State activities, as well as to plan and conduct a structured audit programme. The Contracting States will be required to update the data whenever a change occurs or every two years, regardless of whether they have already been audited or are scheduled for an audit in the future. As the enclosed State Aviation Activity Questionnaire is wide-based and comprehensive, it also solicits information on regulatory and legislative elements that may have been addressed during the initial ICAO Safety Oversight Audits covering Annexes 1, 6 and 8. To ensure a comprehensive approach to the collection and storage of information in ICAO's databases, and also to cover all the regulations pertaining to the audit areas, it is requested that the enclosed State Aviation Activity Questionnaire be diligently completed and forwarded to ICAO.

The second phase of the audit process starts with ICAO making available to Contracting States, at least six months prior to an audit, a Standards and Recommended Practices (SARPs) Compliance Checklist relating to the areas of the audit. The Compliance Checklist will have to be completed and returned to ICAO at least three months prior to the commencement of the audit. The Compliance Checklist will enable Contracting States to review their national regulations *vis-à-vis* international Standards and Recommended Practices and to identify differences that may exist between the national regulations and the relevant ICAO Annex provisions. This will facilitate the States' capability to meet their obligation under Article 38 of the *Convention on International Civil Aviation*. Contracting States will also be provided with the audit protocols, which are the primary tools for conducting the audits. These will be for the States' reference and use and will not need to be returned to ICAO. The second phase of the audit process will be completed at the end of the conduct of the physical safety oversight audit in the State and the provision of an oral briefing by the ICAO audit team.

The third phase will commence with the submission of the draft safety oversight audit report to the audited State. The complete process will be detailed in Doc 9735 – *Safety Oversight Audit Manual*. It will include a review of the draft audit report by the Contracting State concerned and the submission of its comments and an action plan to rectify deficiencies that may be identified by the audits. The third phase will be technically completed after the final audit report is submitted to the audited State and a non-confidential summary report is published and distributed to all the Contracting States. However, Contracting States will still be required to update the fundamental elements of the State

Aviation Activity Questionnaire submitted to ICAO during the first phase of the audit process. This will enable the continuous monitoring of safety oversight activities of the audited State. It will also ensure that any amendments, which may have been adopted after a State has been audited, or any changes, which may have occurred after the first submission of the required information, will be included in the database.

Contracting States are encouraged to access the Safety Oversight Audit Section Website, where all the questionnaires and forms are located and can be completed online. This will enable ICAO to enter the data into the database promptly and ensure the timely updating of information. If unable to do so, States can use routine correspondence to submit a completed questionnaire and forms to ICAO.

Foreword

This document contains the Safety Oversight State Aviation Activity Questionnaire relating to Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation*, and Annex 14 — *Aerodromes* under the responsibility of the Contracting State in accordance with the *Convention on International Civil Aviation*. Submission of a completed State Aviation Activity Questionnaire to ICAO within the determined period will assist ICAO in planning and scheduling safety oversight audits. In addition, it will enable ICAO to maintain an up-to-date database provided by the Contracting States. The availability of information including the essential elements of a State's safety oversight management system will benefit all the Contracting States, as preliminary information will be readily available at ICAO for all the Contracting States to share and build confidence in each other's safety oversight systems.

In order to provide a comprehensive and meaningful audit, the States are strongly encouraged to appoint a State Safety Oversight Audit Coordinator as the primary contact officer with the ICAO Safety Oversight Audit Section (SOA). The appointment of a contact person will enable smooth coordination between various State authorities responsible for the different areas of audit and the ICAO Safety Oversight Audit Section. It is recommended that the State's safety oversight audit Coordinator contact SOA as soon as practicable after an appointment is made in order to establish a line of communication and rapport.

CONTENTS OF STATE AVIATION ACTIVITY QUESTIONNAIRE**Part 1. General**

- 1.1 Organizational
- 1.2 Legislation and Regulation
- 1.3 State Policy on Safety Management

Part 2. Air Traffic Services

- 2.1 Organization and Administration
- 2.2 Legislation and Regulation
- 2.3 Technical Information

Part 3. Aircraft Accident and Incident Investigation

- 3.1 Organization and Administration
- 3.2 Legislation and Regulation
- 3.3 Technical Information

Part 4. Aerodromes

- 4.1 Organization and Administration
- 4.2 Legislation and Regulation
- 4.3 Technical Information

STATE AVIATION ACTIVITY QUESTIONNAIRE

PART 1. GENERAL		
1.1 ORGANIZATION		
GEN 1.1.1	Who is designated as the State coordinator for the respective audit and what is the contact information including E-mail and fax addresses?	
GEN 1.1.2	In relation to air traffic management, aerodromes, and accident and incident investigation, how are the functions of regulation and provision organized within the aviation system?	
GEN 1.1.3	Attach the State's organizational chart (from the Director General of Civil Aviation to the operational levels) for Air Traffic Services (ATS), Aircraft Accident and Incident Investigation (AI) and Aerodrome (AGA) areas. Distinguish when applicable between regulatory & service functions.	(refer attachment)
GEN 1.1.4	What is the normal workweek, e.g. Mon to Fri; Sat to Wed?	_____ to _____
GEN 1.1.5	What are the normal hours of work, e.g. 0900 to 1700; 0730 to 1430?	_____ to _____
GEN 1.1.6	What statutory holidays should be considered as not suitable for planning the audit?	
GEN 1.1.7	Is there an annual vacation period when most of the essential staff may not be available and, therefore, that should be avoided when scheduling the audit?	<input type="checkbox"/> Yes <input type="checkbox"/> No
GEN 1.1.8	What documentation will be required and made available to ICAO audit members to access operational sites for audit purposes, e.g. passes, photo ID?	
GEN 1.1.9	Is access to computers available?	<input type="checkbox"/> Yes <input type="checkbox"/> No
GEN 1.1.10	Is access to the internet available?	<input type="checkbox"/> Yes <input type="checkbox"/> No

GEN 1.1.11	Has the State established a central library for aviation documents?	<input type="radio"/> Yes	<input type="radio"/> No
GEN 1.1.12	Has the State designated an officer to be responsible for maintaining the central library current?	<input type="radio"/> Yes	<input type="radio"/> No
GEN 1.1.13	Is any part of the publications in the library kept electronic?	<input type="radio"/> Yes	<input type="radio"/> No
GEN 1.1.14	What documentation can be provided in electronic format, e.g. legislation, regulations, guidance documents?	(refer attachment)	
GEN 1.1.15	Are there any ICAO technical co-operation projects (ICAO TCB) currently being conducted in the State?	<input type="radio"/> Yes	<input type="radio"/> No
GEN 1.1.16	Is there any plan to implement a TCB project in the near future?	<input type="radio"/> Yes	<input type="radio"/> No

PART 1. – GENERAL (CONT.)		
1.2 LEGISLATION AND REGULATORY		
LEG 1.2.1	<p>Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.) to enable the State to implement the provisions of the Convention on International Civil Aviation and its Annexes?</p> <p>If yes, what is its formal title and when was it promulgated?</p>	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <div> _____ TITLE </div> <div> _____ DATE OF PROMULGATION </div>
LEG 1.2.2	Has the State established procedures for the amendment of its primary aviation legislation?	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>
LEG 1.2.3	When was the primary aviation legislation last amended/re-issued?	_____
LEG 1.2.4	Does the primary aviation legislation provide for the introduction/adoption of air navigation regulations and their promulgation thereof?	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>
LEG 1.2.5	Are the primary aviation legislation, the air navigation regulations, as well as the associated operating regulations and rules available to all users?	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>
LEG 1.2.6	Does the primary aviation legislation make provisions for the establishment of a civil aviation organization and for the appointment of a Director General Civil Aviation (DGCA) or equivalent?	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>
LEG 1.2.7	Does the primary aviation legislation make provision for the delegation of the necessary authority and the assignment of corresponding responsibility to the DGCA to develop, issue and revise operating regulations and rules consistent with the air navigation regulations and with the provisions of the Annexes to the Convention on International Civil Aviation?	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>
LEG 1.2.8	Is there a procedure for implementing amendments to SARPs of Annexes 11, 13, 14, as well as for listing and notifying the differences, if any, to ICAO?	<div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>

1.3 STATE POLICY ON SAFETY MANAGEMENT			
SMP 1.3.1	Has the State established a safety management policy?	<input type="radio"/> Yes	<input type="radio"/> No
SMP 1.3.2	Has the State established a process for identifying, reviewing and implementing corrective actions in the areas that present high risks to the safety of civil aircraft operations?	<input type="radio"/> Yes	<input type="radio"/> No
SMP 1.3.3	Has the State established a process for coordinating the activity of various regulatory departments within the civil aviation administration?	<input type="radio"/> Yes	<input type="radio"/> No
SMP 1.3.4	Has the State established a process for managing the potential conflict between the safety regulations and the demand for system capacity?	<input type="radio"/> Yes	<input type="radio"/> No
SMP 1.3.5	Has the State established a process for constructively communicating and consulting with industry on matters affecting safety management?	<input type="radio"/> Yes	<input type="radio"/> No
SMP 1.3.6	Has the State established a mechanism for promulgating guidance on civil air navigation regulations to industry?	<input type="radio"/> Yes	<input type="radio"/> No

PART 2. - AIR TRAFFIC SERVICES		
2.1 ORGANIZATION AND ADMINISTRATION		
ATS 2.1.1	Attach a chart of the organizational structure of the Operational Air Traffic System (if not detailed in GEN 1.1.3 above).	(refer attachment)
ATS 2.1.2	Are the air traffic services provided directly by the State or by some other means?	Provided by State <input type="checkbox"/> Other means <input type="checkbox"/>
ATS 2.1.3	If it is State managed, is it part of the CAA or an autonomous authority?	CAA <input type="checkbox"/> Autonomous <input type="checkbox"/>
ATS 2.1.4	If autonomous, by what name is it identified?	
ATS 2.1.5	Are non-national staff recruited and utilized? If yes, what is the percentage of non-national to national staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ %
ATS 2.1.6	How many of the non-national staff are permanent staff?	_____
ATS 2.1.7	By what name is staff identified, e.g. Air Traffic Controllers; Assistants; FDEOs (Flight Data Entry Operators); Technicians (Techs); Data Systems Coordinators (DSCs); admin, clerks, secretaries, etc?	ATC _____ _____ _____ _____ AIS _____ _____ _____ _____ Technical _____ _____ _____ _____ Administrative _____ _____ _____ _____

ATS 2.1.8	Are AIS staff recruited by the ATS provider? By what name are they identified?	<input type="radio"/> Yes <input type="radio"/> No _____
ATS 2.1.9	Are ATC staff recruited by the ATS provider? What is the distribution of the staff (include management and supervision breakdown by responsibility)?	<input type="radio"/> Yes <input type="radio"/> No Management _____ Supervisory _____ Other _____
ATS 2.1.10	Are ATC Assistant staff recruited by the ATS provider? How many assistants are there in the system?	<input type="radio"/> Yes <input type="radio"/> No _____
ATS 2.1.11	Are technical staff recruited by the ATS provider? What is the distribution of the staff (include management and supervision breakdown by responsibility)?	<input type="radio"/> Yes <input type="radio"/> No Management _____ Supervisory _____ Other _____
ATS 2.1.12	What is the number of administrative support staff available to ATS?	_____
ATS 2.1.13	What is the distribution of the administrative support staff (include administration and supervision breakdown by responsibility)?	Administrative _____ Secretarial _____ Clerical _____ Other _____

PART 2. – AIR TRAFFIC SERVICES (CONT.)		
2.2 LEGISLATION AND REGULATORY		
ATS 2.2.1	<p>Has the State developed and promulgated air traffic services legislation/regulations implementing the relevant provisions of Annex 11?</p> <p>If yes, indicate the title of the legislation/regulations and the date when they were enacted and last amended.</p> <p>If not, what method is used to comply with the provisions of Annex 11?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____</p> <p>_____</p> <p>_____</p>
ATS 2.2.2	<p>Has the State established an independent air traffic services provider apart from the civil aviation administration?</p> <p>If yes, indicate the title of the applicable legislation/regulations and when they were enacted and last amended?</p> <p>If not, is there any intention to establish such a body in the future?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
ATS 2.2.3	Has the State filed any differences to Annex 11?	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

PART 2. – AIR TRAFFIC SERVICES (CONT.)			
2.3 TECHNICAL INFORMATION			
ATS 2.3.1	Have the Air Traffic Services been established in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.2	Is the need for air traffic services determined in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.3	Are the portions of the airspace and controlled aerodromes, where ATS is provided, designated in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.4	Has the State classified its airspace for air traffic purposes in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.5	Has the State prescribed required navigation performance (RNP) types?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are RNP types prescribed in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.6	Has the State established and identified ATS units?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are they established and identified in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.7	Has the State established and identified significant points?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are they established and identified in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.8	Has the State established and identified standard routes for taxiing aircraft?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are they established and identified in accordance with Annex 11 and Annex 14 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.9	Has the State established a system for providing information on aerodrome conditions and the operational status of associated facilities?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, is information provided in accordance with Annex 11 and Annex 14 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.10	Are aerodrome and ATS related aeronautical data determined and reported in accordance with Annex 11 and Annex 14 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.11	Has the State established a quality system as referenced in the notes to the relevant provisions in Annex 11 and Annex 14?	<input type="radio"/> Yes	<input type="radio"/> No

ATS 2.3.12	Has the State established a system for coordination between aerodromes, ATS and AIS in accordance with Annex 11 and Annex 14 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.13	Are the minimum flight altitudes determined in accordance with Annex 11 requirements and the criteria contained in Annex 15 Appendix 1?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.14	Has the State established a system to utilize Coordinated Universal Time (UTC) in accordance with Annex 11?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.15	Has the State implemented an ATS safety management programme in accordance with Annex 11?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.16	Has the State selected separation minima? If yes, are the separation minima selected in accordance with Annex 11 requirements?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.17	Has the State established (designated) responsibility for control of flights within airspace? If yes, does the responsibility for control exist in accordance with Annex 11 requirements?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.18	Has the State established a system for providing OFIS (Operational Flight Information Service) broadcasts? If yes, are OFIS and/or ATIS (Automatic Terminal Information Service) broadcasts provided (where applicable) in accordance with Annex 11 requirements?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.19	Has the State established procedures for the notification of Rescue Coordination Centres in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.20	Has the State established procedures for communication within a Flight Information Region? If yes, do the communication facilities exist in accordance with Annex 11 requirements?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.21	Has the State established procedures for communication between Flight Information Regions? If yes, do the communication facilities exist in accordance with Annex 11 requirements?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.22	Has the State established procedures for automatic recording of surveillance data? If yes, do the communication facilities exist in accordance with Annex 11 requirements?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No

ATS 2.3.23	Has the State established a procedure for the provision of meteorological information to air traffic services units in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.24	Has the State established procedures for the provision of information on aerodrome conditions and the operational status of associated facilities in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.25	Has the State established procedures for the provision of information on the operational status of navigational aids in accordance with Annex 11 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.26	Has the State established an air traffic flow management (ATFM) system? If yes, is the ATFM system implemented in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.27	Has the State established a system and procedures for the provision of flight information service and alerting service in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.28	Has the State established a division of responsibility for control between air traffic control units in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.29	Has the State established a requirement for the read-back of clearances in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.30	Does the State make available information, required to determine the lowest flight level needed to ensure adequate terrain clearance in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.31	Has the State established a process for complying with the non-radar separation minima in accordance with the requirements contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.32	Has the State established standard clearances for departing aircraft? If yes, are the clearances standardized in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.33	Has the State established communication failure procedures? If yes, are these procedures established in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No

ATS 2.3.34	Has the State established standard arrival routes (STARs) procedures for arriving aircraft?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are the STARs used in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.35	Has the State established procedures for aerodrome control?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are aerodrome controllers responsible for operations in accordance with the recommendations contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.36	Has the State established procedures for the provision of information to aircraft by aerodrome control towers?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are start-up, taxi and pre-departure procedures applied in accordance with the requirements contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.37	Has the State conducted a safety assessment on the reduction of separation minima in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, when was the last safety assessment conducted?	_____	
ATS 2.3.38	Has the State established procedures for the separation of landing aircraft and preceding landing and departing aircraft using the same runway in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.39	Is the ATM system supported by radar systems?	<input type="radio"/> Yes	<input type="radio"/> No
	If yes, are the State radar system capabilities provided in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.40	Is the backup capability of the radar system provided in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.41	Is the backup capability provided to the communication systems in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.42	Has the State established a plan including procedures for the allocation of SSR codes to ATS units in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.43	Has the State established contingency procedures for the State's facilities in case a failure in ground radio communication is experienced?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.44	Is the surveillance radar used in the provision of aerodrome control service in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.45	Is the surface movement radar used in the provision of aerodrome control service in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No

ATS 2.3.46	Has the State established a system for recording and transmission of information on the progress of flights? If yes, is flight progress information recorded in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.47	Has the State established an alerting service system organized in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.48	Has the State established standardized procedures for coordination and transfer of control of flights?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.49	Are the existing air traffic services messages procedures provided in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.50	Has the State established communication procedures to be provided in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.51	Has the State established a controller-pilot data link communication (CPDLC) system compatible with the provisions contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.52	Has the State established procedures related to emergencies, communication failure and contingencies in accordance with the provisions contained in Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.53	Has the State established other ATC contingency procedures, such as short-term conflict alert (STCA) functions, airborne collision avoidance systems (ACAS), and the minimum safe altitude warning (MSAW) procedures in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.54	Has the State established miscellaneous procedures in relation to military traffic, unmanned free balloons, and the use of repetitive flight plans (RPLs) as required by Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.55	Has the State established a system for reporting air traffic incidents as required by Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.56	Has the State established a system for recording and retention of ATS data required by Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.57	Are the reduced separation minima applied within the air space of the State? If yes, is it applied in accordance with the requirements of Doc 4444?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.58	Are operations on parallel runways (simultaneous use of runways) carried out in any of the aerodromes in the State?	<input type="radio"/> Yes	<input type="radio"/> No

ATS 2.3.59	Do all the aerodromes used for international flights meet the operational requirements for an aerodrome control tower?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.60	Does the State publish information on application of separation minima in the AIP?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.61	Has the State established reporting mechanisms for ACAS performance monitoring?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.62	Does the State apply reduced vertical separation minima (RVSM) of 300 M (1 000 FT) in any part of air space under its control?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.63	Has the State established procedures for action in the event of an air-ground communication failure as required by Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.64	Has the State established special procedures applicable in designated airspaces, such as RVSM transition areas, as required by Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.65	Is air traffic flow management (ATFM) organised in accordance with the requirements of Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.66	Does the State apply procedures for area navigation (RNAV) operations? If yes, is the conformance verified in accordance with the requirements of Doc 7030?	<input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No
ATS 2.3.67	Has the State established a system for the verification of navigation performance crosschecking procedures in accordance with the requirements of Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.68	Has the State established a system for the verification of navigation performance capability as required by Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.69	Has the State established a process for verifying whether the aircraft and operators are approved for operation in RVSM airspace in accordance with the requirements of Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.70	Has the State established monitoring mechanisms for vertical separation as required by Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.71	Has the State established a system or procedures for verifying conformance of airlines to the navigation and height keeping performance in accordance with the RVSM requirements contained in Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.72	Has the State established a system or procedures for verifying conformance of airlines to the navigation performance requirements in accordance with those contained in Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No

ATS 2.3.73	Has the State established monitoring mechanisms for minimum navigation performance specifications (MNPS) in accordance with the requirements contained in Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.74	Does the State provide information regarding special procedures applicable in designated airspaces including the organised track system (OTS) in accordance with the requirements contained in Doc 7030?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.75	Is there an officer responsible for assessing documents, evaluating experience and checking examination results in order to establish whether the applicants have fulfilled the requirements for being licensed or rated?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.76	Has the State established procedures for the issuance of licences and ratings on the basis of foreign licenses?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.77	Have any specific procedures been established for the validation of licenses for personnel?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.78	What methods are used to ensure the maintenance of competency of licensed personnel: 1. Recency requirements 2. Testing 3. Recurrent training 4. Other? _____	<input type="radio"/> Yes <input type="radio"/> Yes <input type="radio"/> Yes	<input type="radio"/> No <input type="radio"/> No <input type="radio"/> No
ATS 2.3.79	Is there a system in place to ensure the medical fitness of a licence holder in accordance with Annex 1 requirements?	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.80	Are there any air traffic services training centres available in the State? If yes, what type of training is offered by the training centres? _____	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.81	Has the State established a system for the certification and inspection of training centres related to ATS? If not, what are the sources of trained and qualified personnel for air traffic management? _____	<input type="radio"/> Yes	<input type="radio"/> No
ATS 2.3.82	Has the State established a method for verifying the quality of training received by its nationals in foreign training centres?	<input type="radio"/> Yes	<input type="radio"/> No

PART 3. - AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION		
3.1 ORGANIZATION AND ADMINISTRATION		
AI 3.1.1	Attach a chart of the organizational structure of the aircraft accident and incident investigation system (if not detailed in GEN 1.1. 3 above)	(refer attachment)
AI 3.1.2	Indicate the name, location, address and phone numbers of the State aircraft accident/incident investigating authority (Ref. Appendix 2, Chapter 4, Doc 9756).	
AI 3.1.3	Has the State established regional accident/incident investigating offices? If yes, how many regional offices are established and where are they located?	<input type="checkbox"/> Yes <input type="checkbox"/> No _____
AI 3.1.4	Indicate the number of accident investigators employed by the investigating authority.	Headquarters Regional Offices Full-time _____ Part-time _____
AI 3.1.5	Indicate the number of administrative staff employed by the investigating authority.	Headquarters Regional Offices Full-time _____ Part-time _____
AI 3.1.6	Have experience and qualification requirements been established for appointing an investigator?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AI 3.1.7	Is there a training policy and programme for accident investigators?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AI 3.1.8	Does the investigating authority have access to a metallurgic laboratory?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AI 3.1.9	Does the investigating authority have access to a flight recorder laboratory?	<input type="checkbox"/> Yes <input type="checkbox"/> No

AI 3.1.10	List functions that may be contracted to other agencies.	_____	_____
		_____	_____
		_____	_____
AI 3.1.11	Does the State provide an investigation field kit to be used by investigators?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.1.12	Has the State promulgated legislation on Occupational Health and Hazards?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.1.13	How many accidents and incidents have been investigated over the past three years?	Accidents _____	_____
		Incidents _____	_____
AI 3.1.14	Has the State's investigating authority conducted any investigations involving participation of other States?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.1.15	Has an Accident Investigation Policy and Procedures Manual been developed for accident/incident investigation?	<input type="radio"/> Yes	<input type="radio"/> No

PART 2. - AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION (CONT.)		
3.2 LEGISLATION AND REGULATORY		
AI 3.2.1	Has the State developed and promulgated aircraft accident and incident investigation legislation/regulations implementing the relevant provisions of Annex 13? If yes, indicate the title of the legislation/regulations and the date when they were enacted and last amended.	<input type="checkbox"/> Yes <input type="checkbox"/> No <hr/> <hr/>
AI 3.2.2	Has the State filed any differences to Annex 13?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AI 3.2.3	If the State has not promulgated aircraft accident and incident investigation legislation/regulations, on what basis are the investigations conducted to comply with the provisions of Annex 13?	<hr/> <hr/>
AI 3.2.4	Has the State established an independent statutory body or accident investigation organization that is separate from the civil aviation administration? If yes, indicate the applicable title of the legislation creating the statutory body or organization. If not, is there any intention to establish such body in the future? If not, which organization is responsible for the investigation of accidents?	<input type="checkbox"/> Yes <input type="checkbox"/> No <hr/> <hr/> <input type="checkbox"/> Yes <input type="checkbox"/> No <hr/> <hr/>
AI 3.2.5	To whom and at what level does such statutory body or accident investigation organization report its findings?	<hr/> <hr/>
AI 3.2.6	Are there any additional authorities that participate in aircraft accident and incident investigation (e.g. Ministry of Justice, Ministry of Labour)? If yes, please provide the list of such authorities.	<input type="checkbox"/> Yes <input type="checkbox"/> No <hr/> <hr/>
AI 3.2.7	In addition to the accident and incident investigation in accordance with Annex 13, is there a parallel judicial (or other) investigation by other authorities?	<input type="checkbox"/> Yes <input type="checkbox"/> No

PART 3. - AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION (CONT.)			
3.3 TECHNICAL INFORMATION			
AI 3.3.1	Are the definitions of Accident, Causes, Incident, Investigation, Safety Recommendation and Serious Incident the same or very similar to the Annex 13 definitions?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.2	Does the State have regulations and procedures in place that will allow it to discharge its responsibilities as State of Occurrence with regard to conducting an investigation of an aircraft accident or incident in accordance with Annex 13, paragraph 5.4.1?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.3	Are any judicial or administrative proceedings to apportion blame or liability conducted separately from any investigation under the provisions of Annex 13?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.4	Does the State have procedures in place to dispatch accident/serious incident notifications to ICAO and other States involved in accordance with Annex 13, Chapter 4?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.5	Are there any procedures in place to ensure compliance with the ADREP reporting provisions of Annex 13, Chapter 7?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.6	Are the flight recorders information and data used in accident and incident investigations in accordance with Annex 13, paragraphs 5.7 and 5.8?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.7	Are CVR recordings and transcripts, and certain other information protected from disclosure in accordance with Annex 13, paragraph 5.12?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.8	Does the State provide for the participation of accredited representatives and their advisors in an investigation in accordance with Annex 13, paragraph 5.25?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.9	Is the format of the Final Report in accordance with the appendix to Annex 13?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.10	Are the Final Reports released in accordance with Annex 13, paragraph 6.5?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.11	Are the Final Reports available on a Web site? If yes, provide the URL.	<input type="radio"/> Yes	<input type="radio"/> No _____
AI 3.3.12	Are the Final Reports forwarded to ICAO in accordance with Annex 13 regulations?	<input type="radio"/> Yes	<input type="radio"/> No

AI 3.3.13	Do the State's procedures provide for the issuance of safety recommendations at any time during the investigations in accordance with Annex 13 requirements, paragraph 6.8?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.14	Has the State established a mandatory incident reporting system in accordance with Annex 13, paragraph 8.1?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.15	Has the State established a voluntary incident reporting system in accordance with Annex 13, paragraph 8.2?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.16	Is the voluntary reporting system non-punitive and providing protection to the sources of the information in accordance with Annex 13, paragraph 8.4?	<input type="radio"/> Yes	<input type="radio"/> No
AI 3.3.17	Has the State established an accident and incident database in accordance with Annex 13?	<input type="radio"/> Yes	<input type="radio"/> No

PART 4. - AERODROMES		
4.1 ORGANIZATION AND ADMINISTRATION		
AGA 4.1.1	Attach a chart of the organizational structure of the Aerodrome Regulator (if not detailed in GEN 1.1.3 above)	(refer attachment)
AGA 4.1.2	What is the total number of Aerodrome Regulatory staff? What is the breakdown by function and where are they located?	<p>_____</p> <p>Management _____</p> <p>Technical _____</p> <p>Non-technical support _____</p>
AGA 4.1.3	How many of them are permanent staff?	_____
AGA 4.1.4	How many of them are non-permanent or temporary staff?	_____
AGA 4.1.5	Are non-national staff recruited and utilized? If yes, what is the ratio of non-national to national staff?	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____</p>
AGA 4.1.6	Is there a clear functional distinction between regulation and provision?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.1.7	Are the aerodromes owned and operated by the State or private companies?	<p>State <input type="checkbox"/></p> <p>Private <input type="checkbox"/></p>
AGA 4.1.8	If some are owned and operated by the State and others by private companies, which is the predominant group?	<p>State <input type="checkbox"/></p> <p>Private <input type="checkbox"/></p>
AGA 4.1.9	Is this ownership profile changing? If so, towards which group?	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>State <input type="checkbox"/></p> <p>Private <input type="checkbox"/></p>
AGA 4.1.10	Are there standard titles by which senior airport staff are identified, e.g. Director or Airport Manager? If so what are they?	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____</p> <p>_____</p>

AGA 4.1.11	Provide the number of aerodromes/heliports in the State used for commercial purposes.	International operation: State- owned Private Other Aerodromes _____ _____ _____ Heliports _____ _____ _____ Domestic operation State- owned Private Other Aerodromes _____ _____ _____ Heliports _____ _____ _____
AGA 4.1.12	How many of those aerodromes provide ATC services? List aerodrome towers which provide:	State- owned Private Other International _____ _____ _____ Domestic _____ _____ _____ Total _____ _____ _____ Full ATC service _____ Flight information _____ Other information _____
AGA 4.1.13	Do all the aerodromes have apron management services? For those which do, does the apron management service form a part of the aerodrome control tower responsibility?.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.1.14	Are certified aerodromes grouped or categorized? If yes, indicate the nature of the group or categories.	<input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.1.15	For these aerodromes indicate by group, category or individually, if appropriate and possible: <ul style="list-style-type: none"> • The largest and heaviest aircraft using them. • The mix of aircraft, for example, international air-carriers and GA flight training. • The level of night use compared to day use. Identify any of these that are military aerodromes, which are certified and available for civil international operations.	
AGA 4.1.16	Identify other military aerodromes in the State that are made available for civil international operations, but are not certified.	

PART 4. - AERODROMES (CONT.)		
4.2 LEGISLATION AND REGULATORY		
AGA 4.2.1	Has the State developed and promulgated aerodrome legislation/regulations implementing the relevant provisions of Annex 14? If yes, indicate the title of the legislation/regulations and the date when they were enacted and last amended.	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____
AGA 4.2.2	If the State has not promulgated aerodrome legislation/regulations, what method is used to comply with the provisions of Annex 14?	_____ _____
AGA 4.2.3	Has the State established independent aerodromes service providers apart from the civil aviation administration? If yes, indicate the title of the applicable legislation/regulations and when they were enacted and last amended.	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____
AGA 4.2.4	If no independent aerodromes service provider exists, is there any intention to establish such a body in the future?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.2.5	Does the State require aerodromes to be certified in accordance with Annex 14? If yes, is the certification process in accordance with Doc 9774?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.2.6	Does any certification process include local airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.2.7	What factors are considered when determining certification needs? <ul style="list-style-type: none"> • Aircraft size • Number of seats • Type of flight • Level of activity • Other (explain) 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
AGA 4.2.8	To whom are the certificates granted?	_____
AGA 4.2.9	Are the certified aerodromes required to submit an Aerodrome Manual in accordance with Annex 14 requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No

AGA 4.2.10	Has the issue of competence and resources of aerodrome operators been addressed by the regulatory authority?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.2.11	Is there a national regulatory requirement for certified aerodromes to have a Safety Management System (SMS) in operation in accordance with Annex 14, Chapter 1 provisions? If not, will there be such a requirement by November 2005?	<input type="checkbox"/> Yes <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> No
AGA 4.2.12	Will SMS requirements be coordinated with other regulated areas, e.g. ATS and aircraft operations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.2.13	Do the regulations provide for: <ul style="list-style-type: none"> Restricting, suspending or revoking of an aerodrome certificate? Environmental considerations? 	<input type="checkbox"/> Yes <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> No
AGA 4.2.14	Has the State filed any differences to Annex 14?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

PART 4. - AERODROMES (CONT.)			
4.3 TECHNICAL INFORMATION			
AGA 4.3.1	Is the condition of runways determined, monitored and promulgated in accordance with Annex 14, Chapter 2 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.2	For aerodromes used for international operations, do the apron provisions including lighting, marking, size and separation meet the capacity needs of the aircraft operators, as well as the aerodromes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.3	Are the facilities at aerodromes, used for international operations, provided in accordance with Annex 14?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.4	Do these facilities meet the needs of the aircraft operators?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.5	Has the State established a quality system for aeronautical data as referenced in the notes to the relevant provisions in Annex 14, Chapter 2?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.6	Has the State established a system for coordination between aerodromes, ATS and AIS in accordance with Annex 14, Chapter 2 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.7	Are movement areas, including runway surfaces constructed and maintained in accordance with Annex 14, Chapter 3 and Chapter 9 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.8	Are taxiway separation distances in accordance with Annex 14, Chapter 3 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.9	Do the distances between holding bays, runway-holding positions and road-holding positions meet Annex 14, Chapter 3 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.10	Is the airspace around the aerodromes free from obstructions in accordance with Annex 14, Chapter 4 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AGA 4.3.11	Are the visual aid facilities in accordance with Annex 14, Chapter 5 provisions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	If not, will they be replaced before January 2005 where specified in the Annex?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

AGA 4.3.12	<p>Do runway specifications at international aerodromes fully meet applicable Annex 14, Chapter 3 provisions in respect of:</p> <ul style="list-style-type: none"> • Runway width • Runway shoulders • Strip length • Strip width • Grading • Runway End Safety Areas (RESA)? 	<p>Runway width</p> <p><input type="radio"/> Yes <input type="radio"/> Yes, with differences to Annex 14 <input type="radio"/> Yes, with some exemptions to national requirements <input type="radio"/> No</p> <p>Runway shoulders</p> <p><input type="radio"/> Yes <input type="radio"/> Yes, with differences to Annex 14 <input type="radio"/> Yes, with some exemptions to national requirements <input checked="" type="radio"/> No</p> <p>Strip length</p> <p><input type="radio"/> Yes <input type="radio"/> Yes, with differences to Annex 14 <input type="radio"/> Yes, with some exemptions to national requirements <input type="radio"/> No</p> <p>Strip width</p> <p><input type="radio"/> Yes <input type="radio"/> Yes, with differences to Annex 14 <input type="radio"/> Yes, with some exemptions to national requirements <input type="radio"/> No</p> <p>Strip graded area</p> <p><input type="radio"/> Yes <input type="radio"/> Yes, with differences to Annex 14 <input type="radio"/> Yes, with some exemptions to national requirements <input type="radio"/> No</p> <p>Runway End Safety Area</p> <p><input type="radio"/> Yes <input type="radio"/> Yes, with differences to Annex 14 <input type="radio"/> Yes, with some exemptions to national requirements <input type="radio"/> No</p>
AGA 4.3.13	<p>Has the State provided secondary power supplies in accordance with Annex 14, Chapter 8?</p>	<p><input type="radio"/> Yes <input type="radio"/> No</p>

AGA 4.3.14	Has the State established standards for marking unserviceable areas and areas of work in progress?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.15	Has the State established a system of monitoring visual aids to ensure lighting system reliability in accordance with Annex 14, Chapter 8 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.16	Are the surface movement guidance and control systems provided in accordance with Annex 14, Chapter 8 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.17	Are the fences and security lighting provided in accordance with Annex 14, Chapter 8 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.18	Do the maintenance performance objective levels meet Annex 14, Chapter 9 provisions at all aerodromes used for international operations?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.19	Have emergency planning and rescue procedures been established for all aerodromes providing passenger and cargo services in accordance with Annex 14, Chapter 9 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.20	Are all the aerodromes provided with the fire fighting services in accordance with Annex 14, Chapter 9 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.21	Has the State established an arrangement between the national security agency and the aerodrome regulatory staff?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.22	Are human factor principles incorporated into the aerodrome design and operating processes in accordance with Annex 14 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.23	If there are exemptions to national requirements, is there a process established for determining acceptability, recording and reviewing the exemptions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.24	Has the State established a national bird-strike reporting system in accordance with Annex 14, Chapter 9 provisions?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.25	Has a process been established for reporting, reviewing and following up aerodrome related incidents and accidents?	<input type="radio"/> Yes	<input type="radio"/> No
AGA 4.3.26	Has the State established a programme to provide aerodrome facilities in accordance with Regional Navigation Plans?	<input type="radio"/> Yes	<input type="radio"/> No

APPENDIX D

C-WP/12005

Appendix

DRAFT

**MEMORANDUM OF UNDERSTANDING (MOU) BETWEEN STATE [LONG NAME] AND
THE INTERNATIONAL CIVIL AVIATION ORGANIZATION (ICAO)
REGARDING SAFETY OVERSIGHT AUDIT**

Whereas the 32nd Assembly of ICAO in Assembly Resolution A32-11 directed the Council to establish the ICAO Universal Safety Oversight Audit Programme (USOAP), providing for regular, mandatory, systematic and harmonized safety audits to be carried out by ICAO, that such universal safety oversight programme shall apply to all Contracting States, and that greater transparency and increased disclosure be implemented in the release of audit results;

Whereas the 32nd Assembly urged all Contracting States to agree to audits to be carried out upon ICAO's initiative, but always with the consent of the State to be audited, by signing a bilateral Memorandum of Understanding with the Organization;

Whereas the 33rd Assembly requested 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;

Whereas the 33rd Assembly resolved that the USOAP be expanded to Annex 11 — *Air Traffic Services* and Annex 14 — *Aerodromes* as of 2004;

Whereas the 33rd Assembly also instructed 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; and

Whereas the Council during the eleventh meeting of its 165th session agreed that the expansion of the USOAP to Annexes 11 and 14, as endorsed by the 33rd Session of the Assembly, be further expanded to include Annex 13 in its entirety and not solely its core elements.

IT IS AGREED AS FOLLOWS:

1. Pursuant to Assembly Resolutions A32-11 and 33-8, State [long name], hereafter referred to as State [abbreviated name], hereby agrees to the conduct of a safety oversight audit by an ICAO safety oversight audit team in the areas pertaining to Annexes 11, 13 and 14 to the *Convention on International Civil Aviation* (Chicago, 1944), on the dates established by ICAO as published in its yearly schedule of audits, unless justified reasons lead the parties to mutually agree on other dates.
2. No change in the annual schedule of audits will be allowed within sixty calendar days prior to the starting date of the audit of the State, except for a compelling reason, which has to be submitted to the President of the ICAO Council for his consideration.
3. State [abbreviated name] agrees to submit a completed State Aviation Activity Questionnaire. In addition, State [abbreviated name] agrees to complete the Compliance Checklist, which contains information on the implementation of the specific provisions of the relevant Annexes, and forward it to ICAO prior to the commencement of the audit.
4. The ICAO Regional Office accredited to State [abbreviated name] will be actively involved in the safety oversight audit process.

5. The safety oversight audit team will be comprised of experts in the fields of air traffic management, aerodromes and ground aids, and accident and incident investigation, or in any other related discipline that might be required for the audit. The composition of the team (names and qualifications) will be provided to the civil aviation administration of the State prior to the safety oversight audit.
6. The team members will have command of one of the ICAO languages and a good working knowledge of English. Every effort will be made to ensure that at least one of the team members will have command of the ICAO language chosen by the State.
7. State [abbreviated name] and ICAO accept that the audit will be conducted in accordance with the guidelines and principles set forth in the *Safety Oversight Audit Manual* (Doc 9735), as amended.
8. Without prejudice to other privileges and immunities applicable to ICAO as a Specialized Agency of the United Nations, and its personnel, all members of the ICAO audit team shall be immune from legal process in respect of words spoken or written and all acts performed by them in their official capacity.
9. State [abbreviated name] agrees to facilitate the audit by making appropriate staff from its civil aviation authority (CAA) or any relevant entity responsible for safety regulation, air traffic services, aerodrome facilities and aviation accident prevention and investigation, available for interview by the safety oversight audit team. State [abbreviated name] will be required to take the necessary measures to facilitate the work of the safety oversight audit team, including interpretation services, local transportation, interviews, paperwork, etc. State [abbreviated name] will also assist the ICAO team with accommodation arrangements and meet the cost of transportation when visits to various locations of the State are required outside the main administrative office.
10. State [abbreviated name] agrees to further facilitate the audit by designating an appropriate person to act as a national coordinator for the audit prior to the commencement of the audit. This person will serve as facilitator and primary point of contact for the audit.
11. The safety oversight audit team will review State [abbreviated name] compliance with the Standards and Recommended Practices (SARPs) set out in Annexes 11, 13 and 14 and relevant provisions in other Annexes, as well as with related Procedures for Air Navigation Services (PANS) and other procedures, and adherence to guidance material and relevant safety-related practices in general use in the aviation industry, as referred to in such material. The safety oversight audit team will also review whether State [abbreviated name] has the organizational structure with the legal status necessary to carry out its safety oversight responsibilities.
12. The safety oversight audit team will review the State's regulatory provisions, examine records and documentation and conduct interviews, in order to make its findings and recommendations, on the basis of safety oversight audit general requirements, as follows:
 - a) consideration of existing national legislation enabling States to enforce the provisions of the *Convention on International Civil Aviation*;
 - b) consideration of existing national regulations enabling States to carry out detailed safety regulation in support of the *Convention on International Civil Aviation* and Annexes 11, 13 and 14 thereto and related provisions in other Annexes, as well as associated ICAO PANS and other procedures, guidance material and relevant safety-related practices in general use in the aviation industry as referred to in such material;

- c) a system for both the certification and the continued surveillance of personnel, air traffic management systems, accident and incident investigation, aerodromes and ground aids, in particular with respect to:
 - i) qualifying air traffic services system personnel, aerodrome personnel, and accident and incident investigators supported by an appropriate organizational and managerial structure;
 - ii) detailed records of training programmes and actual training given to professional staff in the areas of audit;
 - iii) policy on the safety regulation of air traffic services, aerodromes and ground aids, and accident and incident investigation and prevention;
 - iv) availability of appropriate reference material, including ICAO documentation;
 - v) information on which ICAO SARPs and other regulations, as applicable, have been used for the certification of aerodromes;
 - vi) safety management system in place;
 - vii) inspection or surveillance results containing details of technical and operational deficiencies;
 - viii) evidence of procedures for the issuance, approval, suspension and revocation of licences and certificates when unsafe conditions are identified and records of how often action has been taken; and
 - ix) evidence of overall system safety awareness and of a mechanism for accident and incident prevention.
- d) implementation of ICAO SARPs, PANS and other procedures, as well as adherence to guidance material and relevant safety-related practices in general use in the aviation industry as referred to in such material, related to the operation of an air traffic management system, aerodromes and air ground aids, and accident and incident prevention and investigation, in particular with respect to the requirements of an adequate organization, method of control and supervision of air traffic and aerodrome operations, accident investigations and training programmes consistent with the nature and extent of the operations specified.

13. State [abbreviated name] agrees to further facilitate the audit process by:

- a) making all relevant documents, files and information available to the safety oversight audit team;
- b) providing access to facilities and restricted areas at air traffic services, aerodromes and other areas where the audit is expected to be conducted;
- c) providing access to selected personnel involved in the management or provision of air traffic services, aerodrome operations as well as accident and incident investigations;
- d) providing working space with adequate privacy for the audit team;
- e) providing access to a printer, photocopier, scanner and facsimile machine, if available; and

- f) providing access to electronic communication media such as the internet and e-mail, in so far as applicable.
14. Upon completion of the on-site safety oversight audit, the ICAO safety oversight audit team will provide a detailed debriefing on the audit results to government officials as well as senior management and other higher officials, as applicable, of the civil aviation authority (CAA) of the State, and of other State authorities responsible for the areas of the audit. The briefing shall include an explanation of subsequent activities in the audit process. Before departing the State, the audit team will also provide the CAA with the preliminary audit findings and recommendations.
15. ICAO undertakes to make available to State [abbreviated name] a confidential audit findings and recommendations report within forty-five calendar days after the last day of the audit, if no translation of the report into another ICAO language is required. If such a translation is required, a translated copy will be made available within additional thirty working days. The confidential audit findings and recommendations report will contain:
- a) findings of the audit team requiring remedial action by the State;
 - b) recommendations of ICAO for the resolution of the findings requiring remedial action by the State;
 - c) lack of implementation or non-compliance with ICAO SARPs and related procedures; and
 - d) non-adherence to guidance material and relevant safety-related practices in general use in the aviation industry, as referred to in such material.
16. Should action be necessary to remedy deficiencies, State [abbreviated name] undertakes to start working on the preparation of an appropriate action plan immediately after State [abbreviated name] has been debriefed on the audit and provided with a list of findings and recommendations by the safety oversight audit team, as described in paragraph 14 above. Advice on the preparation and development of the action plan will be provided by ICAO at the request of the State during the preparation period.
17. Should action be necessary to remedy deficiencies, State [abbreviated name] undertakes to provide, within thirty calendar days from the date the confidential audit findings and recommendations report has been made available to the State, an action plan acceptable to the Secretary General of ICAO. The action plan should address the findings and recommendations as contained in the report, providing specific actions and deadlines for the correction of the deficiencies identified during the safety oversight audit. If no required action plan has been submitted, ICAO will contact State [abbreviated name] to determine why an action plan has not been submitted and report its findings to Council.
18. Within thirty days after the submission of an action plan and comments by the audited State on the confidential audit findings and recommendations report, a confidential audit final report will be completed by ICAO and made available to State [abbreviated name] for its review. In addition to the information contained in the confidential audit findings and recommendations report, as detailed in article 15 above, the final report will include a summary of the general findings and the corrective actions proposed by the State.
19. Concurrently with the preparation of the confidential audit final report, a non-confidential audit summary report will be provided to the State. This report will contain an abstract of the overall findings and recommendations resulting from the safety oversight audit, the actions proposed by

State [abbreviated name] to remedy the identified deficiencies, if any, the progress made on the implementation of the action plan, as indicated by the State, and any comments made by the State relevant to the audit process.

20. The State has thirty calendar days after receiving the non-confidential summary report to provide its comments on its contents, after which the summary report will be made available to all Contracting States.
21. Within ninety calendar days after State [abbreviated name] has submitted an action plan, officials from the ICAO accredited Regional Office may conduct a preliminary review to determine the progress made by State [abbreviated name] towards the implementation of the action plan.
22. The obligations and responsibilities for notifying to ICAO any difference, or non-compliance with Standards contained in any ICAO Annex shall rest with State [abbreviated name]. Differences which exist between the national regulations and practices of State [abbreviated name] and ICAO Standards, which have been identified during the course of the safety oversight audit, and which will continue to exist when the final report is issued, shall be deemed to have been notified to ICAO by State [abbreviated name]. ICAO will incorporate these differences in the Supplements to the appropriate Annexes and in any other relevant ICAO safety-related publication.
23. State [abbreviated name] undertakes to remedy the identified safety concerns, and also agrees to any other subsequent safety oversight audit follow-up in due course, to confirm that the recommendations made by ICAO to State [abbreviated name] have been implemented as provided for in the action plan. Such audit follow-ups will lead to the production of a confidential audit follow-up report and a non-confidential audit follow-up summary report providing an updated status on the safety oversight situation in State [abbreviated name]. The latter will be given thirty calendar days to provide its comments on these reports, after which the audit follow-up summary report will be made available to other Contracting States.
24. Notwithstanding the right of the State to appeal the audit findings and the audit process, any difference or dispute concerning the interpretation or the application of this Memorandum of Understanding will be resolved by negotiation between the parties concerned.

**For the Civil Aviation Authority
of State [long name]**

**For the International Civil
Aviation Organization**

Director General

Secretary General

Date

Date

APPENDIX E



Vacancy Announcement

Form 199
(Rev 2/92)

INTERNATIONAL CIVIL AVIATION ORGANIZATION

VACANCY NOTICE PC 2003/18/P-4

DEADLINE FOR APPLICATIONS: 30 July 2003

POST TITLE: STANDARDS AND PROCEDURES OFFICER,
AERODROMES, AIR ROUTES AND GROUND AIDS, SPO/AGA
LEVEL: P-4

DUTY STATION: Montreal
DATE FOR ENTRY ON DUTY: After 1 January 2004
POST NO. AND CCOG CODE: 3221.157/1.N.01.

ORGANIZATIONAL UNIT: Safety Oversight Audit Section, Air Navigation Bureau, Headquarters.

The Safety Oversight Audit Section (SOA) is responsible for the management of the ICAO Universal Safety Oversight Audit Programme (USOAP) which is aimed at ensuring the effective implementation by Contracting States of safety-related Standards and Recommended Practices and associated procedures. The Section is also responsible for analysing audit findings and for determining the impact on aviation safety arising from the lack of effective implementation of the critical elements of safety oversight. It is envisaged that the Section would also provide a quality assurance function, as appropriate, on the basis of audit findings and the results of analyses made.

QUALIFICATIONS & EXPERIENCE - ESSENTIAL:

University degree, preferably in airport management, airport engineering or an aviation-related technical discipline, or equivalent qualifications and experience. A minimum of 10 years of experience working in a civil aviation administration or an airport authority in progressively more responsible positions, including a minimum of five years of practical experience in an aviation safety role at a management level and involving certification duties and the conduct of safety oversight audits or aerodrome inspections. Knowledge of other civil aviation areas. Working knowledge of ICAO and in particular of Annex 14 and related documentation. Fluency in English and the ability to work in French or Spanish. Ability to write clearly and concisely and to present articulate verbal reports. Initiative, judgement, tact, thoroughness and the ability to maintain harmonious working relationships in a multicultural and team environment. Sensitivity to cultural differences and ability to work in different environments. Ability to use personal computers and contemporary software.

QUALIFICATIONS & EXPERIENCE - DESIRABLE:

A postgraduate degree in airport management or airport engineering. Experience in using a systems approach. Certification as an ISO auditor and experience in the implementation of quality management systems and/or safety management systems. Knowledge of ICAO functions, organization and worldwide activities in aircraft operations.

LANGUAGES: Command of one of the languages of the Organization (Arabic, Chinese, English, French, Russian, Spanish) essential and a good working knowledge of one of the others desirable.

MAJOR DUTIES:

1. Prepare for, and participate in, the conduct of safety oversight audit and audit follow-up missions, either as a team leader or as a member, to determine compliance with the Chicago Convention or national regulations, conformance with ICAO Standards and adherence to ICAO Recommended Practices, procedures and good aviation safety practices.

(continued overleaf)

DURATION OF APPOINTMENT: Initial appointment will be on a temporary basis ending 31 December 2004.

REMUNERATION: Level P-4	<u>Rate</u>	<u>Net Base Salary per annum</u>	+	<u>Post Adjustment (net) per annum</u>
	Single	U.S. \$58 041		U.S. \$ 11 956
	Dependency	U.S. \$62 327		U.S. \$ 12 839

Post Adjustment is subject to change.

ICAO staff members are international civil servants subject to the authority of the Secretary General and may be assigned to any activities or offices of the Organization.

THIS VACANCY IS OPEN TO BOTH FEMALE AND MALE CANDIDATES. IN ORDER TO INCREASE THE NUMBER OF WOMEN AT ALL LEVELS, WOMEN ARE PARTICULARLY INVITED TO APPLY FOR ALL VACANT POSTS, AS WELL AS FOR ROSTER EVALUATION FOR FUTURE VACANCIES.

The statutory retirement age for staff entering or re-entering service after 1 January 1990 is 62. Only applicants who are expected to complete a term of appointment will normally be considered.

APPLICATIONS (in all cases quote the Vacancy Notice number) must be made on the ICAO application form in accordance with all instructions. The form, if not available locally, may be obtained from Chief, Personnel Branch, International Civil Aviation Organization, 999 University Street, Suite 4.35, Montreal, Quebec, CANADA H3C 5H7. Fax No. (514) 954-6415, E-mail: recruitment@icao.int or by accessing the ICAO website at www.icao.int. The application form is also available from the ICAO Regional Offices in Bangkok, Cairo, Dakar, Lima, Mexico City, Nairobi and Paris.

PC 2003/18/P-4

MAJOR DUTIES

2. Conduct analyses of audit findings and corrective action plans submitted by States, and participate in the maintenance of the SOA Audit Findings and Differences Database (AFDD) to enable ICAO, States and international organizations to prioritize actions to resolve safety concerns.
3. Develop and review auditing standards, procedures and guidelines for the conduct of safety oversight audits and the updating of ICAO audit standards, procedures and related manuals.
4. Manage a portfolio of Contracting States to ensure the proper coordination, preparation, conduct and reporting of safety oversight audit and audit follow-up missions.
5. Perform quality control on audit and audit follow-up reports and related documentation to ensure consistency and adherence to the established report preparation standards and requirements.
6. Contribute to the improvement of the SDA Quality Management System by applying quality assurance techniques and participating in the conduct of internal audits, in accordance with ISO requirements.
7. Participate in the preparation and conduct of safety oversight-related training courses and seminar/workshops in accordance with the requirements of the Safety Oversight Audit Training Manual.
8. Assist in the timely development and preparation of reports and working papers for the Assembly, the Council and the Air Navigation Commission.
9. Keep abreast of significant trends and developments in the specialized fields of concern to SOA.
10. Perform other related duties as assigned.

SUMMARY OF BENEFITS

1. Salary, Post Adjustment (Cost of Living Allowance) and Dependency Allowance

If the spouse qualifies as being financially dependent on the staff member, net salary and post adjustment are payable at the dependency rate. In addition a dependency allowance at the rate of U.S. \$1 936 per annum per dependent child is payable. If the spouse does not qualify as being financially dependent, but one child qualifies, net salary and post adjustment are payable at the dependency rate in lieu of the child allowance of U.S. \$1 936 per annum in respect of that child.

A staff member having neither a dependent spouse nor a dependent child receives net salary and post adjustment at the single rate.

Where there is no dependent spouse, a single allowance of U.S. \$693 per annum is payable, subject to certain conditions, in respect of a dependent parent, brother or sister.

Salary increments are awarded annually or biennially at the higher ends of the salary scales and at the Director level on the basis of satisfactory service.

2. Education Grant

Under certain conditions an education grant is paid up to a maximum of U.S. \$11 115 per child annually, as well as expenditure for children's education travel to and from the home country or other permissible place of education.

3. Pension Fund

Participation in the United Nations Joint Staff Pension Fund is compulsory and the staff member contributes 7.9 % of his/her pensionable remuneration with the Organization contributing 15.8 %. On separation from the service within five years, the staff member is refunded his/her own contribution with accrued interest. At the Director level, the staff member may opt not to participate in the Pension Fund in which event the Organization would pay to the staff member an amount equal to the amount it would have contributed to the United Nations Pension Fund on a monthly basis.

4. Compensation for Service Incurred Death, Injury and Illness

Compensation is payable in accordance with established rules.

5. Insurance

Headquarters staff participate in the Quebec Medical Insurance Plan. In addition there is a supplemental optional group medical and dental insurance plan. Group medical insurance plans are available to Regional Office staff. A group life insurance plan (optional) is available to all staff.

6. Leave

Six weeks' annual leave accrue each year. Adequate sick leave is available.

7. Home Leave Travel

Upon completion of two years of service, round-trip travel expenses for an expatriate staff member and his/her recognized dependents are paid to enable them to visit their place of home.

8. Travel, Removal of Furniture and Related Expenses

Travel expenses of the staff member and recognized dependents as well as reasonable costs of removal of furniture from the place of home to the duty station are paid. In the case of posts in Regional Offices other than Paris an allowance may be offered in lieu of removal. Also payable is an assignment grant to compensate for expenses incurred in settling in.

On separation from the service, travel expenses of the staff member and recognized dependents as well as reasonable costs of removal of furniture back to the place of home are paid. In addition, a grant to assist in the re-establishment of the staff member in the home country is paid on repatriation.

APPENDIX F

**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

North American, Central American and Caribbean Office

Ave. Presidente Masaryk No. 29 – 3rd Floor

11570, México D.F.

E-Mail: icao_nacc@mexico.icao.int

Date: 10 June 2003

File Ref: N 1/8.1.9.2

E-Mail Ref: **EMX784**

To: CAR States/Territories

From: ICAO RD, México

Subject: **ICAO/US Airport Certification Inspector Workshop (English) for the CAR/SAM Regions**
(Miami, United States, 15 – 19 September 2003)

Dear Sir:

I hereby invite your Administration to the above workshop kindly hosted and conducted by the United States and coordinated by ICAO. The workshop venue is the Crowne Plaza Miami International Airport Hotel, 950 NW Le Jeune Road, Miami, Florida, United States (Tel: + 1-305-446-9000, Fax: + 1-305-447-1189).

The workshop will be focused on airport inspector skills, responsibilities and activities and will assume that the participants have sound knowledge of Annex 14 and Doc. 9774 and that their respective States have already implemented, or are in the process of implementing, the aerodrome regulation and certification framework and procedures. The workshop participants will be limited to State civil aviation authority personnel responsible for aerodrome regulation and certification. The workshop will include practical training on an airport and participation will be limited to 25 participants.

Please find attached the following for your reference and action:

Attachment A Draft Workshop Programme and Schedule

Attachment B Registration Form

The workshop will open on Monday 15 September at 08:00 hrs and is expected to close on Friday 19 September at 12:00 hrs. Participants are requested to make their own accommodation, travel and visa arrangements. However, any difficulties in relation to accommodation may be forwarded to this office. The Crowne Plaza Miami International Airport Hotel has offered a special rate of US \$98.00, plus tax, to the participants, which includes a full breakfast and afternoon complimentary beverages. Participants are asked to contact the hotel directly for reservations (reservation code – FAA/ICAO).

Registration forms should be completed and returned to me as soon as possible. Only registered participants will be informed regarding further general information at a later date. Registration will be accepted up to the limited 25 participant capacity in the sequence registration forms are received from candidates which meet the above requirements and will not be accepted after **1 September** due to the advance security clearance requirements for participant access on the airports to be visited. Participants will also be expected to bring copies of national aerodrome legislation and regulations, ICAO Annex 14 Volume I and Doc. 9774 for their individual reference during the workshop.

If you require any other information on this event, you may contact the ICAO Workshop Coordinator Mr. Michiel Vreedenburgh, ICAO NACC Regional Officer Aerodromes and Ground Aids (mvreedenburgh@mexico.icao.int) or Miss. Claudia Lopez (clopez@mexico.icao.int).

Accept, Sir, the assurance of my highest consideration.

Original signed by

Raymond Ybarra
ICAO Regional Director

- F3 -

ATTACHMENT A

ICAO/US AIRPORT CERTIFICATION INSPECTOR WORKSHOP (ENGLISH) FOR THE CAR/SAM REGIONS
(Miami, United States, 15 – 19 September 2003)
Draft Workshop Programme and Schedule

	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
0800	Intro (1.0)				
0830		Inspection Marking (1.0)	Obstacles (1.0)	Brief on Field Trip	Observations (1.0)
0900	ICAO Briefing (1.0)			Field trip	
0930		Lighting (1.0)	ARFF (1.5)		Enforcement (1.0)
1000	Prep. For Inspection (2.0)				
1030		Pavement (1.0)			Review/ Questions (1.5)
1100			Wildlife (1.0)		
1130		Personnel Sufficiency (0.5)			
1200	Lunch	Lunch	Lunch		End Workshop
1230					
1300	ACM & AEP (2.0)	Runway Strip (1.0)	Ground Vehicles (1.0)		
1330					
1400		Signs (1.0)	Runway Incursions (1.0)		
1430					
1500	In-Briefing (1.0)	Construction (1.0)	NOTAMS (1.0)		
1530					

ATTACHMENT B

ICAO/US Airport Certification Inspector Workshop (English) for the CAR/SAM Regions
(Miami, United States, 15 – 19 September 2003)

REGISTRATION FORM

1. NAME			
2. POSITION			
3. ORGANIZATION			
4. COUNTRY			
5. TEL.			
6. FAX			
7. E-MAIL			
8. ADDRESS			
9. DATE OF BIRTH		10. PLACE OF BIRTH	
11. NATIONALITY		12. PASSPORT NUMBER	
13. PASSPORT ISSUANCE DATE		14. PASSPORT EXPIRATION DATE	

Please return this form to:

ICAO

North American, Central American and Caribbean Office

Attn. Miss Claudia López

Fax: +52 55 52032757

E-mail: clopez@mexico.icao.int