

INTERNATIONAL CIVIL AVIATION ORGANIZATION

Seventh Meeting of the Civil Aviation Authorities of the SAM Region (RAAC/7)

(Salvador, Bahia, Brasil, 01 to 03 July 2002)

Agenda Item 5: **Participation of States in regional activities**

c) **Airport assessment/certification**

(Presented by the Secretariat)

Summary

This working paper presents a quick review on the development of the ICAO aerodrome certification process and then discusses aerodrome certification aspects, mainly based on ICAO Doc 9774 – AN/969 – Aerodrome Certification Manual. Finally, it shows the highlights of the extension of the Universal Safety Oversight Audit Programme (USOAP) for aerodromes.

References:

- ICAO Amendment 4 to International Standards and Recommended Practices, Aerodromes, Annex 14, Volume I, Aerodrome Design and Operation, March 2001;
- ICAO Aerodrome Certification Manual, Doc 9774-AN/969, First Edition, 2001;
- ICAO International Standards and Recommended Practices, Aerodromes, Annex 14, Volume I, Aerodrome Design and Operation, Third Edition, July 1999; and
- ICAO, Sixth Meeting of Civil Aviation Authorities of the SAM Region, Report, Panama, Panama, 18-20 August 1999.

1. Introduction

1.1 Each State is responsible for ensuring the safety, regularity and efficiency of aircraft operations at aerodromes under its jurisdiction. Therefore, when airport operations are entrusted to an operator, it is absolutely necessary for the State to retain its oversight responsibility and make sure that the operator complies with ICAO SARPs and applicable national regulations.

1.2 ICAO is successfully implementing the Universal Safety Oversight Audit Programme (USOAP) with regard to its Annexes 1 (Personnel Licensing), 6 (Aircraft Operations) and 8 (Airworthiness). Furthermore, ICAO will extend this programme to other areas related to Annex 14 (Aerodromes and Ground Aids), Annex 11 (Air Traffic Management) and Annex 13 (Accident and Incident Investigation). Aerodrome audits will begin in 2004, in five-year cycles.

1.3 According to Amendment 4 to ICAO Annex 14, Volume I, “as of 27 November 2003, States, through an appropriate regulatory framework, shall certify aerodromes used for international operations according to the specifications contained in Annex 14, Volume I, and other relevant ICAO specifications”.

1.4 These issues have been considered and discussed at previous meetings of Civil Aviation Authorities of the South American Region, as reflected, respectively, in conclusions 6/2 and 6/4 of the Sixth Meeting, as follows:

Conclusion 6/2 – Airport Oversight: “That SAM States, in order to make sure that privately-managed airports comply with the standards and recommended practices contained in the annexes to the Chicago Convention, establish as soon as possible appropriate mechanisms with ample airport oversight faculties.” (Sixth Meeting).

Conclusion 6/4 – 1.13 – “Finally, the meeting was informed that ICAO continues with the studies required to include the States, airports and air navigation services in audit processes.” (Sixth Meeting).

1.5 This working paper examines the main aspects of the ICAO airport certification process and the extension of the ICAO Universal Safety Oversight Audit Programme (USOAP) for aerodromes. But before, some background information on the development of this subject within ICAO is presented below.

2. Background of the ICAO aerodrome certification process

2.1 In December 1994, the ICAO Safety Oversight Task Force was established pursuant to Resolution A29-13 – *Strengthening of safety oversight*, adopted by the ICAO Assembly at its 29th Session carried out from 22 September to 8 October 1992. The Council, during its seventh meeting at its 145th Session on 7 June 1995, approved the implementation of the ICAO Safety Oversight Programme, which was endorsed by the 31st Session of the ICAO Assembly in October 1995. It became effective in March 1996.

2.2 The initial safety oversight programme was carried out between 1996 and 1998, with the voluntary participation of 67 States, revealing that **problems do exist and are not limited to a single region**.

2.3 The **1997** Conference of Civil Aviation General Directors dealing with a global safety oversight strategy recommended that “the ICAO safety oversight programme be extended in due time to other technical fields, starting with air traffic services, **aerodromes** and support facilities”.

2.4 The Council approved the recommendations of the Conference of Civil Aviation General Directors on 6 May 1998, and the ICAO Assembly, at its 32nd Session, endorsed the Council decisions, which became effective in 1999.

2.5 The Council, at its 159th Session on 15-16 March 2000, examined working paper “C-WP/11290” containing a proposal by the Air Navigation Commission to extend and expand the USOAP after 2001.

2.6 The Council, at its 160th Session on 18 May 2000, recommended the expansion of the Universal Safety Oversight Audit Programme (USOAP).

2.7 The Council, at its 10th meeting of its 162th Session held on 12 March 2001, adopted Amendment 4 to the *International Standards and Recommended Practices – Aerodrome Design and Operations* (Annex 14, Volume I, to the Convention on International Civil Aviation). Likewise, the Council resolved that Amendment 4 would become effective on 11 November 2001.

2.8 Amendment 4 (see also Annex 14, Volume I, paragraph 1.3, page 6) mentioned in paragraph 2.7, sets a **standard** stipulating that, “As of 27 November 2003, the States, through the appropriate regulatory framework, shall certify aerodromes used for international operations in keeping with the specifications contained in this Annex and other relevant ICAO specifications”.

2.9 That same Amendment 4 formulates a *recommendation* stating that “A *certified aerodrome should have a safety management system in place*”. This document also sets a **standard** stipulating that, “By 24 November 2005, certified aerodromes shall have a safety management system in place”.

3. The aerodrome certification process

3.1 The aerodrome certification process has its origin in the Convention on International Civil Aviation, at least if articles 15, 28 and 37 are taken into consideration, as shown below.

- Article 15: “Requires that all aerodromes for public use under the jurisdiction of a contracting State provide uniform conditions for all aircraft of all the other contracting States”; and
- Articles 28 and 37: “Require that each State provide airports and other air navigation facilities in its territory, **pursuant to ICAO standards and recommended practices (SARPS)**”.

3.2 Volume I of Annex 14 to the Convention contains SARPs concerning aerodrome design and operation.

3.3 Each State is responsible for ensuring the safety, regularity and efficiency of aircraft operations at the aerodromes under its jurisdiction. Therefore, airport certification must be applied to:

- Government departments operating state-owned aerodromes;
- Airport authorities or similar corporations fully or partially owned by the state; and
- Aerodromes owned by provincial governments, cities and municipalities.

3.4 For the aerodrome certification process to be successful, it is essential that, if airport operation is entrusted to an operator, States retain oversight responsibilities and make sure that the operator complies with the ICAO SARPs or applicable national regulations.

3.5 Two requirements are essential for airport certification by States, namely:

- Basic aeronautical legislation passed by the State; and
- The existence of an appropriate state body with proper authority to ensure compliance with regulations. Normally, this body is the Civil Aviation Authority (CAA).

3.6 A requirement of the basic aeronautical legislation should be that “the CAA, as the certifying authority, should ensure that the holder of the aerodrome certificate is capable of making sure that the aerodrome, its corresponding airspace and operational procedures are safe for use by aircraft”.

3.7 The basic documents for aerodrome certification are the aforementioned Aerodrome Certification Manual, Annex 14, Volume I and Amendment 4 to Annex 14, Volume I.

3.8 The Aerodrome Manual is an integral part of a certified aerodrome. Therefore, it is the basic document for starting a certification process and should be included in the CAA request form for its approval.

3.9 The Aerodrome Manual should describe in detail the following, and show that it complies with the ICAO SARPs and applicable national regulations.

- Location;
- Facilities;
- Services;
- Equipment;
- Operational procedures;
- Aerodrome organisation and management, including the **Safety Management System (SMS)**; etc.

3.10 The Civil Aviation Authority (CAA) must make sure that the aerodrome offers a safe environment for the operation of aircraft to be served and that the aerodrome operator has the necessary competence and experience to duly operate and maintain the aerodrome.

3.11 Periodic inspections by the Civil Aviation Authority are required to ensure that aerodrome certificate holders fulfill their obligations under the terms of the certificate, with emphasis on the accepted and approved aerodrome manual. In this respect, it is of vital importance that CAAs have duly trained Aerodrome Inspectors.

3.12 The effectiveness of an aerodrome certificate can be permanent or of limited duration, based on State requirements.

3.13 The aerodrome certificate may be suspended if the operator fails to meet the necessary requirements, for instance, if the Safety Management System is not being implemented properly.

3.14 All of the aspects that have been presented in simple terms in this working paper can and should be deeply analysed in accordance with ICAO Doc 9774 – AN/969 “Aerodrome Certification”.

3.15 Figure 01, shown in Appendix A, presents a very simple schematic of aerodrome certification stages.

3.16 All ICAO AGA Officers recently participated in a seminar for training in aerodrome certification and discussion of Doc 9774, in order to be able to respond to State concerns on this matter (Montreal, 8-12 April 2002).

3.17 To dispel all doubts about the aerodrome certification process in the CAR/SAM Regions, a workshop on aerodrome certification for English-speaking States was held in Trinidad and Tobago, on 13-16 May of this year, and another will be held on 24-27 September 2002, in Santiago, Chile, for Spanish-speaking States.

4. **Expansion of the Universal Safety Oversight Audit Programme (USOAP) for Aerodromes**

4.1 The ICAO USOAP was established to:

- Ensure that States meet their safety oversight responsibilities;
- Assist States in the implementation of critical safety oversight elements; and
- Support the principles and spirit of the Convention on International Civil Aviation.

4.2 The documents related to the expansion of the ICAO USOAP Programme are expected to be available in the next 18 months.

4.3 The preparatory work for the expansion of the ICAO USOAP Programme will start in 2003.

4.4 Aerodrome audits will begin in 2004, in five-year cycles. Therefore, it is of vital importance that Amendment 4 to Annex 14, Volume I, be implemented by States as soon as possible.

5. **Conclusions**

5.1 A quick overview was presented on the development of the ICAO Aerodrome Certification process to be implemented pursuant to Amendment 4 to Annex 14, Volume I.

5.2 Amendment 4 sets a **standard** that stipulates that States should certify all international airports as of 27 November 2003. That same amendment *recommends* that “*a certified aerodrome should have a Safety Management System in place*”. This recommendation will become a standard on 24 November 2005.

5.3 Articles 15, 28 and 37 of the Convention on International Civil Aviation are the basis for the implementation of the aerodrome certification programme.

5.4 States have the responsibility of ensuring the safety, regularity and efficiency of aircraft operations in their respective jurisdictions, pursuant to ICAO SARPs and their respective applicable national regulations.

5.5 There are two basic requirements for an aerodrome operator to request its certification, namely: the Aerodrome Manual and the Request Form prescribed by the Civil Aviation Authority (CAA).

5.6 The basic documents for aerodrome certification are: the Aerodrome Certification Manual, Annex 14, Volume I and Amendment 4 to Annex 14, Volume I.

5.7 Aerodrome audits, as part of the expansion of the ICAO USOAP Programme, will start in 2004, in five-year cycles. States should also meet the requirements of the aforementioned Amendment 4.

6. **Suggested action**

6.1 The meeting is invited to examine this working paper and, if deemed advisable, approve the following draft conclusion:

Draft Conclusion 7/X - Aerodrome certification

That SAM States, based on the information presented in this working paper and in accordance with the ICAO Aerodrome Certification Manual, Doc 9774 – AN 969, and related documents:

- a) develop, if they have not done so yet, an intensive programme to meet the requirements of Amendment 4 to Annex 14, Volume I, as soon as possible;
- b) participate in aerodrome certification training programmes, so that their staff may receive training in the conduction of aerodrome certification processes and the analysis of Aerodrome Manuals and Safety Management Systems;
- c) be prepared for the aerodrome audits that will start in 2004; and
- d) implement Safety Management Systems at their aerodromes no later than 24 November 2005, pursuant to Amendment 4 to ICAO Annex 14, Volume I.

APPENDIX A

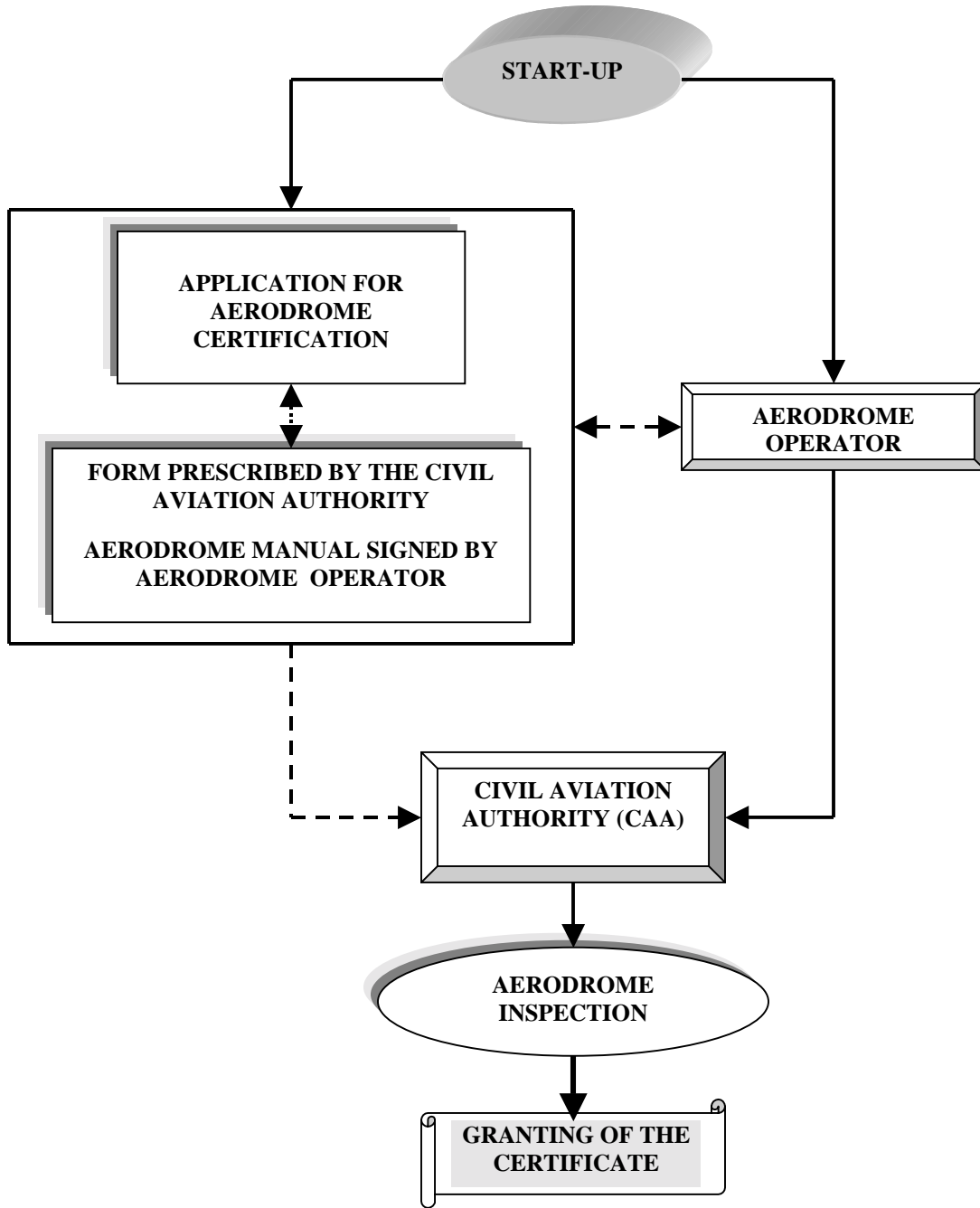


Figure 01 – Simple schematic of the Aerodrome Certification process