



International Civil Aviation Organization

CAR/SAM REGIONAL PLANNING IMPLEMENTATION GROUP (GREPECAS)

**Fifth Meeting of the GREPECAS Aerodromes and Ground Aids /
Aerodrome Operational Planning Subgroup (AGA/AOP/SG/5)**

Montevideo, Uruguay, 20 to 24 November 2006

AGA/AOP/SG/5-WP/10

24/10/06

Agenda Item 3

Review of AGA Deficiencies

3.6 Annex 14 and the ICAO USOAP Audits

REVIEW OF AGA DEFICIENCIES

(Presented by Secretariat)

SUMMARY

Considering Assembly Resolution A35-6, which establishes the development of a global transition to a comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme (USOAP), and taking into account that the aforementioned programme has been implemented for almost two years now; the foreseen compliance has been effective. Furthermore, States and Territories have made significant progress in their local safety oversight standards, together with the preparation and publication of their corrective action plans; this has shown that they have a clear and definitive commitment to carry out proper safety oversight practices.

References:

- Resolutions A35-6 y A35-7 to ICAO Assembly, Doc 9848
8 October 2004
- Draft Reports USOAP
- State Letter, AN 19/9-06/13 24 February 2006

1. Introduction

1.1 Assembly Resolution A35-6 assigned to the Secretary General that, in addition to the global systemic approach, he should guarantee to maintain the main elements of the regulations related to Safety Oversight included in Annexes 1, 6, 8, 11, 13 & 14; that he guaranteed that all the audit mechanisms aspects be noted by all Contracting States; that all the final reports of the USOAP audits be available and that all this information could be accessed through the ICAO Web page (www.icao.int) to get the appropriate information and the differences resulted from the audits.

1.2 The basis of the USOAP is constituted by the systematic evaluation of the 8 critical elements that are:

- **1. Primary aviation legislation.** The provision of a comprehensive and effective aviation law consistent with the environment and complexity of the State's aviation activity, and compliant with the requirements contained in the Convention on International Civil Aviation (CACI);
- **2. Specific operating regulations.** The provision of adequate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation and providing for standardized operational procedures, equipment and infrastructures (including safety management and training systems), in conformance with the Standards and Recommended Practices (SARPs) contained in the Annexes to the Convention on International Civil Aviation;
- **3. State aviation system and safety oversight functions.** The establishment of a Civil Aviation Authority (CAA) and/or other relevant authorities or government agencies, headed by a Chief Executive Officer, supported by the appropriate and adequate technical and non-technical staff and provided with adequate financial resources. The State authority must have stated safety regulatory functions, objectives and safety policies.
- **4. Technical personnel qualification and training.** The establishment of minimum requirements for knowledge and experience of the technical personnel performing safety oversight functions, and the provision of appropriate training to maintain and enhance their competence at the desired level. The training should include initial and recurrent (periodic) training;
- **5. Technical guidance, tools and the provision of safety critical information.** The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and safety critical information, as applicable, to the technical personnel to enable them to perform their safety oversight functions in accordance with established requirements and in a standardized manner. In addition, this includes the provision of technical guidance by the oversight authority to the aviation industry on the implementation of applicable regulations and instructions.
- **6. Licensing, certification, authorization approval obligations.** The implementation of processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a license, certificate, authorization and/or approval to conduct the relevant aviation activity.
- **7. Surveillance obligations.** The implementation of processes, such as inspections and audits, to proactively ensure that aviation license, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State to undertake an aviation-related activity for which they have been licensed, certified, authorized and/or approved to perform. This includes the surveillance of designated personnel who perform safety oversight functions on behalf of the CAA.
- **8. Resolution of safety concerns.** The implementation of processes and procedures to resolve identified deficiencies impacting aviation safety, which may have been residing in the system and have been detected by the regulatory authority or other appropriate bodies.

2. Analysis of the critical elements of Aerodrome and Ground Aids

The implementation of the eight critical elements under the new comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme, and considering the experience from previous audits in the AGA field, there is a trend of a lack of effective implementation of the eight critical elements. Table 1 Defines a pattern of the most common deficiencies found.

Table 1. Critical Elements

| Critical Elements | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|--|---|---|---|---|---|---|---|---|
| Deficiencies | | | | | | | | |
| The following concepts are not mentioned in the Aviation Basic Law: Aerodrome Certification, obstacle restriction and removal, land-use and environmental control. | X | | | | | | | |
| Local regulations to comply with Annex 14 have not been developed. | | X | | | | | | |
| Lack of certification of aerodromes, safety and standards Unit. | | | X | | | | | |
| Personnel responsible for aerodrome certification, safety and standards, is not qualified and trained according to Annex 14. | | | | X | | | | |
| Staff assigned to aerodrome certification and Safety activities; does not have technical guidelines and regulations for their corresponding duties and responsibilities. | | | | | X | | | |
| Staff assigned as AGA Inspector does not have the corresponding license. | | | | | | X | | |
| AGA personnel does not have all the necessary elements to perform an accurate assessment, follow up and oversight of safety standards by airport operators. | | | | | | | X | |
| The SMS Standards have been in force since 27 November 2005. However, they have not been fully and effectively implemented by States and Territories. | | | | | | | | X |

3. USOAP Implementation – Activities Agenda 2005-2007 NAM CAR SAM Regions

For your information please find below the USOAP Tentative Audit Mission Plan (See Table 2)

Table 2. Period 2005-2007 for NAM CAR SAM Regions

| Year | Month | State | Status |
|------|----------|-------------------|-----------|
| 2005 | April | Canada | Completed |
| | October | Panama | Completed |
| 2006 | January | Costa Rica | Completed |
| | June | El Salvador | Completed |
| 2007 | February | Trinidad & Tobago | Pending |
| | October | Estados Unidos | Pending |
| | November | México | Pending |
| | December | Guatemala | Pending |

4. Discussion

4.1 As a result of the lack of legislation and regulation, training, technical guidance and qualified personnel, to certificate aerodromes, safety and standards, according to Annex 14, it is recommended that the States of the Region comply with the aforementioned Annex.

5. Suggested Action

5.1 The Meeting is invited to take note, review and comment on this Working Paper

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