



**Agenda Item 3                      Review of Deficiencies and Air Navigation subjects in the AGA Field**  
**3.2                      Certification of Aerodromes / Safety Management Systems**

**IMPLEMENTATION OF AERODROME CERTIFICATION  
AND SAFETY MANAGEMENT SYSTEMS**

(Presented by the Secretariat)

**SUMMARY**

This working paper addresses the requirement to certify aerodromes and the need to implement ICAO SARPs as specified in Annex 14, Volume I. In order to assist and monitor the implementation of aerodrome certification and SMS in the CAR/SAM Regions. **Appendix A** and **B** attached to this WP, were developed for States/Territories to provide information.

**References:**

- Annex 14, Volume I, *Aerodrome Design and Operations*;
- Doc. 9774-AN/969, *Manual on Certification of Aerodromes*;
- Doc. 9859-AN/460, *Safety Management Manual*;
- Surveys through State Letters from ICAO Regional Offices.

<i>Strategic Objectives</i>	<i>This working paper is related to Strategic Objectives A8 and D1.</i>
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**1.                      Introduction**

1.1                      An important aspect for the Meeting is the recognition that global trend towards greater autonomy and privatization of aerodromes and that the role of the aerodrome operator, in many cases, has changed hands from the State to the private sector. Some States have created aerodrome authorities or other government entities to manage and operate their aerodromes, however, it is recognized that the role of States to ensure safety remains unchanged in accordance with Article 28 of the Chicago Convention and ICAO SARPs.

1.2 In this context, in 2001, requirements were introduced in Annex 14, Volume I – *Aerodrome Design and Operations* for aerodromes to be certified. Included in the requirements was the provision that a certified aerodrome must implement a safety management system (SMS).

1.3 In addition, in November 2006, the safety management requirements in Annex 14, Volume I, were harmonized with those of Annex 6 and Annex 11. Also, Assembly Resolution A35-14, Appendix Q (superseded by A36-13, Appendix P) resolves that States shall undertake certification of aerodromes and should ensure that SMS is introduced at their aerodromes.

1.4 In this context, the Meeting should be aware that State's Safety Programmes (SSPs) are directed to regulators while SMS is directed to service providers such as aerodrome operators. Additionally, the requirement for SMS in Annex 14 must be implemented whether or not a State has in place its SSP.

## 2. Discussion

2.1 According to the report presented to the Assembly (A36-WP14, 26/06/07) on the findings of the survey covering all States conducted by the Secretariat in August 2006, to assess the level of global implementation of aerodrome certification, including safety management systems (SMS) as required in Annex 14, Volume I, there are 1,280 international aerodromes listed in the Regional Air Navigation Plans.

2.2 Aerodrome certification regulations had been promulgated in 67 of the 87 Contracting States which responded to the survey. A total of 401 out of 680 international aerodromes in the responding States had been certified. SMS had been implemented by 45 States and 258 aerodromes in these responding States. However, it should be noted that the results of the survey represent the situation in only 46 per cent of the Contracting States.

2.3 The level of implementation of both aerodrome certification and SMS as part of the certification process in at least one region, has not been satisfactory. Furthermore, reports of the various Regional Planning Groups have highlighted the lack of progress in the implementation of the aerodrome certification provisions. Additionally, the low level of implementation has been corroborated by results from the ICAO Universal Safety Oversight Audit Programme (USOAP), under the comprehensive systems approach.

2.4 In order to increase the level of awareness by States/Territories at both regulatory and operational levels, regarding the need to certify aerodrome operations safety and SMS implementation, it is very important for ICAO Regional Offices to have a clear picture of actual process and level of implementation on these topics. Therefore, States/Territories are urged to review, update and submit the information contained in **Appendices A** and **B**, attached to this WP.

**3. Recommended action**

3.1 The Meeting is invited to:

- a) take note of the information provided in this WP;
- b) follow-up on SARPS as well as its associated documents as guidelines for the aerodrome certification process and the implementation of SMS;
- c) review and update the information attached in Appendices A and B to this WP and submit it by **the end of the Meeting**; and
- d) consider and recommend any appropriate action.

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**IMPLEMENTATION OF AERODROME CERTIFICATION IN THE STATES/TERRITORIES OF THE CAR REGION**

**AERODROMES INCLUDED IN THE REGIONAL AIR NAVIGATION PLAN (ANP)**

**Table 01** – Progress of the basic documentation for aerodrome certification (CAR Region)

STATE/TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR CERTIFICATION					
		Responsible body	Finalized	On-going		Planned	
			Published in:	Started in:	Publication foreseen for:	Started in:	Finalization:
Anguilla	1	ASSI/UK	---				
Antigua and Barbuda	1	ECCAA	---				
Aruba	1	DCA	1998				
Bahamas	11	DCA	---				
Barbados	1	CAD	2004				
Belize	1	CAD	---				
Bermuda	3	CAA	---				
British Virgin Islands	2	ASSI/UK	---				
Cayman Islands	2	ASSI/UK	---				
Costa Rica	4	DGAC	2004				
Cuba	7	IACC	2003				
Dominican Republic	7	DGAC	2004				
El Salvador	2	AAC	2005				
French Antilles	4	DRAC	2002				
Grenada	2	ECCAA	---				
Guatemala	4	DGAC	---				
Haiti	2	OFNAC	---				
Honduras	4	DGAC	2004				
Jamaica	2	JCAA	2003				
Mexico	42	DGAC	2005				
Montserrat	1	ASSI/UK	---				
Netherlands Antilles	4	CANA	1998				
Nicaragua	2	DGAC	2005				
Saint Kitts and Nevis	2	ECCAA	---				
Saint Lucia	2	ECCAA					
Saint Vincent and the Grenadines	5	ECCAA					

STATE/TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR CERTIFICATION					
		Responsible body	Finalized	On-going		Planned	
			Published in:	Started in:	Publication foreseen for:	Started in:	Finalization:
Trinidad and Tobago	2	TTCAA	2005				
Turks and Caicos Islands	3	ASSI/UK	---				
United States (Puerto Rico)	5	FAA	1972				
Dominica	2	OECS/CAD	---				
<b>TOTAL</b>	<b>131</b>						

**Table 02** – Progress on certification of aerodromes included in Doc 8733Vol. II - FASID (CAR Region)

STATE/TERRITORY	N° OF AERODROMES	RESPONSIBLE BODY	NUMBER OF CERTIFIED AERODROMES /ON-GOING/PLANNED		
			Certified	On-going	Planned
Anguilla	1	ASSI/UK	---	---	---
Antigua and Barbuda	1	ECCAA	---	---	---
Aruba	1	DCA	1	---	---
Bahamas	11	DCA	---	---	---
Barbados	1	TDA	---	1	---
Belize	1	CAD	---	---	---
Bermuda	3	CAA	---	---	---
British Virgin Islands	2	ASSI/UK	---	---	---
Cayman Islands	2	ASSI/UK	---	---	---
Costa Rica	4	DGAC	---	1	---
Cuba	7	IACC	2	---	---
Dominican Republic	7	DGAC	---	6	---
El Salvador	2	AAC	---	---	---
French Antilles	4	DRAC	4	---	---
Grenada	2	ECCAA	---	---	---
Guatemala	4	DGAC	---	---	---
Haiti	2	OFNAC	---	---	---
Honduras	4	DGAC	---	---	---
Jamaica	2	JCAA	---	---	---
Mexico	42	DGAC	---	---	---
Montserrat	1	ASSI/UK	---	---	---
Netherlands Antilles	4	CANA	5	---	---

STATE/ TERRITORY	N° OF AERODROMES	RESPONSIBLE BODY	NUMBER OF CERTIFIED AERODROMES /ON-GOING/PLANNED		
			Certified	On-going	Planned
Nicaragua	2	DGAC	---	---	---
Saint Kitts and Nevis	2	ECCAA	---	---	---
Saint Lucia	2	ECCAA/SLASPA	---	---	---
Saint Vincent and the Grenadines	5	ECCAA	---	---	---
Trinidad and Tobago	2	TTCAA	---	---	---
Turks and Caicos Islands	3	ASSI/UK	---	---	---
United States (Puerto Rico)	5	FAA	5	---	---
Dominica	2	ECCAA	---	---	---
<b>TOTAL</b>	<b>131</b>		<b>17</b>	<b>8</b>	<b>0</b>

**IMPLEMENTATION OF AERODROME CERTIFICATION IN THE STATES/TERRITORIES OF THE SAM REGION**

**AERODROMES INCLUDED IN THE REGIONAL AIR NAVIGATION PLAN (ANP)**

**Table 03** – Progress of the basic documentation for aerodrome certification (SAM Region)

STATE/ TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR CERTIFICATION					
		Responsible Body	Finalized	On-going		Planned	
			Published in	Started in	Publication scheduled for:	Start in:	End
Argentina	16	FAA	September 2004	---	---	---	---
Bolivia	05	DGAC	October 2004	---	---	---	---
Brazil	26	ANAC	November 2003	---	---	---	---
Chile	07 <sup>(1)</sup>	DGAC	April 2003	01 APR 07*	01 DEC 07*	---	---
Colombia	08	AEROCIVIL	---	---	---	---	---
Ecuador	04	DGAC	February 2005	---	---	---	---
French Guyana	01	CAA	January 2006				
Guyana	01	CAA	June 2004	---	---	---	---
Panama	05	DGAC	---	---	---	---	---
Paraguay	02	DINAC	October 2002	---	---	---	---
Peru	08	DGAC	February 2005	---	---	---	---
Suriname	03	CAA	---	---	---	---	---
Uruguay	06	DINACIA	---	---	---	---	---
Venezuela	07	INAC	April 2005	---	---	---	---
<b>TOTAL</b>	<b>99</b>	<b>---</b>	<b>10 States</b>	<b>---</b>	<b>---</b>	<b>---</b>	<b>---</b>

<sup>(1)</sup> TEMUCO/Manquehue was taken out of the ANP according to amendment circulated among all the States.

\*Revision of the Document N° 04/A/957/02

No information from: Colombia, Panama, Suriname and Uruguay

**Table 04** – Progress on certification of aerodromes included in Doc 8733/FASID (SAM Region)

STATE/ TERRITORY	N° OF AERODROMES	RESPONSIBLE BODY	NUMBER OF CERTIFIED AERODROMES/IN PROCESS/PLANNED				
			Certified	On-going		Planned	
				Started in:	Publication scheduled for:	Start in:	End
Argentina	16	FAA	01	---	---	15 en 2006	*ND
Bolivia	05	DGAC	03	---	---	---	---
Brazil**	26	ANAC	---	07 in JUL 06	07 in DEC 07	07 in OCT 07, 07 in FEB 08, 07 in AUG 08 and 04 in NOV 08	07 in NOV 08, 07 in JAN 09, 07 in JUL 09 and 04 in OCT 09
Chile	07 <sup>(1)</sup>	DGAC	---	---	---	02 in 2008, 03 in 2009 and 02 in 2010	
Colombia	08	AEROCIVIL	---	---	---		
Ecuador	04	DGAC	01	01 in SEP 06 and 01 in JUL 07	01 in SEP 07 and 01 in JUL 07	01 in JAN 08	01 in FEB 09
French Guyana	01	CAA	---	---	---	2008	2009
Guyana	01	CAA	01	---	---		
Panama	05	DGAC	---	---	---		
Paraguay	02	DINAC	---	02	---		
Peru	08	DGAC	08	---	---		
Suriname	03	CAA	---	---	---		
Uruguay	06	DINACIA	---	02 in NOV 06	---		
Venezuela	07	INAC	---	01 in JUL 07	---		
<b>TOTAL</b>	<b>99</b>	<b>---</b>	<b>14</b>	<b>14</b>	<b>09</b>	<b>49 (2006-2010)</b>	<b>27 (2008-2009)</b>

\*ND – Not defined

\*\* 32 aeropuertos will be certified. However, 04 of them are not in the ANP

<sup>(1)</sup> TEMUCO/Manquehue was taken out of the ANP according to amendment circulated among all the States.

No information from: Colombia, Panama, Suriname and Uruguay

**RESULTS OF THE INQUIRY CARRIED OUT IN THOSE AERODROMES USED FOR INTERNATIONAL OPERATIONS ON SAFETY MANAGEMENT SYSTEM (SMS) IN THE E/CAR REGION**

**AERODROMES INCLUDED IN THE REGIONAL AIR NAVIGATION PLAN (ANP)**

**Table 01** – Progress of the basic documentation for SMS implementation (CAR Region)

STATE/TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR SMS					
		Responsible body	Finalized	On-going		Planned	
			Published in:	Started in:	Publication foreseen for:	Started in:	Finalization:
Anguilla	1	ASSI/UK	---	---	---	---	---
Antigua and Barbuda	1	ECCAA	---	---	---	---	---
Aruba	1	DCA					
Bahamas	11	DCA					
Barbados	1	CAD	2005	2006	---	---	---
Belize	1	CAD					
Bermuda	3	CAA					
British Virgin Islands	2	ASSI/UK	---	---	---	---	---
Cayman Islands	2	CAD					
Costa Rica	4	DGAC					
Cuba	7	IACC					
Dominican Republic	7	DGAC					
El Salvador	2	AAC					
French Antilles	4	DRAC	---	---	---	---	---
Grenada	2	ECCAA	---	---	---	---	---
Guatemala	4	DGAC					
Haiti	2	OFNAC					
Honduras	4	DGAC					
Jamaica	2	JACC					
Mexico	42	DGAC					
Montserrat	1	ASSI/UK	---	---	---	---	---
Netherlands Antilles	5	CANA					
Nicaragua	2	DGAC					
Saint Kitts and Nevis	2	ECCAA	---	---	---	---	---
Saint Lucia	2	ECCAA/SLASPA	---	---	---	---	---

STATE/TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR SMS					
		Responsible body	Finalized	On-going		Planned	
			Published in:	Started in:	Publication foreseen for:	Started in:	Finalization:
Saint Vincent and the Grenadines	5	ECCAA	---	---	---	---	---
Trinidad and Tobago	2	TTCAA	---	---	---	---	---
Turks and Caicos Islands	3	CAA					
United States	5	FAA	2006	2007			
Dominica	2	OECS/CAD			---	---	---
<b>TOTAL</b>	<b>28</b>						

**Table 02** – Progress on SMS implementation in the aerodromes included in Doc 8733/FASID (E/CAR Region)

STATE/TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR SMS					
		Responsible body	With SMS	On-going		Planned	
				Started in:	Publication foreseen for:	Started in:	Finalization:
Anguilla	1	ASSI/UK	---	---	---	---	---
Antigua and Barbuda	1	ECCAA	---	---	---	---	---
Aruba	1	DCA					
Bahamas	11	DCA					
Barbados	1	CAD	---	---	---	2006	---
Belize	1	CAD					
Bermuda	3	CAA					
British Virgin Islands	2	ASSI/UK	---	---	---	---	---
Cayman Islands	2	CAD					
Costa Rica	4	DGAC					
Cuba	7	IACC					
Dominican Republic	7	DGAC					
El Salvador	2	AAC					
French Antilles	4	DRAC	---	---	---	---	---
Grenada	2	ECCAA	---	---	---	---	---
Guatemala	4	DGAC					
Haiti	2	OFNAC					
Honduras	4	DGAC					
Jamaica	2	JCAA					

STATE/TERRITORY	N° OF AERODROMES	BASIC DOCUMENTATION FOR SMS					
		Responsible body	With SMS	On-going		Planned	
				Started in:	Publication foreseen for:	Started in:	Finalization:
Mexico	42	DGAC					
Montserrat	1	ASSI/UK	---	---	---	---	---
Netherlands Antilles	5	CANA					
Nicaragua	2	DGAC					
Saint Kitts and Nevis	2	ECCAA	---	---	---	---	---
Saint Lucia	2	ECCAA/SLASPA	---	---	---	---	---
Saint Vincent and the Grenadines	5	ECCAA	---	---	---	---	---
Trinidad and Tobago	2	TTCAA	---	---	---	---	---
Turks and Caicos Islands	3	CAA					
United States	5	FAA	---	---	---	2007	---
Dominica	2	OECS/CAD					
<b>TOTAL</b>	<b>28</b>						

## IMPLEMENTATION OF THE SAFETY MANAGEMENT SYSTEM (SMS) IN THE INTERNATIONAL AERODROMES OF THE SAM REGION

### AERODROMES INCLUDED IN THE REGIONAL AIR NAVIGATION PLAN (ANP)

**Table 03** – Progress of the basic documentation for SMS implementation (SAM Region)

STATE/TERRITORY	N° OF AERODROMES	DOCUMENTACIÓN BÁSICA PARA EL SMS					
		Responsible body	Finalized	On-going		Planned	
			Published in:	Started in:	Publication foreseen for:	Started in:	Finalization:
Argentina	16	FAA	---	MAR 2007	---	---	---
Bolivia	05	DGAC	---	---	---	NOV 2006	FEB2007
Brasil	26	DAC	---	---	---	---	---
Chile	07 <sup>(1)</sup>	DGAC	---	---	DIC 2006	---	---
Colombia	08	AEROCIVIL	---	---	---	ENE 2008	JUL 2008
Ecuador	04	DGAC	Febrero 2005	---	---	---	---
Guyana	01	CAA	Marzo 2007	---	---	---	---
French Guyana	01	CAA	---	---	---	---	---
Panama	05	DGAC	---	---	---	---	---
Paraguay	02	DINAC	---	---	---	---	---
Peru	08	DGAC	---	---	---	---	---
Surinam	03	CAA	---	---	---	---	---
Uruguay	06	DINACIA	---	---	---	---	---
Venezuela	07	INAC	---	Agosto 2006	---	---	---
<b>TOTAL</b>	<b>99</b>	---	---	---	---	---	---

<sup>(1)</sup> TEMUCO/Manquehue was withdrawn from ANP according to the amendment circulated among all the States.

**Tabla 04** – Progress of the basic documentation for SMS implementation in the aerodromes included in Doc 8733/FASID (SAM Region)

STATE/TERRITORY	N° OF AERODROMES	Responsible body	NUMBER OF AERODROMES WITH SMS/IN PROCEES/PLANNED				
			With SMS	In Process		Planned	
				Started in:	Finalization:	Started in:	Finalization:
Argentina	16	FAA	---	01	---	3 en 2007	*ND
Bolivia	05	DGAC	03	---	---	---	---
Brasil**	26	ANAC	---	07 en JUL 06	07 en DEC 07	07 en OCT 07, 07 en FEB 08, 07 en AGO 08 y 04 en NOV 08	07 en NOV 08, 07 en ENE 09, 07 en JUL 09 y 04 en OCT 09
Chile	07 <sup>(1)</sup>	DGAC	---	---	---	3 en 2007, 4 en 2008	3 en 2007, 4 en 2008
Colombia	08	AEROCIVIL	---	---	---		8 en 2008/2009
Ecuador	04	DGAC	01	---	---	---	---
Guyana	01	CAA	---	---	---		
Guyana Francesa	01	CAA	---	---	---		
Panama	05	DGAC	---	---	---		
Paraguay	02	DINAC	---	---	---		
Peru	08	DGAC	01	---	---		
Surinam	03	CAA	---	---	---		
Uruguay	06	DINACIA	---	---	---		
Venezuela	07	INAC	---	01	---	---	---
<b>TOTAL</b>	<b>99</b>	---	<b>05</b>	<b>09</b>	---	<b>35 (2006-2008)</b>	<b>40 (2007-2008)</b>

\*ND – Not defined

\*\* SMS will be implemented in 32 airports, 4 of them are not on the ANP.

(<sup>1</sup>) TEMUCO/Manquehue was withdrawn from ANP according to the amendment circulated among all the States.

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