



WORKING PAPER

ASSEMBLY — 37TH SESSION

TECHNICAL COMMISSION

Agenda Item 46: Other issues to be considered by the Technical Commission

**INITIATIVE TO CREATE A REGULARLY UPDATED DATABASE SYSTEM
THAT IS SHARED AND SECURE FOR STATES TO CONFIRM
THE VALIDITY OF CERTIFICATES AND LICENSES**

(Presented by Colombia)

EXECUTIVE SUMMARY

This working paper seeks to highlight the importance of information sharing, which allows States to have timely data and efficient communication on aircraft performing scheduled and non-scheduled international air transport operations, namely the sharing of data on airworthiness between the States of design and registry, and on pilot licenses in respect of said aircraft.

Action: The Assembly is invited to:

- a) take note of this initiative;
- b) request ICAO to develop guidance material for the creation of portals or other methods of information sharing;
- c) urge Contracting States to allow access to databases with up-to-date information for purposes of confirming the validity of certificates and licenses; and
- d) request the Regional Offices to develop mechanisms for sharing this information and facilitating searches.

<i>Strategic Objectives:</i>	This working paper relates to Strategic Objective A.
<i>References:</i>	Doc 9892, <i>Report of the Executive Committee of the 36th Session of the Assembly</i> Doc 9899, <i>Report of the Technical Commission of the 36th Session of the Assembly</i> Doc 9750, <i>Global Air Navigation Plan</i> ICAO Global Aviation Safety Plan, July 2007 Initiative for the Adoption of AVSEC Information Technology Platforms

¹ Spanish version provided by Colombia.

1. INTRODUCTION

1.1 In keeping with the ICAO Global Aviation Safety Plan (GASP), information systems that allow States to share and exchange data are vitally important and integral to a safe, secure and efficient harmonized international civil aviation system.

1.2 Information sharing has clearly become an issue in relation to the safety and security of civil aviation in many respects, as may be seen in the working papers and conclusions of the last Assembly.

1.3 **Report of the Executive Committee of the 36th Assembly (Doc 9892), Item 54**

1.3.1 *Consolidated Statement of Continuing ICAO Policies and Practises Related to Air Transport, ICAO Comprehensive Aviation Security Strategy (ICASS), Strategic Plan of Action 2011-2016.* Among the seven key focus areas set forth as part of a new aviation security strategy known as ICASS Strategic Plan of Action 2011-2016, key focus area 3 stresses information sharing between States: *Promoting the sharing of information amongst and within Member States to raise awareness of threats and aviation security trends.*

1.4 **Report of the Technical Commission (Doc 9899), Items 7 and 8**

“8:5 It was pointed out that the continued traffic growth and the public and political demand to safely increase the capacity of the global air navigation system had placed significant pressure on ICAO to assist the regional planning and implementation groups and Contracting States in meeting their objectives of fitting more airplanes into the crowded sky. The Commission was advised that the efficiency activities were organized along three key outcome areas:

- a) optimizing airspace and route structures;
- b) improving aerodrome efficiency and capacity; and
- c) improving system efficiency through sharing of information and the development of collaborative decision making tools and techniques.” *(Our emphasis)*

1.4.1 **Items 25 and 26 (A36-WP/357)**

1.4.1.1 *Item 25: Follow-up of the DGCA/06 Conference on a Global Strategy for Aviation Safety. Sharing of safety information:* [On this matter], [t]he Commission was presented with A36-WP/201 by Colombia, which emphasized the importance of the DGCA/06 Conclusion 2/1 d), referring to the sharing of airworthiness information. The Commission noted that ICAO now had the resources to conduct the feasibility study of establishing a database application for Contracting States to share airworthiness information. The Commission also noted the proposal by Colombia that States contribute experts, if possible, to assist in this work.

1.4.2 *Item 26: Recognition of certificates and licenses issued by other States.* In relation to this matter, there have been suggestions at civil aviation conferences and meetings to explore the possibility of setting up a shared, secure and comprehensive database application for those ICAO Member States wishing to voluntarily share information on aircraft performing scheduled and non-scheduled operations among said States, which could be accessed through a private, secure and centralized network that would

enable the timely exchange of airworthiness data on aircraft performing scheduled and non-scheduled international air transport operations.

1.4.3 *Item 28: Protection of certain accident and incident records and of safety data collection and processing systems in order to improve aviation safety. Just culture and safety data:* In A36-WP/97, the United States discussed the significant safety enhancements achieved through the Commercial Aviation Safety Team (CAST) and highlighted the need to expand the scope and sharing of safety data to continue the reductions in the accident rate. Access to the data was a vital component of risk analysis and all ICAO Contracting States should collaborate in removing the barriers and obstacles to data sharing in order to support SMS and allow data-driven decision making to reduce the occurrence of accidents and incidents.

1.5 **Resolution A 36/1 (re-numbered A36-13), Appendix G –
*Certificates of airworthiness, certificates of competency and
licenses of flight crews***

“The Assembly resolves that:

1. certificates of airworthiness and certificates of competency and licences of the crew of an aircraft issued or rendered valid by Contracting State in which the aircraft is registered shall be recognized as valid by other Contracting States for the purpose of flight over their territories, including landings and take-offs, subject to the provisions of Articles 32 (b) and 33 of the Convention; and
2. pending the coming into force of international Standards respecting particular categories, classes or types of aircraft or classes of airmen, certificates and licences issued or rendered valid, under national regulations, by the Contracting State in which the aircraft is registered shall be recognized by other Contracting States for the purpose of flight over their territories, including landings and take-offs.”

1.6 The ICAO Global Aviation Safety Plan, July 2007 is similar to the *Global Air Navigation Plan* (Doc 9750) in its approach and philosophy. Both were prepared with the close cooperation of industry and offer a common framework for assuring the coordination of regional, sub-regional, national and individual initiatives. In Appendix A – *Global Aviation Safety Plan*, the Assembly urges Contracting States to reinforce the global aviation safety framework by:

- “a) sharing appropriate safety-related information among States, all other aviation stakeholders and the public;
- b) expeditiously implementing safety management systems across the aviation industry to complement the existing regulatory framework;
- c) promoting a just culture by creating an environment in which the reporting and sharing of information is encouraged and facilitated and in which remedial action is undertaken in a timely fashion when deficiencies are reported; and
- d) reporting accident and incident data as required to ICAO;”

The Initiative for the Adoption of AVSEC Information Technology Platforms presented by Colombia at the last session of the Assembly invited the Assembly to promote the development of such platforms, which would enable States to receive information in a timely and efficient manner and share security information concerning threats to civil aviation.

2. DISCUSSION

2.1 The above references from the different working papers on civil aviation safety and security as well as the discussions at the 36th Assembly of ICAO show that there is presently a need in the international civil aviation community to share information so as to address the problems arising in the sector. For this purpose, ICAO member States require a regularly updated database which could be placed on the websites of civil aviation authorities. Access could be restricted by means of a code provided by the Contracting State to other States wishing to share information. This would certainly contribute to greater efficiency, security and harmonization in the international civil aviation system.

2.2 In Resolution 26/1 (re-numbered A36-6), the Assembly of ICAO urges all Contracting States to:

- a) establish requirements and procedures for the authorization and surveillance of operations by an operator certificated by another Contracting State, and to take appropriate action when necessary to preserve safety;
- b) recognize as valid the Air Operator Certificate (AOC) issued by other Contracting States for the purpose of flight over their territories, including landings and take-offs, provided that the requirements under which the certificate was issued are equal to or above the minimum applicable Standards specified in Annex 6, Parts I and III, Section II;
- c) [the Secretary General to] continue to develop guidelines and procedures to verify the conditions for recognition as valid of certificates and licenses, in keeping with Article 33 of the Convention and applicable Standards;
- d) establish operating rules governing the admission of foreign air operators within their territories, in accordance with the Convention and on a non-discriminatory basis, and in harmonization with ICAO Standards, guidelines and procedures, having due regard to the need to minimize the cost and burden to the Contracting States and to the operator;
- e) refrain from unilateral implementation of specific operational requirements and measures governing admission of operators from other Contracting States which would adversely affect the orderly development of international civil aviation.

3. CONCLUSION

3.1 The misuse of aviation to commit an offense calls for firm action on the part of the civil aviation community as a whole and represented by ICAO, in order to prevent practices that discredit a State in respect of the validity and scope of documents issued in other States when direct verification is not possible.