

ICAO Universal Safety Oversight Audit Programme

**FINAL REPORT
ON THE SAFETY OVERSIGHT AUDIT
OF THE
CIVIL AVIATION SYSTEM
OF
ICELAND**

(19 to 28 October 2010)



International Civil Aviation Organization

TABLE OF CONTENTS

	Page
1. INTRODUCTION	1
1.1 Background.....	1
1.2 ICAO audit team composition	1
1.3 Acknowledgements.....	2
2. OBJECTIVES AND ACTIVITIES OF THE AUDIT MISSION	2
3. AUDIT RESULTS	3
3.1 Critical element 1 — Primary aviation legislation.....	3
3.2 Critical element 2 — Specific operating regulations	8
3.3 Critical element 3 — State civil aviation system and safety oversight functions	12
3.4 Critical element 4 — Technical personnel qualification and training	15
3.5 Critical element 5 — Technical guidance, tools and the provision of safety critical information.....	17
3.6 Critical element 6 — Licensing, certification, authorization and/or approval obligations	19
3.7 Critical element 7 — Surveillance obligations	20
3.8 Critical element 8 — Resolution of safety concerns.....	22
4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS	23
5. AUDIT FINDINGS AND DIFFERENCES DATABASE (AFDD)	24
6. STATE AVIATION ACTIVITY QUESTIONNAIRE (SAAQ)	24
7. COMPLIANCE CHECKLISTS (CCs)	24
8. FOLLOW-UP ACTION	24
APPENDICES	
1 — Audit findings and recommendations	
1-1 Findings and recommendations related to primary aviation legislation and civil aviation regulations	
1-2 Findings and recommendations related to civil aviation organization	
1-3 Findings and recommendations related to personnel licensing and training	
1-4 Findings and recommendations related to aircraft operations certification and supervision	
1-5 Findings and recommendations related to airworthiness of aircraft	
1-6 Findings and recommendations related to aircraft accident and incident investigation	
1-7 Findings and recommendations related to air navigation services	
1-8 Findings and recommendations related to aerodromes	
2 — Graphic representation of the lack of effective implementation of the critical elements	
3 — Corrective action plan proposed by Iceland	



ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME

Final Report on the Safety Oversight Audit of the Civil Aviation System of Iceland

(19 to 28 October 2010)

1. INTRODUCTION

1.1 Background

1.1.1 The 32nd Session of the ICAO Assembly (Assembly Resolution A32-11 refers) resolved the establishment of the ICAO Universal Safety Oversight Audit Programme (USOAP), comprising regular, mandatory, systematic and harmonized safety audits of all Contracting States. The mandate for regular audits foresaw the continuation of the Programme, and the term “safety audits” suggested that all safety-related areas should be audited. The expansion of the Programme “at the appropriate time”, as recommended by the 1997 Directors General of Civil Aviation Conference on a Global Strategy for Safety Oversight, had thus been accepted as an integral part of the future of the Programme.

1.1.2 The 35th Session of the ICAO Assembly considered a proposal of the Council for the continuation and expansion of the USOAP as of 2005 and resolved that the Programme be expanded to cover all safety-related Annexes to the *Convention on International Civil Aviation*, hereinafter referred to as the “Chicago Convention” (Assembly Resolution A35-6 refers). The Assembly also requested the Secretary General to adopt a comprehensive systems approach for the conduct of safety oversight audits.

1.1.3 Assembly Resolution A35-6 further directed the Secretary General to ensure that the comprehensive systems approach maintain as core elements the safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*; to make all aspects of the auditing process visible to Contracting States; to make the final safety oversight audit reports available to all Contracting States; and also to provide access to all relevant information derived from the Audit Findings and Differences Database (AFDD) through the restricted website of ICAO.

1.1.4 In accordance with Assembly Resolution A35-6, safety oversight audit reports have been restructured to reflect the critical elements of a safety oversight system, as presented in ICAO Doc 9734 — *Safety Oversight Manual*, Part A — *The Establishment and Management of a State’s Safety Oversight System*. ICAO Member States, in their effort to establish and implement an effective safety oversight system, need to consider these critical elements.

1.2 ICAO audit team composition

1.2.1 The safety oversight audit team was composed of: Mrs. RoseMarie Heftberger, team leader, primary aviation legislation (LEG)/civil aviation organization (ORG)/airworthiness of aircraft (AIR); Mr. Cristian Paul Olinescu, team member, personnel licensing (PEL)/aircraft operations (OPS); Mr. Jean-Paul de Villeneuve, team member, aircraft accident and incident investigation (AIG); Mr. Dmitry Kosolapov, team member, on-the-job training (OJT) ORG/air navigation services (ANS); and Mr. Yong Wang, team member, aerodromes (AGA).

1.3 Acknowledgements

1.3.1 ICAO expresses its sincere appreciation for the assistance provided to the audit team during the preparation and conduct of the audit. The professionalism and enthusiasm of all personnel who interacted with the audit team greatly contributed to the success of the audit mission.

2. OBJECTIVES AND ACTIVITIES OF THE AUDIT MISSION

2.1 The comprehensive systems approach for the conduct of safety oversight audits consists of three phases. In the first phase, the level of implementation of Annex provisions is assessed and differences from ICAO Standards and Recommended Practices (SARPs) are identified for each Contracting State through a review of a duly completed State Aviation Activity Questionnaire (SAAQ) and Compliance Checklists (CCs) for all safety-related Annexes, as well as through a review of documents developed by the State to assist it in implementing SARPs and in maintaining an effective safety oversight system. In the second phase, the State being audited is visited by an ICAO audit team to validate the information provided by the State and to conduct an on-site audit of the State's overall capability for safety oversight. The third phase of the audit process consists of the activities following the completion of the on-site audit.

2.2 The safety oversight audit of Iceland was carried out from 19 to 28 October 2010 in accordance with the standard auditing procedures provided for in ICAO Doc 9735 — *Safety Oversight Audit Manual* and the revised Memorandum of Understanding (MOU) as approved by the ICAO Council on 29 November 2006 (C-DEC 179/12 refers) and agreed to on 6 October 2009 between Iceland and ICAO. The audit was carried out with the objective of fulfilling the mandate given by the Assembly which requires ICAO to conduct a safety oversight audit of all Contracting States (Assembly Resolutions A32-11 and A35-6 refer), reviewing a State's compliance with ICAO SARPs set out in all safety-related Annexes and their associated guidance material, as well as with related Procedures for Air Navigation Services (PANS). Furthermore, the objective was also to offer advice, as applicable, to Iceland in implementing these provisions.

2.3 The audit team reviewed the SAAQ and the CCs submitted by Iceland prior to the on-site audit in order to have a preliminary understanding of the civil aviation system established in the State, to determine its various functions as well as to assess the status of implementation of relevant Annex provisions. Information provided and assessed prior to the conduct of the audit was validated during the on-site audit phase. In this regard, particular attention was given to the presence of an adequate organization, processes, procedures and programmes established and maintained by Iceland to assist it in fulfilling its safety oversight obligations.

2.4 On 15 July 2002, the European Community adopted *Regulation (EC) No 1592/2002 of the European Parliament and of the Council* on common rules in the field of civil aviation and establishing a European Aviation Safety Agency (EASA). This regulation provides for the transfer of regulatory competencies in the fields of airworthiness, continuing airworthiness and environmental certification from the Member States of the European Union (EU) to EASA. On 11 November 2005, Iceland advised ICAO in writing of the transfer of such competencies to EASA.

2.5 Since the transfer of competencies to EASA reflects on the scope of the ICAO safety oversight audits under the comprehensive systems approach, ICAO performed an initial audit of EASA, from 29 November to 2 December 2005. On 20 February 2008, the European Community adopted *Regulation (EC) No 216/2008 of the European Parliament and of the Council*, repealing *Regulation (EC) No 1592/2002 of the European Parliament and of the Council*. *Regulation (EC) No 216/2008* extends the scope of competence of

EASA to pilot licensing, aircraft operations and aircraft used by third-country operators. Taking into consideration the extension of the scope of competence of EASA and additional changes within the organization since the initial safety oversight audit of 2005 by ICAO, ICAO performed a second audit of EASA from 23 to 25 April 2008. The EASA audit results are available to all Contracting States on the ICAO USOAP restricted website (<http://www.icao.int/soa>). It should be noted that Iceland will always maintain the responsibility for all audit results that are derived from the audits carried out on EASA from time to time. As a result, the latest EASA safety oversight audit report should be reviewed together with this report.

2.6 The audit results, including the findings and recommendations contained in this report, reflect the capabilities and limitations of the civil aviation system of Iceland as assessed by the audit team. They are thus based on evidence gathered during interviews by the audit team with Iceland's technical experts and background information provided by such personnel, review and analysis of civil aviation legislation, specific regulations, related documentation and file records. Considering the time that was available to conduct the audit and the fact that the safety oversight audit team members could only review and analyse information and documentation made available by the State, it is possible that some safety concerns may not have been identified during the audit. The findings and recommendations related to each audit area are found in Appendix 1 to this report.

3. AUDIT RESULTS

3.1 Critical element 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*.”

3.1.1 The legislation of the Republic of Iceland, hereinafter referred to as “Iceland”, is based on the *Constitution of the Republic of Iceland*, No. 33 of 17 June 1944, last amended on 24 June 1999. The unicameral Icelandic Parliament (*Althingi*) and the President of Iceland jointly exercise legislative power. The amendment of primary aviation legislation follows the same process as for the adoption of new legislation. While the Constitution does not state an official language, applicable legislative and regulatory provisions are promulgated and published in Icelandic. The *Law on the Icelandic Gazette*, No. 15 2005, which entered into force on 22 March 2005, allows for the publication of provisions formulated in a foreign language, when a limited group of people can reasonably be expected to understand this foreign language, based on education or other specialization.

3.1.2 Iceland is a member of the European Economic Area (EEA), which was established on 1 January 1994, and extended to the single market of the EU. Iceland participates without a conventional EU membership and is required to adopt all EU legislation with respect to civil aviation related to the single market. According to the EEA Agreement, European Community (EC) regulations must be implemented into the national legal framework as regulations while directives allow for a choice on the legal instrument for implementation.

3.1.3 The primary aviation legislation of Iceland consists of the following Acts:

- a) *Aviation Act*, No. 60/1998, promulgated on 10 June 1998 and last amended in 2010;
- b) *Act on the investigation of aircraft accidents*, No. 35/2004, promulgated on 7 May 2004 and last amended in 2008;

- c) *Act on the Icelandic Coastguard*, No. 52, promulgated on 14 June 2006;
- d) *Act on rescue teams and rescue team members*, No. 43/2003, promulgated on 24 March 2003 and last amended in 2008;
- e) *Act on establishing a new limited shareholding company for the provision of air navigation services and aerodromes operations*, No. 102/2006, promulgated on 13 June 2006 and last amended in 2009; and
- f) *Act on establishing a public shareholding company for the running of Keflavik airport*, No. 76/2008, promulgated on 11 June 2008 and last amended in 2009.

3.1.4 Primary legislation and operating regulations and rules are published in the Legal Gazette and are available in printed version and electronically via the websites www.stjornartidindi.is, www.althingi.is, www.reglugerd.is and www.samgonguraduneyti.is. The essential legislative and regulatory provisions related to safety oversight are also available via the Icelandic Civil Aviation Administration (ICAA)'s website www.caa.is.

3.1.5 The *Aviation Act* in the last amended version, and taking into account repealed provisions, contains the following articles, grouped in thirteen chapters:

- a) Chapter I — *General Provisions* (Articles 1 to 5);
- b) Chapter II, repealed;
- c) Chapter III — *Icelandic Register of Aircraft* (Articles 9 to 19);
- d) Chapter IV — *Airworthiness* (Articles 20 and 28 f);
- e) Chapter V — *Air Crew* (Articles 29 and 47a);
- f) Chapter VI — *Working Environment of Aircraft Crews* (Articles 48 to 55);
- g) Chapter VII — *Aerodromes and Air Navigation* (Articles 56 to 74);
- h) Chapter VIII — *Air Traffic and Air Traffic Control* (Articles 75 to 79);
- i) Chapter IX — *Air Operator Licences* (Articles 80 to 85a);
- j) Chapter X — *Air Carriage* (Articles 86 to 127);
- k) Chapter XI — *Compensation for Damage and Insurance* (Articles 128 to 131);
- l) Chapter XII — *Assistance and Rescue* (Articles 132 to 134); and
- m) Chapter XIII — *Miscellaneous Provisions* (Articles 135 to 147).

3.1.6 The current legislative and regulatory framework in Iceland provides the foundation to allow the State to fully meet its obligations as a signatory of the Chicago Convention.

3.1.7 Article 145 of the *Aviation Act* stipulates that the Minister, currently the Minister of Transport, Communications and Local Government, may issue regulations for the enforcement and clarification of the *Aviation Act*. Pursuant to Article 146, the Icelandic Civil Aviation Administration will participate in the work of EASA with the aim, inter alia, of improving aviation safety, reducing pollution from aircraft and presenting the viewpoints of the Icelandic government in the work of the agency. The Minister shall issue a government regulation effecting the incorporation of regulations of the European Parliament and the Council relating to the establishment of EASA into the Icelandic legal framework.

3.1.8 The *Icelandic Civil Aviation Administration Act*, No. 100/2006, promulgated on 13 June 2006 and last amended in 2006 (hereinafter referred to as the *ICAA Act*) establishes the ICAA to manage the administration and regulation of aviation in Iceland and in Icelandic territory, as further stipulated in this Act, the *Aviation Act* and other Icelandic Acts and international conventions. The ICAA is an autonomous body, under the supervision of the Minister of Transport, Communications and Tourism. The Minister appoints the Director General of the ICAA for a period of five years to manage its operation. The Director General recruits other civil administration personnel. The special competence of employees shall be as provided in Chapter II

of the *Administrative Procedures Act*, No. 37/1993, promulgated on 30 April 1993 and last amended in 2008. Article 3 of the *ICAA Act* establishes the Civil Aviation Board as an advisory board for the Minister and Director General of the ICAA.

3.1.9 Article 4 of the *ICAA Act* determines that the ICAA's tasks are to administer the field of aviation, regulate operations and promote flight safety and outlines the allocated tasks as follows:

- a) register aircraft into the Icelandic register of aircraft;
- b) provide licenses for any kind of operations defined in the *Aviation Act* or in regulations set according to that Act, such as flight operations; operating maintenance facilities, flight schools, and schools for air navigation services or aircraft maintenance technicians, air navigation services; and operating aerodromes and airport terminals, and also constantly regulate these operations;
- c) issue licenses in accordance with laws, regulations and international obligations and regulate the operations based on these licenses;
- d) issue certificates to individuals in accordance with laws, regulations and international obligations and ensure that examinations are held;
- e) provide for the organization of airspace and of air navigation, or make proposals on such organization to the Minister;
- f) regulate the implementation of aviation security in accordance with laws, regulations and international obligations in the field of aviation security;
- g) encourage all types of Icelandic aviation operations to develop in accordance with current social and environmental objectives;
- h) take part in international cooperation as provided by international conventions or cooperation assigned to the ICAA by the government; and
- i) provide advice to the government and ministries in the field of aviation and monitor the constant Icelandic fulfilment of obligations provided by international conventions.

3.1.10 The ICAA shall also undertake, as applicable, to prepare for the making of new laws and regulations and participate in its making, also abroad, as well as to prepare for agreements with foreign States and international institutions and to make such agreements, as the case may call for.

3.1.11 Article 5 of the *ICAA Act* further determines that the ICAA shall monitor whether the operations of parties subject to regulation comply with the legislation, regulations, rules or agreements that apply to air transport. The ICAA may check the operations of parties subject to regulation as frequently as believed necessary. For this purpose, the ICAA shall be permitted access to the licensees' sites of operation and to aircraft along with aircraft equipment in order to perform checks on site, assessments and inspections. Parties subject to regulation must provide the ICAA, insofar as it finds necessary, with information on their operations and access to data which they hold concerning their operations. A party subject to regulation shall be able, without notice, to demonstrate that it meets its licensing conditions and, if necessary, undergo any test which the ICAA is authorized to demand that it undergo. The ICAA can demand information and data from other authorities, irrespective of their obligation of confidentiality, if this is needed to carry out statutory regulation. In other respects, the ICAA regulatory powers are subject to provisions of the *Aviation Act* and of other Acts as applicable. The *Aviation Act* specifies in Article 135 that the ICAA, if there is reason to suspect that an aircraft preparing for take-off is not airworthy or is not properly manned or that it will be used in manner contrary to the provisions of this Act or regulations issued pursuant to this Act, may prohibit the flight of the aircraft and, if necessary, prevent the aircraft from taking off the aerodrome until improvements are made. The ICAA may call upon assistance of police authorities for the detention of an aircraft for just cause and/or the prohibition of any person from exercising the privileges of any aviation licence, certificate or document for just cause.

3.1.12 The inspectorate staff of the ICAA has been provided with official credentials to fulfil their safety oversight responsibilities, which make a general reference to the *Aviation Act* and include a photo and an expiry date. The credentials issued to ICAA inspectors do however not specify the individual mandate and tasks, taking into account the area of expertise, as outlined in the job descriptions and the delegation of authority.

3.1.13 Iceland's legislative provisions provide for criminal penalties through the *General Penal Code* and specify in Article 141 of the *Aviation Act* that violations of this Act or regulations, rules or instructions established pursuant to this Act are punishable by fine or imprisonment for up to five years. Attempted violations and aiding and abetting ones are punishable in accordance with the *General Penal Code*. Article 142 stipulates that the holder of a licence shall be deprived of the rights conferred by the licence to engage in activities covered by the licence, if the holder is found guilty of gross violation of this Act or rules established pursuant to this Act, or if it is reasonable to assume, in light of the nature of the violation or other conduct of the licence holder as such, that the holder's exercise of rights pursuant to the licence poses a risk. Licences shall be revoked for a specified period of time, no less than three months, or permanently in cases of extreme or repeated violations. A corresponding policy and procedures for regulatory enforcement are in place.

3.1.14 Iceland ratified Article 83 *bis* of the Chicago Convention on 9 May 1990 and entered into bilateral agreements with several States in the past and currently with Austria outlining the transfer of surveillance responsibilities. However, the legislative provisions do not provide for the transfer of duties and responsibilities from the State of Registry to the State of the Operator and do not provide for the recognition of certificates of airworthiness, radio licences and crew licences issued/renewed/validated by the State of the Operator under an Article 83 *bis* agreement between third-party States.

3.1.15 Personnel licensing activities in Iceland are governed by the *Aviation Act*, Chapter IV — *Airworthiness*, Chapter V — *Air Crew* and Chapter VII — *Aerodromes and Air Navigation*. Specific regulations related to flight crew licences include, according to Article 32 of the *Aviation Act*, provisions for the recognition of foreign flight crew licences. The power to issue licences is delegated to the ICAA, as stipulated in Article 4 (3) of the *ICAA Act* and in Article 32 of the *Aviation Act*. Suspension and revocation of licences is delegated to the ICAA according to Article 6 of the *ICAA Act*, when the licence holder no longer meets the conditions endorsed in the licence or in cases of infractions. Specific licensing regulations for aeroplane licences contain provisions for short and long term exemptions.

3.1.16 In the area of aircraft operations, Chapter IX — *Air Operator Licences* and Chapter X — *Air Carriage* of the *Aviation Act* and Article 4 of the *ICAA Act* provide the legal framework relating to the certification of air operators. Aircraft operations, including the duties and responsibilities of the pilot-in-command, are addressed in Articles 41 and 42 of the *Aviation Act*. Documents to be carried on board of an aircraft as specified in Article 29 of the Chicago Convention are required by Article 19 of the *Aviation Act*.

3.1.16.1 With respect to the transport of dangerous goods by air, Article 70 of the *Aviation Act* stipulates that the Minister shall establish regulations on prohibited objects, circumstances in which a waiver of the prohibition is permitted, on their handling, storage and disposal, and on the dissemination of information to airline passengers and cargo owners. Article 6 of the *ICAA Act* contains the enforcement authority for failing to comply with any regulation, including for the carriage of dangerous goods.

3.1.17 With respect to the airworthiness of aircraft, the *Aviation Act* addresses in its Chapter III, *Icelandic Register of Aircraft*, the registration of aircraft and the maintenance of an aircraft registry. Article 12 stipulates that an aircraft may not be registered unless it has a type certificate (TC) issued or approved by the

ICAA or EASA. Provisions related to airworthiness of aircraft, its monitoring and inspection, the certificate of airworthiness and performance of maintenance are outlined in Chapter IV of the *Aviation Act*. While Article 20 requires aircraft to comply with government requirements regarding pollution prevention, including pollution through noise and fumes, Article 146 e) empowers the ICAA to lay down further rules on the operation of aircraft, their registration, airworthiness and environmental protection. The *Communication Act*, No. 81/2001, promulgated on 26 March 2003 and last amended in 2009 provides for the issuance, suspension and revocation of the radio station licence.

3.1.18 In the area of air navigation services, the main legislative provisions regarding air traffic service (ATS), meteorology (MET), Procedures for Air Navigation Services — Aircraft Operations (PANS-OPS), aeronautical information service (AIS), aeronautical charts and communications, navigation and surveillance (CNS) are contained in Chapters VII and VIII of the *Aviation Act*. Chapter XII — *Assistance and Rescue* stipulates that the Minister may issue rules concerning search and rescue (SAR) arrangements in cases of missing, damaged or lost aircraft, including rules on the assistance that individuals and enterprises are required to render in SAR work and compensation for such assistance. Articles 57a, 76 and 132 of the *Aviation Act* foresee that the Minister may issue regulations which are binding on all air navigation services providers operating in Iceland. Article 57a further empowers the ICAA to perform oversight functions in the area of air navigation services except in the field of SAR. Articles 12, 25, 28 and 37 of the Chicago Convention are addressed in Chapters VII, VIII and XII of the *Aviation Act*. Furthermore, Iceland promulgated in 2007 the *Regulation on Air Navigation in SES (REG 870/2007)*, which implemented the following *Single European Sky (SES) Regulations of the European Parliament and of the Council* with regard to ATS, CNS, AIS and MET:

- a) *(EC) No 549/2004 of the European Parliament and of the Council*, which laid down the framework for the creation of the Single European Sky;
- b) *(EC) No 550/2004 of the European Parliament and of the Council* on the provision of air navigation services in the Single European Sky;
- c) *(EC) No 551/2004 of the European Parliament and of the Council* on the organization and use of the airspace in the Single European Sky, and
- d) *(EC) No 552/2004 of the European Parliament and of the Council* on the interoperability of the European air traffic management network.

3.1.18.1 In addition, the SES Regulation *(EC) No 550/2004* requires:

- a) the nomination by all EU Member States of a national supervisory authority (NSA) to monitor the safe provision of air navigation services; and
- b) the certification of providers of ATS, CNS, MET and AIS against the common requirements established at the EC level in the SES Regulation *(EC) No 2096/2005 of 20 December 2005*.

3.1.18.2 The *Act on the Icelandic Coastguard* falls under the jurisdiction of the Minister of Justice. Section 4 determines the coastguards tasks that are, inter alia, SAR services to aircraft.

3.1.19 With respect to aerodromes, Article 56 of the *Aviation Act* provides the legal basis for the promulgation of aerodrome regulations by the Ministry of Transport, Communications and Local Government. The same Article contains the requirement for aerodrome operators to apply for an operating licence. According to this Article, the ICAA can revoke a licence if an aerodrome does not fulfil the requirements and conditions established for its operation, or should the licensee, in the course of operations, be in material breach of provisions of statutory law or regulations.

3.1.20 With respect to aircraft accident and incident investigation, Article 47 of the *Aviation Act* addresses the obligation to notify all aircraft accidents, flight or air traffic incidents other than those requiring notification to the Aviation Accident Investigation Board (AAIB) of the ICAA. The *Act on the Investigation of Aircraft Accidents* provides the basis for the conduct of aircraft accident and serious incident investigation in Iceland. Article 7 specifies that all accidents and serious incidents shall be investigated, and Article 2 states that investigation shall only aim at increasing air safety. Article 3 designates the AAIB as the entity in charge of aircraft accidents and serious incidents technical investigations. Articles 2 and 8 specify that the AAIB is independent from Justice and Police. Article 11 requires anyone who is aware of an aircraft accident or a serious incident to notify it to the AAIB. The same Article states that the Police, the ICAA and rescue organizations have special responsibilities in that respect. Articles 12 to 15 entitle the AAIB and more specifically the investigator-in-charge (IIC), when applicable, to control the crash site and the wreckage, have access to all relevant data, documents and recordings, take statements of witnesses, and to keep under its custody all necessary parts, material and documents. However, the legislation and regulations on aircraft accident and incident investigation do not contain provisions giving the AAIB IIC the right to carry out detailed examination of relevant material/evidence without delay. Article 15 guarantees the protection of all restricted elements listed in paragraph 5.12 of Annex 13 to the Chicago Convention, including a cockpit voice recorder (CVR), CVR transcripts and witness statements, from disclosure, covering disclosure to judicial authorities. Moreover, it specifies that flight recordings are protected “permanently”. There is no provision in the Icelandic legislation for permitting, as the State conducting the investigation, the participation of accredited representatives from other States involved.

3.2 Critical element 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*.

Note.— The term ‘regulations’ is used in a generic sense to include instructions, rules, edicts, directives, sets of laws, requirements, policies, orders, etc.”

3.2.1 Iceland has promulgated the following regulations addressing the organization of civil aviation in Iceland:

- a) Regulation on the Civil Aviation Board, No. 1290/2007;
- b) Regulation on Aeronautical Handbook, No. 326/2000; and
- c) Regulation on the applicability of common rules in the field of civil aviation and establishment of the European Aviation Safety Agency, No. 612/2005.

3.2.2 Based on Article 84 of the *Aviation Act*, the ICAA can issue operating instructions regarding individual aspects of air operators’ operations and those of any other party which is required to operate according to a licence issued by the Administration. Operating instructions can relate to prohibiting a particular operation, making it subject to limitations, or making it subject to compliance with certain conditions imposed by the Administration in the interest of improved aviation safety. Operating instructions shall specify the reason for their issue, their scope and term of validity, and the measures that the operator in question needs to take.

3.2.3 Administrative rules come into effect once signed and promulgated in the Legal Gazette. The power to issue such administrative rules has been delegated to the ICAA and must conform to the limits laid down explicitly in the enabling Act.

3.2.4 Based on Article 140 of the *Aviation Act*, the ICAA has issued decisions complementing the regulations, which are published in the Aeronautical Information Handbook and on the ICAA website. The related notice referring to the specific decision is published in the Legal Gazette.

3.2.5 Regulatory provisions allow for the issuance of exemptions and in practice, exemptions have been issued in the area of operations and airworthiness. The corresponding policy and procedures are outlined in the *Administrative Procedures Act*.

3.2.6 The ICAA has developed procedures for processing ICAO State letters and issuing regulations regarding amendments of provisions in the Annexes to the Chicago Convention. However, Iceland has not consistently implemented these procedures for the amendment of specific regulations and for the identification and notification to ICAO of differences existing between the ICAO SARPs and the Icelandic regulations and practices in all areas, such as personnel licensing, operations, airworthiness and aircraft accident and incident investigation. Furthermore, the Aeronautical Information Publication (AIP) of Iceland, last amendment issued by AIC No. 45 of 30 July 2010, does not contain all existing significant differences.

3.2.7 With respect to personnel licensing and training, Iceland has promulgated the following regulations to implement the provisions of Annex 1 to the Chicago Convention:

- a) Regulation on licensing, No. 400/2008;
- b) Regulation on flight crew licensing on aeroplanes, No. 401/2008, implementing JAR-FCL 1, Amendment 7;
- c) Regulation on flight crew licensing on helicopters, No. 402/2008, implementing JAR-FCL 2, Amendment 6;
- d) Regulation on licensing for flight crew (medical), No. 403/2008, implementing JAR-FCL 3, Amendment 5;
- e) Regulation on licensing for air traffic controllers, No. 404/2008, implementing Directive No. 23/2006/EC on Community air traffic controllers licence;
- f) Regulation on the continuing airworthiness of aircraft and aeronautical products, parts and appliances, and on the approval of organizations and personnel involved in these tasks, No. 206/2007, implementing Commission Regulation No. 2042/2003/EC; and
- g) Regulation on flight schools, No. 692/1999.

3.2.7.1 The licensing regulations are supported by decisions of the ICAA regarding the use of EASA and Joint Aviation Authorities (JAA) guidance material, the application of Joint Aviation Requirements (JAR)-STD or explanations regarding different flight crew licensing issues. Language proficiency requirements are contained in the specific licensing regulations. The list of identified differences from Annex 1 to the Chicago Conventions is published in the AIP; however, it does not reflect the latest amendments.

3.2.8 With respect to aircraft operations, the following regulations have been promulgated:

- a) Regulation on commercial air transport operations, No. 1263/2008, for the implementation of EC 3922/91 and the EU-OPS;
- b) Regulation on the harmonisation of technical requirements and administrative procedures in the field of civil aviation, No. 1264/2008;

- c) Regulation on flight and duty time limitations and rest requirements, No. 1043/2008;
- d) Regulation on commercial aerial work, No. 97/2009; and
- e) Regulation on the safe transport of dangerous goods, No. 322/1990.

3.2.8.1 The specific operating regulations are supported by decisions of the ICAA regarding the use of EASA and JAA guidance material, including JAA-TGL 44 and the application of JAR-OPS 3. However, the operations regulations have not been amended to incorporate the latest amendments of Annexes 6 and 18 of the Chicago Convention. Although the operations regulations do not require a true certified copy of the AOC to be carried on board, the ICAA ensures that all operators have this document among the mandatory documents to be carried on board.

3.2.9 With respect to the airworthiness of aircraft, the following regulations in the last amended version enable Iceland to implement the airworthiness-related provisions of Annexes 6, 7, 8 and 16 to the Chicago Convention:

- a) Regulation on entry into force of EC regulations on common rules in the field of civil aviation and establishing a European Aviation Safety Agency, No. 612/2005;
- b) Regulation on nationality and registration marks, No. 176/1983;
- c) Regulation on commercial air transport operations, No. 1263/2008;
- d) Regulation of inspections, maintenance and repair of aircraft, No. 443/1976;
- e) Regulation on general aviation airplanes, No. 694/2010;
- f) Regulation on general aviation helicopters, No. 695/2010;
- g) Regulation on minimum equipment on board aircraft, No. 627/1983;
- h) Regulation on the classification of aircraft and airworthiness certificates, No. 202/2007;
- i) Regulation No. 206/2007 on the continuing airworthiness of aircraft and aeronautical products, parts and equipment, and on the approval of maintenance organizations and personnel involved in this area;
- j) Regulation on substances that deplete the ozone layer, No. 586/2002 (fire-fighting equipment on board the aircraft);
- k) Regulation on the harmonization of technical requirements and administrative procedures in the field of civil aviation, No. 1264/2008;
- l) Regulation laying down implementing rules for the airworthiness and environmental certification of aeronautical products, parts and equipment as well as for the certification of design and production organizations, No. 205/2007;
- m) Regulation on Safety Assessment of Foreign Aircraft, No. 752/2007;
- n) Regulation on aircraft leasing, No. 781/2001;
- o) Regulation on home-made aircraft, No. 216/1982;
- p) Regulation on micro-lights, No. 780/2006; and
- q) Regulation on limitation of noise emission from subsonic civil jet airplanes, No. 751/2007.

3.2.9.1 As far as initial and continuing airworthiness are concerned, the adoption of Regulation (EC) No 1592/2002 launched the establishment of a centralized EU system for air safety and environmental regulations and for the establishment of EASA in 2003. EC regulations currently address the issuance of TCs, Supplemental Type Certificates (STCs), approvals of modifications and repairs, certificates of airworthiness, environmental certificates, special flight permits, maintenance organization, continuing airworthiness management organization (CAMO), design organization and production organization approvals, and surveillance of airworthiness activities. EASA acts as State of Design, as it is directly responsible for the approval of TCs, STCs, modifications and repairs, the issuance of mandatory continuing airworthiness information, and the approval and oversight of design organizations.

3.2.9.2 Iceland's applicable regulations are complemented by the following decisions of the ICAA:

- a) Notice No. 176/1983 laying down rules on registration marks;
- b) Notice No. 206/2005 on the application of ICAA Decision No. 1/2005 regarding airworthiness directives;
- c) Notice No. 207/2005 on the application of ICAA Decision No. 2/2005 regarding emergency transmitters on frequency 406 MHz;
- d) Notice No. 434/2009 on the application of ICAA Decision No. 2/2009 regarding EC Regulation No. 1056/2008 and No. 1057/2008; and
- e) Notice No. 897/2006 on the application of ICAA Decision No. 3/2006 regarding the application of JAR-MMEL/MEL, 1st Amendment with instructions and on the application of ICAA Decision No. 4/2006 regarding the application of JAR-26, amendment 3.

3.2.9.3 However, the current applicable regulations do not fully address airworthiness-related provisions of Annex 6 to the Chicago Convention regarding human factors principles to be observed within the maintenance control manual and in the design and application of maintenance programmes, and requirements for the issuance of maintenance organization approvals, taking into account the safety management system (SMS) as of 1 January 2009.

3.2.10 In the area of air navigation services, Iceland has promulgated the following regulations:

- a) Regulation on flight rules, No. 770/2010;
- b) Regulation on meteorological services, No. 771/2010;
- c) Regulation on aeronautical charts, No. 773/2010;
- d) Regulation on units of measurement, No. 252/2009;
- e) Regulation on air traffic services, No. 787/2010;
- f) Regulation on the control of the search and rescue in the search and rescue region of Iceland for a maritime and aeronautical rescue, No. 752/2010;
- g) Regulation on aeronautical information services, No. 772/2010;
- h) Regulation on aircraft interception, No. 450/1999;
- i) Regulation on laying down the requirements on procedures for flight plans in the pre-flight phase for the Single European Sky, No. 602/2008;
- j) Regulation on requirements for automatic systems for the exchange of flight data, No. 601/2008;
- k) Regulation on airspace classification and access of flights operated under visual flight rules above flight level 195, No. 600/2008;
- l) Regulation laying down common rules for the flexible use of airspace, No. 1045/2007; and
- m) Regulation on the provision of air navigation services in the Single European Sky, No. 870/2007.

3.2.10.1 The regulations addressing air navigation services correspond to the provisions of Annexes 2, 3, 4, 5, 11, 12 and 15 to the Chicago Convention. Commission Regulation (EC) No 1315/2007 of 8 November 2007 on safety oversight in air traffic management and Commission Regulation (EC) No 2096/2005 of 20 December 2005, which lay down the common requirements for the provision of air navigation services, are applicable and binding for Iceland through the Regulation on safety oversight in air traffic management, No. 354/2009, and Regulation on laying down common requirements for the provision of air navigation services, as regards working methods and operating procedures, No. 631/2008. The provisions of the Regulation on air traffic services, No. 787/2010, are supplemented by the Operation Manual

(MANOPS), developed by the national service provider and approved by the ICAA during the certification process.

3.2.11 With respect to aerodromes, the applicable regulations are the following:

- a) Regulation on aerodromes, No. 464/2007;
- b) Regulation on common rules for the allocation of slots, No. 1050/2008;
- c) Regulation on access to ground-handling, No. 1186/2008;
- d) Rules on priority of special aircraft at Keflavik Airport issued on 29 November 1985;
- e) Regulation on access and stay of persons at Keflavik Airport, No. 293/2002; and
- f) Regulation on noise-related operating restrictions at community airports, No. 1029/2009.

3.2.11.1 The Regulation on aerodromes, No. 464/2007, lays down the specific requirements for aerodromes in Iceland, requires that all international aerodromes shall be certified and that all domestic aerodromes shall be registered. The Regulation contains SARPs, which are in compliance with Annex 14, Volume I, to the Chicago Convention for all certified aerodromes. According to Article 6 of the Regulation, the ICAA aerodrome inspectors are empowered to carry out safety inspections of aerodromes.

3.2.12 With respect to aircraft accident and incident investigation, the Regulation on aircraft accident investigation, No. 80/2006, details the provisions of the *Act on Investigation of Aircraft Accidents*, No. 35/2004, concerning definitions, the organization and functioning of the AAIB, and the conduct of aircraft accidents and serious incidents investigations. The Regulation on mandatory reporting of aircraft accidents, serious incidents and incidents, No. 53/2006, contains provisions for the establishment and implementation of the Icelandic mandatory occurrences reporting system.

3.3 Critical element 3 — State civil 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.

Note.— The term ‘State civil aviation system’ is used in a generic sense to include all aviation-related authorities with aviation safety oversight responsibility which may be established by the State as separate entities, such as: CAA, airport authorities, air traffic service authorities, accident investigation authority, meteorological authority, etc.”

3.3.1 The civil aviation authority in Iceland responsible for safety oversight is the ICAA, an autonomous body, under the Minister of Transport, Communications and Local Government. The ICAA is located in Reykjavik and does not have any regional offices. The ICAA is required to publish an annual report on its operations.

3.3.2 The organizational structure of the civil aviation system in Iceland is based on the Aviation Act and the *ICAA Act*, and is sufficiently documented as to provide a clear definition of the regulatory and safety oversight functions and responsibilities related to personnel licensing, aircraft operations, airworthiness of aircraft, air navigation services and aerodromes. In addition, reporting lines are clearly defined.

3.3.3 A distinct and documented separation between the regulatory and safety oversight responsibilities of the ICAA and service providers has been established.

3.3.4 The *Administrative Procedures Act*, No. 37/1993, is applicable to the ICAA for decisions taken impacting individuals' rights and obligations, excluding enforcement procedures, and stipulates, inter alia, that necessary assistance and guidance in cases that fall within its competence shall be provided to applicants.

3.3.5 The Director General reporting to the Minister of Transport, Communications and Local Government has the following entities under his responsibility:

- a) Administration Division:
 - 1) Finance Section;
 - 2) Human Resources Section;
 - 3) Internal Service Section; and
 - 4) Law and Regulation Section;
- b) Flight Safety Division:
 - 1) Certificates and Analysis Section;
 - 2) Airworthiness and Registration of Aircraft Section;
 - 3) Flight Operations Standards Section; and
 - 4) Personnel Licensing and Training Section;
- c) Air Navigation and Aerodrome Division:
 - 1) Aerodromes Section;
 - 2) Air Navigation Section;
 - 3) Performance and Monitoring Section;
 - 4) Security Section; and
- d) Special Project Office.

3.3.6 The functions and responsibilities of the three ICAA divisions are defined in the on-line quality system and related procedures in accordance with the organizational structure of the ICAA. However, the document responsibility for the definition, approval and amendment of the functions and responsibilities for each of the three divisions is carried out by the Head of these divisions themselves without documented involvement of the Director General.

3.3.7 The ICAA is approximately funded to 50% through the State's budget and 50% through generated service charges and levies for licensing and certification activities, allocated to cover cost for staff, training, equipment and inspections. Iceland has mechanisms in place to ensure that the ICAA has sufficient financial resources, and sufficient personnel is recruited and retained to meet its national and international obligations related to civil aviation oversight. The current number of qualified and experienced technical staff employed by the ICAA is sufficient to perform the currently performed duties and responsibilities. Annual reviews are conducted and staff needs evaluated. However, these mechanisms have not taken into account all areas of safety oversight and related activities.

3.3.8 The *Government Employees Act*, No. 70/1996, determines as the principal aim to bring the hiring and job conditions for public employees into line with those prevailing in the private sector. Agency managers, including the ICAA, are given increased flexibility in awarding pay increases to employees on the basis of their work and skill contribution and describe the rights and duties of government employees.

3.3.9 Personnel licensing-related activities are performed by the Personnel Licensing and Training Section within the Flight Safety Division, with the support of the Airworthiness and Registration of Aircraft Section and the Air Navigation and Aerodrome Division. Medical issues related to personnel licences are covered by the Aviation Medicine Unit, which is part of the Personnel Licensing and Training Section. The sections involved in licensing are sufficiently staffed regarding the level of activities that are conducted. The

duties and responsibilities of all staff members are documented. The approval of training organizations is also performed by the Personnel Licensing and Training Section. Theoretical examinations are generally conducted by the ICAA, on computers, except for air traffic controllers which are performed by approved training organizations. Flight examiners have been designated, some employed by the industry and some being ICAA full-time employees. Candidates for designation as flight or practical examiners must hold the pertinent licence and ratings and meet the experience requirements outlined in JAR-FCL. The validity period of the designation is three years; however, there is no system in place for the supervision of flight and practical test delivery. Medical examiners are designated individually, after an evaluation performed by the medical assessor of the ICAA.

3.3.10 In the area of aircraft operations, the Flight Operations Standards Section is assigned the responsibility for safety oversight of flight operations, including foreign air operators, and dangerous goods approvals. Job descriptions have been developed for the operations inspectors. Ramp inspections are carried out in cooperation with the Personnel Licensing and Training and Airworthiness and Registration of Aircraft Sections. The Flight Operations Standards Section is adequately staffed with eight inspectors to address its currently assigned duties and responsibilities. Approvals related to the transport of dangerous goods by air are performed by the Flight Operations Standards Section as focal point.

3.3.11 With respect to the airworthiness of aircraft, responsibilities for airworthiness activities related to Annexes 6, 7, 8 and 16 to the Chicago Convention are carried out by the Airworthiness and Registration of Aircraft Section. No airworthiness tasks have been delegated to other ICAA divisions, State bodies, regional organizations, private agencies or individuals. Five airworthiness inspectors, one airworthiness engineer and one registration officer carry out the assigned duties and responsibilities, such as the issuance of certificates of registration and the maintenance of the aircraft registry; type acceptance and the subsequent issuance of first certificates of airworthiness; issuance and annual renewal of certificates of airworthiness and physical inspection of non-EASA aircraft; noise certification; issuance of special flight authorizations and approvals for export; continuing airworthiness responsibilities as the State of Registry; airworthiness-related aspects of air operator's specific operating provisions; approval and surveillance of continuing airworthiness maintenance organizations (CAMOs) and approved maintenance organizations (AMOs) and other airworthiness activities. In addition, engineering responsibilities, such as the approved modifications and repairs for non-EASA aircraft, the assessment of continuing airworthiness information and the issuance of additional mandatory airworthiness actions, as necessary, are responsibilities of the Airworthiness and Registration of Aircraft Section. Job descriptions have been developed for all personnel.

3.3.12 In the area of air navigation services, the Air Navigation and Aerodrome Division is assigned duties and responsibilities related to the certification and oversight of ATS, CNS, MET, AIS and aeronautical charts. However, no entity for carrying out safety oversight in the field of SAR has been established and the oversight functions related to SAR service are not clearly defined in the national regulations. The functions of the division and job descriptions for the staff are defined in ICAA procedures. However, an effective safety oversight system has not been established in the area of air navigation services, and the activities are limited to the certification of service providers. The ad hoc inspections in the fields of PANS-OPS, AIS and aeronautical charts have not been conducted for the last three years. Although the national ATS provider uses the surveillance service of four radars belonging to the Icelandic Defense Agency, the ICAA does not ensure the compliance of this service with the regulatory requirements. ATS, CNS, PANS-OPS, AIS and aeronautical charts services are provided by the Icelandic airport administration ISAVIA. MET service is provided by the Icelandic Meteorological Office. SAR service is provided by the Icelandic Coast Guard. The total number of movements through the airspace controlled by Iceland in 2009 was about 100000, which is inferior to the ATS system capabilities. A trend of stability of traffic has been observed in the first nine months of 2010 in comparison to the corresponding period in 2009. Iceland has not yet established a State Safety Programme (SSP). The ATS provider has actually developed and implemented an SMS in accordance

with the regulatory requirements. The joint aeronautical and maritime rescue coordination centre (RCC) has been established in accordance with the requirements of Regulation No. 752/2010 to coordinate aeronautical and maritime SAR operations as an entity which provides, on a 24 hour basis, SAR services within the territory of Iceland and the adjacent high seas. Regulation No. 752/2010 arranges for all aircraft, vessels and local services and facilities, which are not part of the SAR organization to cooperate fully with the latter in SAR and to extend any possible assistance to the survivors of aircraft accidents. Iceland has signed the appropriate agreements with neighbouring States to coordinate their SAR organization. However, the entity responsible for safety oversight in the area of SAR service has not been established in Iceland.

3.3.12.1 The aerodrome regulatory function has been established within the ICAA organizational structure. The Aerodromes Section and the Security Section are specifically responsible for the certification and continuing surveillance of aerodromes in Iceland. Job descriptions are developed and documented for the aerodrome regulatory staff.

3.3.13 With respect to aircraft accident and incident investigation, the AAIB is a permanent body having two permanent investigators in charge of the organization and conduct of investigations. The results of the investigations and the draft reports are reviewed and approved by a board composed of one chairman, two members and three alternate members. The Board chairman and members are aeronautical specialists with a significant level of experience. Primarily, they work for the AAIB on a part-time basis and meet several times a year, as necessary, and may also participate in investigation activities corresponding to their area of expertise and even be on duty, when permanent investigators are not available. The AAIB is State-funded and has a separate budget that covers costs related to the day-to-day operations. However, the budget does not include the cost of actual investigation activities, such as wreckage recovery, tests and examinations, and travel expenses for investigation purposes. As a result, for each investigation and related expenditure, the AAIB has to submit a specific request to the Finance Department of the Ministry of Transport, which may not be approved, as was the case for some requests in 2008 and 2009. In addition, Iceland has not established a process for supplementary funding of accident investigation in case of a major aircraft accident.

3.4 **Critical element 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.”

3.4.1 In the area of personnel licensing, the ICAA has established requirements on the knowledge and experience of the licensing staff. Training programmes have been established for each inspector, based on experience; however, there is no formal training programme established and no prioritization for the training courses defined. Training records are maintained in personnel files that allow for the tracking of planned and received training. Designated flight examiners are appointed following completion of a flight examiner seminar and a successful acceptance flight test. The designation can be renewed for a similar period upon the condition of having at least two examinations performed per year and passed an acceptance flight test. A total number of 100 flight examiners for aeroplanes and helicopters have been approved.

3.4.1.1 The ICAA employs a medical assessor for reviewing medical reports submitted by medical examiners designated by the ICAA. Eight medical examiners have been designated and one aero medical centre has been approved. Both the medical assessor and the designated medical examiners have been trained initially and receive recurrent training including aero medical training. The recurrent training requirements are fully implemented and include participation in refresher seminars and attendance at various aviation medicine conferences.

3.4.2 With respect to aircraft operations, the ICAA has established knowledge and experience requirements as part of the job descriptions. An annual training plan has been developed for the operations inspectors involved in aircraft operations, including the dangerous goods inspectors. However, the training courses are not prioritized according to the needs for each position. OJT is requested to be completed prior to the nomination as an inspector. All records are kept in individual files, in hard copy in the Flight Operations Standards Section and also in electronic form as part of the ICAA Intranet. Some operations inspectors have current licences and ratings and maintain flight currency by flying with air operators.

3.4.3 With regard to the airworthiness of aircraft, minimum qualification and experience criteria have been defined for the airworthiness inspectorate and engineering staff and the aircraft registry specialist. The Airworthiness and Registration of Aircraft Section has developed a training programme, including initial, recurrent, specialized and on-the-job training. Training plans have been drawn up, detailing the type of training to be provided. However, the current training programme and periodic training plans developed for the technical staff do not sufficiently cover recurrent training and all task-related training requirements, such as air operators' certification, including relevant specific operational approvals, reliability monitoring, non-destructive testing (NDT) and SMS. In addition, the current established training programme has not been fully implemented for all technical personnel.

3.4.4 In the field of air navigation services, minimum qualification criteria for inspectorate staff have been established. Existing technical staff includes experts with appropriate aviation background of at least five years of experience. The requirements for periodic training of air navigation services inspectorate staff in accordance with the current needs are defined in the ICAA Procedure SS-2.3051. However, the training policy does not address the development of a formal training programme detailing what type of training is to be provided to air navigation services inspectorate staff. Furthermore, a periodic training plan detailing and prioritizing what type of training will be provided during the established period has not been developed in the fields of PANS-OPS, AIS, aeronautical charts and MET.

3.4.5 With respect to aerodromes, the ICAA has established minimum qualification and experience requirements for its aerodrome inspectors. Based on the training policy and programme for all the regulatory staff documented in the on-line quality management system, periodic training plans have been developed for the aerodrome regulatory staff. Initial, recurrent and on-the-job training is provided and training records are documented in the quality management system. However, the training programme has not been fully implemented. The aerodrome regulatory staff have not been trained in the development, use and evaluation of SMS, including aeronautical studies and risk assessments.

3.4.6 In the area of aircraft accident and incident investigation, permanent investigators are required to have education and/or experience in areas that may be useful in an aircraft accident investigation. Both permanent investigators have aeronautical qualifications and have valid pilot licences and a significant experience in airlines before having joined the AAIB. They acted as IIC in numerous aircraft investigations in Iceland, mainly general aviation accidents, but also several serious aircraft incidents. They also participated in some foreign investigations as accredited representatives or observers. A formal training programme has been established for the permanent investigators and board members, including initial, on-the-job, recurrent and specialized training. A five-year training plan is derived from the programme, updated each year and implemented, apart from some postponed courses. Both permanent investigators have followed basic and advanced investigation techniques training, numerous specialized training sessions on aeronautical matters (jet engines and transport aircraft type ratings) and specific investigation techniques (helicopter accidents, human factors and photography techniques). In addition, the AAIB has trained Board members and approximately 60 aviation professionals in Iceland on aircraft accident investigation techniques, so that they can perform initial protection and investigation activities and can be used as experts, as necessary.

3.5 **Critical element 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.”

3.5.1 The ICAA has provided its staff with convenient facilities, modern equipment and transportation means to perform their duties.

3.5.2 ICAO documents and other regulatory and technical publications are available via Internet and Intranet in updated versions. One technical personnel is in charge of document control. However, the ICAA does not keep design organization documentation and continuing airworthiness information, such as aircraft manuals, maintenance and structural repair manuals, service bulletins, master minimum equipment lists, maintenance review board reports and airworthiness directives for all aircraft on the Icelandic aircraft registry.

3.5.3 All ICAA staff participate in the policy making processes and the definition of values, such as integrity, trust, good services, and cooperation. Just culture is the set principle for the conduct of audits and corrective actions of identified deficiencies with the goal of taking infrequent legal enforcement actions. Quality assurance and a risk-based concept are incorporated in all processes and procedures. The ICAA has determined process owners principles to entitle inspectorate staff to prepare, conduct, document and take follow-up actions for assigned duties. GoPro is the established on-line document management system.

3.5.4 With respect to personnel licensing, the ICAA is using the established procedures and technical guidance for the issuance of personnel licences, processing of medical assessment, designation of flight examiners and for the approval of training organizations as described in the Joint Implementation Procedures of the JAA, approved to be used by Decision of the ICAA. The procedures and used checklists are available on the Intranet. The ICAA has established a system for keeping personal files and records for each licence holder, with access rights properly controlled. Medical files are kept in hard copy format, in locked cupboards ensuring the confidentiality of these data.

3.5.5 With respect to aircraft operations, the ICAA has developed specific procedures issued as technical guidance material based upon EU-OPS, JAR-OPS 3 and national regulations, available on the Intranet. These include a series of checklists which cover the main areas of activities, such as the certification process, the assessment of application forms, the renewal and variation of AOCs, inspections and principal authorizations, surveillance policies and follow-up on discrepancies. These checklists are complemented by JAA Acceptable Means of Compliance (AMC), approved to be applied by Decision of the Director General. However, some procedures are not sufficiently detailed, such as the ones regarding flight data recorders and leasing approvals. The ICAA has not developed technical guidance material for use by the ICAA dangerous goods inspector in the performance of approval, inspection and surveillance activities. The only guidance material being used are the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284). Guidance for granting exemptions is contained in Procedure FO-2.202 — *Exemptions from operations regulations*. The ICAA has published on its website information for the issuance of an AOC. However, the published information is not sufficient for a prospective air operator, in particular with respect to the applicable regulations for obtaining an AOC and corresponding operations specifications. The ICAA

ensures systematically coordination during certification, licensing, approval and inspection activities amongst the relevant entities involved.

3.5.6 With respect to the airworthiness of aircraft, airworthiness inspectors have been provided with comprehensive procedures, checklists and guidance compiled in the on-line Lotus system. However, in the absence of enabling regulations, not all the necessary procedures have been developed, such as for the approval of the continuing airworthiness maintenance exposition and the maintenance programme to include the observation of human inspectors, and for the approval of AMOs to include SMS. Furthermore, the procedures for the initial issuance/renewal of a certificate of airworthiness to cover the review and/or retention of the flight manual or equivalent document and the electrical load analysis have not been developed.

3.5.6.1 Industry is provided with guidelines on the authenticity and serviceability of aircraft parts and the identification of acceptable international standards for specialized maintenance activities, such as NDT.

3.5.7 In the area of air navigation services, procedures relating to air navigation services certification and surveillance have been developed. These procedures provide the air navigation services inspectors with detailed instructions for ATS, CNS, MET, PANS-OPS, AIS and aeronautical charts services. All available regulatory and technical documentation are also made available to the service providers.

3.5.8 With respect to aerodromes, the ICAA has developed procedures for aerodrome certification and registration, as well as for aerodrome safety inspections, as part of the quality management system. Inspection checklists are available for initial certification and continuing surveillance. The ICAA has not established procedures for accepting a non-compliance with the established requirements, including a risk assessment mechanism and notification procedure, nor a process to review the validity of using an aeronautical study or risk assessment to justify an application for an exemption or exception as well as the continuing need.

3.5.9 With respect to accident and incident investigation, the AAIB offices are located in a building shared with the road accident investigation authority and rescue team facilities. Offices and crisis/meeting rooms are equipped with all appropriate equipment for managing investigations in Iceland and abroad. Investigation equipment is comprehensive and readily available directly in the AAIB on the duty four-wheel drive car and in a storage room. Investigators are aware of the available equipment and have been trained on their efficient use. Each investigator has its own personal investigation equipment, including protective equipment. The AAIB has access to rescue team specialized vehicles and to coastguard helicopters to travel to the crash site. The AAIB has recently developed a procedures handbook. The first volume in English language contains the AAIB policy and investigation management procedures for the handling of investigations in Iceland and participation in investigations falling under the responsibility of foreign authorities. The second volume in Icelandic language outlines more practical elements regarding the functioning of the AAIB, training and practical aspects of investigations. Notification aspects are covered in details with blank forms containing all data requested by the related provisions of Annex 13 to the Chicago Convention. Relations with other investigation authorities during international investigations in Iceland or in another State are described from the notification up to the consultation on the draft final report and the dissemination of the final report. Processes for various types of investigations and instructions and guidance for the different steps of the investigations are described. Procedures have not been developed yet for recorders read out by the facility working on request of the AAIB to ensure compliance with the Icelandic regulatory provisions and established AAIB procedures; for coordination between a pathologist specialized in aircraft accident investigation and the physician who will perform autopsies and/or medical examination after an aircraft accident or incident; and for provision to families and accident survivors of relevant and timely information on the progress of the investigation. Final reports are established for each accident and serious

incident, following Annex 13 to the Chicago Convention or simpler formats for some incidents. Reports are released to concerned States and parties, and to ICAO, when applicable. They are also available to the public on the AAIB website.

3.6 Critical element 6 — Licensing, certification, authorization and/or 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 licence, certificate, authorization and/or approval to conduct the relevant aviation activity.”

3.6.1 With respect to personnel licensing, all licences and ratings are of the expiring type, having various periods of validity. Renewals of ratings require theoretical examinations, flight checks or recent proof of experience, as applicable. All applications are sent to the Personnel Licensing and Training Section, where the assessment process is carried out entirely or in cooperation with other sections. All theoretical examinations for flight crew are provided to the applicants, in a dedicated room, using questions taken from the Central Questions Bank of the JAA. Private pilot licence theoretical examinations are performed using tests developed by the ICAA. Theoretical examinations for air traffic controllers are delegated to approved training organizations. However, there is no procedure to ensure that formal surveillance is conducted on the consistency and reliability of theoretical examinations performed by designated organizations. Flight examinations are conducted either by ICAA flight examiners or by designated flight examiners from the industry.

3.6.2 Language proficiency assessment is performed by ICAA-approved language assessment bodies. The assessments are developed by these organizations, including audio-clips for testing. Five language assessment bodies have been approved but no requirements have been established for their approval.

3.6.3 All medical assessments performed in Iceland are carried out by the designated medical examiners and sent to the medical supervisor of the ICAA, in hard copy format. Designated medical examiners sign the certificate for all classes of medical assessment, except for the initial issue of Class 1 medical certificates which is signed by the medical assessor of the ICAA.

3.6.4 With respect to aviation training organizations, the ICAA has established a system for the certification or recognition of foreign training organizations. Eight training organizations have been approved by the ICAA and amongst those, four flight training organizations (FTOs) for aeroplanes, two type rating training organizations (TRTOs) for aeroplanes and two training organizations for air traffic controllers.

3.6.5 In the area of aircraft operations, the certification, approval and authorization processes are implemented according to EU-OPS or JAR-OPS 3, as applicable. The certification process includes a standard application form and compliance checklist; selection of a responsible inspector within the Flight Operations Standards Section; review of operations manuals; and audits performed by ICAA inspectors. Upon the successful completion of the certification process, the applicant is issued a numbered AOC and a set of operations specifications, using a standardized ICAA form. 14 AOCs have been currently issued, including 11 operating with aeroplanes and 3 with helicopters. One national AOC has been issued for aerial work. Any special authorizations, such as extended range operations by turbine-engined aeroplanes (ETOPS), reduced vertical separation minimum (RVSM), CAT II/III, minimum navigation performance specifications (MNPS) or transport of dangerous goods by air, are included in the operations specifications. For initial issuance, the validity period is one year and thereafter for up to two years. The security training programmes for flight and cabin crews are reviewed and approved by one inspector from the Air Navigation and Aerodrome Division.

3.6.5.1 For the transport of dangerous goods by air, the ICAA has approved several AOC holders operating aeroplanes. The Flight Operations Standards Section approves the dangerous goods training programmes and manuals for operators that are approved to transport dangerous goods. The ICAA does not issue any authorization specifically to shippers that handle dangerous goods for air transport.

3.6.6 With respect to the airworthiness of aircraft, the ICAA maintains a current aircraft register for all aircraft registered in Iceland which shows the information included on the certificate of registration. The records kept by the Airworthiness and Registration of Aircraft Section for every aircraft registered in the State consistently contain all documents, such as the type certificate, type certificate data sheet, mass and balance reports, flight test reports and flight authorizations. The special flight permits and export certificates of airworthiness issued by the ICAA contain all required pertinent information. The Airworthiness and Registration of Aircraft Section has been assigned with tasks related to the approval of the current 24 CAMOs and/or AMOs, the review and approval of maintenance programmes and the issuance of specific operating provisions. The process in place is efficient to ensure that the airworthiness-related aspects with regard to the certification and surveillance of air operators are performed. In the absence of promulgated regulations, the currently 12 approved AMOs do not comply with the provision of Annex 6 to the Chicago Convention, which requires the establishment and implementation of an SMS.

3.6.7 In the area of air navigation services, the service provider ISAVIA was certified by the ICAA in 2008 for the provision of ATS, AIS and CNS. Similarly, the Icelandic MET Office was certified by the ICAA in 2008 to provide MET service. The certificates are valid for two years. The next certification is planned by the end of 2010. The certification process includes verification of the implementation of SMS and QMS by ISAVIA and the MET Office. However, an SSP outlining the acceptable levels of safety, continuous monitoring and regular assessment of achieved safety levels in accordance with the provisions of Annex 11 to the Chicago Convention has not been established yet. The radio navigation aids of ISAVIA are flight inspected periodically, and the related records of flight inspections are systematically maintained. However, the periodicity of flight inspections of four radars belonging to the Icelandic Defence Agency and being used for ATS does not comply with the requirements stipulated in Regulation No. 631/2008. With regard to the provision of AIS and MET services, ISAVIA and the Icelandic MET Office have implemented properly organized quality systems, in accordance with the provisions of Annexes 3 and 15 to the Chicago Convention and have obtained an ISO 9001 certificate.

3.6.8 With respect to aerodromes, all the four international aerodromes in Iceland had been certified by the ICAA before the new aerodrome operator, ISAVIA, took over the operation of the four aerodromes from the previous operators. An interim certificate was issued to each of the four aerodromes on 1 May 2010 which, at the time of the audit, would be valid until 1 January 2011, pending the restructuring of ISAVIA. The validity of an aerodrome certificate in Iceland varies, and the maximum duration is five years. As part of the certification process, an aerodrome manual is required to be submitted for acceptance and initial inspection conducted of the aerodrome facilities and operating conditions, prior to the issuance of a certificate. The Aerodromes Section and the Security Section keep up-to-date copies of aerodrome manuals and other relevant documents related to the certification of aerodromes.

3.7 **Critical element 7 — Surveillance obligations**

“The implementation of processes, such as inspections and audits, to proactively ensure that aviation licence, 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.”

3.7.1 In the area of personnel licensing, the supervision of the performance of flight and practical examiners is ensured only at the initial and the renewal of the designation. The ICAA does not have a procedure and a formal surveillance programme for performing oversight of ICAA-designated examiners who administer theoretical, practical and flight examinations, to ensure that the examinations are consistent and reliable. Specific procedures for surveillance of training organizations have been developed. Annual surveillance programmes for the approved training organizations have been developed to ensure continuing compliance with the personnel licensing regulations. However, the surveillance programme does not include random inspections. Designated medical examiners are periodically audited without having established a formal surveillance plan.

3.7.2 With respect to aircraft operations, the ICAA has developed a detailed surveillance programme for the Flight Operations Standards Section staff, available on the Intranet. Furthermore, the ICAA has established a mechanism to ensure that the operator's financial condition is monitored for unfavourable trends. The programme is fully implemented; however, it does not include random inspections. In addition, the surveillance programme does not include the ICAA-designated individuals within aviation organizations who conduct tasks, such as flight checks, on behalf of the ICAA.

3.7.2.1 One of the operations inspectors has been assigned and trained to perform SAFA ramp inspections in cooperation with one inspector from the Personnel Licensing and Training Section and one inspector from the Airworthiness and Registration of Aircraft Section; however, no formal surveillance plan has been established.

3.7.2.2 For the transport of dangerous goods by air, the ICAA carries out regular inspections covering only AOC holders that have been approved for the carriage of dangerous goods by air. Regarding the shippers that handle dangerous goods, surveillance is performed indirectly, based on the AOC holders quality system, which includes all aspects of subcontractors. No random inspections are performed either for the organizations or agencies involved in the transport of dangerous goods by air.

3.7.3 With respect to the airworthiness of aircraft, the Airworthiness and Registration of Aircraft Section has established a formal surveillance programme to ensure that all air operators and AMOs comply with national regulations. Each of the CAMOs and AMOs is inspected during a two-year cycle based on various scopes to be addressed for each visit. In case of identified deficiencies, further inspections are added to the initial cycle. Overall, the surveillance activities are based on a risk assessment in addition to the systematically performed inspections and audits. However, this mechanism does not include random checks. Mass and balance reports of all aircraft are checked periodically in compliance with the applicable regulations. Airworthiness inspectors attend meetings held by the air operators on the monitoring of reliability programmes. However, ongoing oversight of AOC holders' reliability programmes is not conducted.

3.7.4 In accordance with the established regulations, the ICAA is responsible for continuous surveillance in the area of air navigation services. Procedures have been developed to verify performance and compliance of the service provider with established requirements. The surveillance programme has been established in Procedure FSS-4.2101. However, the surveillance programme has not been fully implemented for the continuous oversight of air navigation services providers. The safety oversight activity is limited to the certification of service providers. The previously performed ad hoc inspections in the fields of PANS-OPS, AIS and aeronautical charts have not been conducted during the last three years. Furthermore, the established surveillance programme does not include the field of SAR.

3.7.5 With respect to aerodromes, the ICAA has developed and documented, in its quality management system, a formal inspection programme and procedures for the continuing surveillance of certified aerodromes. A periodic inspection is conducted at least once every year for certified aerodromes, and

a special inspection is conducted whenever circumstances so warrant. The inspection results are documented in the quality management system to facilitate follow-up actions. A risk assessment being conducted by the aerodrome operator regarding two major objects not used for navigation purposes, existing within the runway strip at one of the international aerodromes, has not been completed yet.

3.8 **Critical element 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 aviation system and have been detected by the regulatory authority or other appropriate bodies.

Note.— This would include the ability to analyse safety deficiencies, forward recommendations, support the resolution of identified deficiencies as well as take enforcement action, when appropriate.”

3.8.1 The document “Enforcement tools of the ICAA” stipulates that the ICAA, as a special government agency, shall exercise its executive powers in aviation affairs in accordance with the *Administrative Procedures Act* and the *Aviation Act* and outlines the available enforcement tools and actions, such as informal enforcement actions and criminal prosecution.

3.8.2 With respect to personnel licensing, the *ICAA Act* provides the necessary enforcement powers to the ICAA, including the suspension, revocation or limitation of licences issued by the ICAA, in case the holder is no longer fulfilling the requirements or in cases of breaches of law or regulations. An example of an enforcement action, namely the suspension of an FTO approval, has been provided to confirm that appropriate enforcement action was taken in case of identified deficiencies.

3.8.3 In the area of aircraft operations, based on accomplished surveillance activities, the ICAA takes decisions on enforcement actions, if necessary, such as suspension, limitation, revocation of certificates, or imposition of fines. Examples of actions undertaken by the ICAA to suspend an AOC have been provided to confirm effective resolution of identified deficiencies through application of appropriate enforcement measures. The ICAA has established a thorough system for the effective monitoring of identified deficiencies, the resulting corrective actions taken by the concerned air operator, and the follow-up actions. The system in place is also used by the Flight Operations Standards Section staff to identify any negative trends related to aircraft operations.

3.8.4 With respect to the airworthiness of aircraft, the Airworthiness and Registration of Aircraft Section has implemented a documented process for the follow-up of deficiencies identified during inspections of CAMOs and AMOs and all other approved airworthiness activities. All identified deficiencies are managed and processed through the on-line system and generally rectified in a timely manner. Examples of enforcement actions for cases of significant safety concerns, including grounding of aircraft, have been reviewed. Mandatory continuing airworthiness actions issued by other States of Design for EASA aircraft are not reviewed, as EC regulations mandate that such information is automatically applicable to Icelandic aircraft. Mandatory continuing airworthiness information issued by the State of Design for Annex II aircraft is adopted directly. Information on faults, malfunctions and defects is transmitted to the ICAA and further to the organization responsible for the type design of aircraft registered, being operated or receiving maintenance under an approval issued by Iceland.

3.8.4.1 In the absence of ongoing oversight of reliability programmes to be conducted, the Aircraft and Registration of Aircraft Section has not initiated a special evaluation or has not imposed special

operational restrictions, if the information obtained from reliability monitoring indicates a degraded level of safety.

3.8.5 In the field of air navigation services, the Procedure FMS 1.3040 has been adopted to implement the established mechanism for the resolution of identified safety concerns. The mechanism includes the evaluation of severity of deficiencies (three levels), the appropriate corrective actions to be developed and taken by the auditee, report of eliminations of deficiencies and secondary inspection for verifying eliminations. Time frames are defined, from two weeks up to six months, depending on severity, for the elimination of deficiencies as well as the further actions to be taken in case of non-compliance with corrective actions up to revocation of the certificate issued. In addition, in case of serious deficiencies (level 1), the auditee is required to take appropriate measures to mitigate the potential impact on safety.

3.8.6 With respect to aerodromes, the aerodrome inspection findings are of three categories. Category 1 findings deal with serious safety concerns, where inspectors can stop the operation immediately; Category 2 findings include non-compliances with SARPs, where a deadline is given for corrective actions; and Category 3 findings are of minor significance, where the inspectors provide the aerodrome operator with observations and recommendations. Enforcement actions may be taken, including operating restrictions and limitations, as well as suspension and revocation of the aerodrome certificate. Exchange of safety information across the aerodrome industry is carried out through regular coordination meetings between the ICAA and the aerodrome operators. Collected bird strike reports have not been forwarded to ICAO.

3.8.7 With respect to accident and incident investigations, the AAIB issues safety recommendations and publishes them in the investigation reports. The AAIB procedures manual contains general guidance on safety recommendations issuance and refers to the ICAO Manual on aircraft accident and incident investigations (Doc 9756), Part IV — *Reporting* for details on formulating safety recommendations. Preliminary reports and data reports have been sent to the ICAO accident/incident reporting (ADREP) system for all aircraft accidents and incidents investigated by Icelandic authorities.

3.8.7.1 The Icelandic mandatory reporting system, established as per Regulation No. 53/2006, allows for the collection of more than 600 events per year. Reported occurrences data are stored in the European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS) database maintained by the ICAA. The ICAA performs numerous statistical analyses on data gathered which are used by the various departments of the ICAA to support surveillance activities. Data are automatically exchanged with the EU ECCAIRS system, and the ICAA has sent all its data to the ICAO ADREP and plans to send new occurrences on a periodic basis. However, Iceland has not established a voluntary occurrence reporting system, managed at the State level, to facilitate the collection of information that may not be captured by the mandatory incident reporting system. In addition, Iceland has not promulgated legislation and has not developed associated procedures for ensuring that its voluntary occurrence reporting system is non-punitive and for ensuring protection of the sources of the information.

4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS

4.1 Accompanied by staff members of the State's civil aviation system, the audit teams visit aviation service providers, operations and maintenance departments of operators and maintenance organizations, aeronautical product/equipment manufacturers, aviation training institutes, etc. The objective of the visits is to validate the capability of the State to supervise the activities of these service providers, airlines and organizations.

4.2 In the case of Iceland, the audit team visited the following organizations:

- a) Icelandic Aviation Academy (PEL);
- b) Air Atlanta Icelandic (OPS and AIR);
- c) Icelandair (AIR);
- d) ISAVIA Office; Reykjavik area control centre; Reykjavik Tower; Icelandic MET Office; and Reykjavik joint RCC (ANS); and
- e) Keflavik International Airport (AGA).

5. **AUDIT FINDINGS AND DIFFERENCES DATABASE (AFDD)**

5.1 The general objective of the AFDD is to assist States in identifying the elements that need attention in the implementation of the proposed corrective action plan. The information is also intended to assist States in establishing a priority of actions to be taken to resolve safety concerns identified by the audits. Appendix 2 to this report contains a graphic representation of the lack of effective implementation of the critical elements of the safety oversight system (ICAO Doc 9734, Part A refers) in Iceland, reflecting as well the results of the latest audits carried out on EASA at the time of the audit of Iceland and at a global level (average results from all States audited). The graphic representation enables the audited State to prioritize the necessary corrective actions and to identify assistance requirements based on its personnel, technical and financial capabilities in consideration of its safety oversight obligations.

6. **STATE AVIATION ACTIVITY QUESTIONNAIRE (SAAQ)**

6.1 The SAAQ is one of the major tools required for conducting a comprehensive systems approach-based safety oversight audit. As such, all Contracting States are required to complete the SAAQ and submit it to ICAO for proper evaluation and recording. The submitted information enables ICAO to maintain an up-to-date database on the State's civil aviation activities. Iceland has submitted its SAAQ to ICAO, which can be found at <http://www.icao.int/soa>.

7. **COMPLIANCE CHECKLISTS (CCs)**

7.1 The CCs are one of the main tools used in the conduct of safety oversight audits under the comprehensive systems approach. As such, all Contracting States are required to complete the CCs and submit them to ICAO for evaluation and recording. The submitted information enables ICAO to maintain an up-to-date database on the State's level of compliance to the ICAO SARPs and assist in facilitating the conduct of a standardized audit of all Contracting States. As a result, States will be enabled to have a clear picture of the implementation status of the relevant SARPs. Iceland has submitted its CCs to ICAO, which can be found at <http://www.icao.int/soa>.

8. **FOLLOW-UP ACTION**

8.1 In accordance with the MOU agreed to between Iceland and ICAO, Iceland submitted a corrective action plan on 28 March 2011 and an update to the action plan on 10 June 2011. The action plan submitted was reviewed by the Continuous Monitoring and Oversight Section and was found to fully address all of the findings and recommendations contained in this report. The proposed action plan, including

comments and clarifications provided by the State, is attached as Appendix 3 to this report. Comments by ICAO on each corrective action are found in Appendix 1 to this report.

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APPENDIX 1

APPENDIX 1-1-01
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

ICELAND	LEG/01 1.009; 1.025; 1.205; 3.005; 3.007; 3.011; 4.003; 4.005; 4.011; 4.333; 5.005; 5.007; 6.015; 6.017;
Audit Period: 19/10/2010 - 28/10/2010	

DOCUMENT REFERENCE:

Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.

CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
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FINDING:

The Icelandic Civil Aviation Administration (ICAA) has developed procedures for processing ICAO State letters and issuing regulations regarding amendments of provisions in the Annexes to the Chicago Convention. However, Iceland has not consistently implemented these procedures for the amendment of specific regulations and for the identification and notification to ICAO of differences existing between the ICAO Standards and the Icelandic regulations and practices in all areas, such as personnel licensing, operations, airworthiness and aircraft accident and incident investigation. Furthermore, the Aeronautical Information Publication (AIP) of Iceland, last amendment through AIC No. 45 of 30 July 2010, does not contain all existing significant differences.

RECOMMENDATION:

Iceland should establish means to ensure that the developed procedures are fully and consistently implemented to:

- a) systematically verify the compliance of applicable regulations with the Annexes to the Chicago Convention and to amend the regulations in an effective and timely manner, as needed, in order to incorporate the amendments of the Annexes to the Chicago Convention in its national provisions and practices;
- b) ensure the identification and notification to ICAO of all existing differences between the ICAO Standards and the Icelandic regulations and practices; and
- c) ensure that all existing significant differences between the ICAO Standards and the Icelandic regulations and practices are published in the AIP.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-1-1 of this report.

Estimated Implementation Date: 01/11/2011

COMMENTS BY ICAO:

The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.

APPENDIX 1-1-02
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

ICELAND Audit Period: 19/10/2010 - 28/10/2010	LEG/02 1.105; 4.035; 5.035; 8.045;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 X CE-4 CE-5 CE-6 CE-7 CE-8	
FINDING: The credentials issued to ICAA inspectors do not specify the individual mandate and tasks, taking into account the area of expertise, as outlined in the job descriptions.	
RECOMMENDATION: The credentials issued to ICAA inspectors should specify the individual mandate and tasks, taking into account the area of expertise, based on the job descriptions.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-1-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/09/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-1-03
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

<p>ICELAND</p> <p>Audit Period: 19/10/2010 - 28/10/2010</p>	<p>LEG/03 1.151;</p>								
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%;">CE-1 X</td> <td style="width: 12.5%;">CE-2</td> <td style="width: 12.5%;">CE-3</td> <td style="width: 12.5%;">CE-4</td> <td style="width: 12.5%;">CE-5</td> <td style="width: 12.5%;">CE-6</td> <td style="width: 12.5%;">CE-7</td> <td style="width: 12.5%;">CE-8</td> </tr> </table>		CE-1 X	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
CE-1 X	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>Iceland ratified Article 83 <i>bis</i> of the Chicago Convention on 9 May 1990 and entered into bilateral agreements with several States in the past and currently with Austria outlining the transfer of surveillance responsibilities. However, the legislative provisions do not provide for the transfer of duties and responsibilities from the State of Registry to the State of the Operator and do not provide for the recognition of certificates of airworthiness, radio licences and crew licences issued/renewed/validated by the State of the Operator under an Article 83 <i>bis</i> agreement between third-party States.</p>									
<p>RECOMMENDATION:</p> <p>Iceland should promulgate legislative provisions related to Article 83 <i>bis</i> of the Chicago Convention to provide for the transfer of duties and responsibilities from the State of Registry to the State of the Operator and to provide for the recognition of certificates of airworthiness, radio licences and crew licences issued/renewed/validated by the State of the Operator operating under an Article 83 <i>bis</i> agreement between third-party States.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-1-3 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/06/2012</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-2-01
FINDINGS AND RECOMMENDATIONS RELATED TO
CIVIL AVIATION ORGANIZATION

ICELAND	ORG/01 3.103; 4.027; 5.023; 7.053; 7.203; 7.271; 7.327; 7.375; 7.419;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
The functions and responsibilities of the three ICAA divisions are defined in the on-line internal procedures in accordance with the organizational structure of the ICAA. However, the document responsibility for the definition, approval and amendments of the functions and responsibilities for each of the three divisions is carried out by the Head of these divisions themselves without documented involvement of the Director General.							
RECOMMENDATION:							
The ICAA should establish a mechanism to ensure that the functions and responsibilities of the three ICAA divisions are approved by the Director General.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-2-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 28/03/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-2-02
FINDINGS AND RECOMMENDATIONS RELATED TO
CIVIL AVIATION ORGANIZATION

ICELAND	ORG/02 4.071; 5.105;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The ICAA does not keep design organization documentation and continuing airworthiness information, such as aircraft manuals, maintenance and structural repair manuals, service bulletins, master minimum equipment lists, maintenance review board reports and airworthiness directives for all aircraft on the Icelandic aircraft registry.							
RECOMMENDATION:							
The ICAA should establish a mechanism to ensure the availability and the currency of all design organization documentation and continuing airworthiness information to support the certificates/approvals issued for all aircraft on the Icelandic aircraft registry. This mechanism should be based on a document control system.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-2-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/02/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-2-03
FINDINGS AND RECOMMENDATIONS RELATED TO
CIVIL AVIATION ORGANIZATION

ICELAND	ORG/03 2.051; 2.053;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
Iceland has mechanisms in place to ensure that the ICAA has sufficient financial resources and that sufficient personnel is recruited and retained to meet its national and international obligations related to civil aviation oversight. However, these mechanisms have not taken into account all areas of safety oversight and related activities.							
RECOMMENDATION:							
Iceland should revise the established mechanisms to ensure that:							
<ul style="list-style-type: none"> a) all areas of safety oversight and related activities are taken into consideration; b) sufficient financial resources are allocated to the ICAA based on its status as an autonomous entity; and c) sufficient personnel is recruited and retained to meet all of Iceland's national and international obligations related to civil aviation oversight. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-2-3 of this report.							
Estimated Implementation Date: 01/09/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-01
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/01 3.309;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING:							
During the process of validation of foreign licences, the ICAA is systematically contacting the issuing State to ensure the validity and the authenticity of the original licence. However, the validation procedures do not include the aspect of verification that the original licence is in full compliance with Annex 1 to the Chicago Convention.							
RECOMMENDATION:							
The ICAA should revise its process for the validation of foreign licences to ensure that personnel licensing staff systematically contact the issuing State to verify the validity and the authenticity of the original licence and its full compliance with Annex 1 to the Chicago Convention.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 16/03/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-02
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/02 3.451; 3.459;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
Iceland has established general provisions for the designation of medical examiners. Joint Implementation Procedures developed by the Joint Aviation Authorities (JAA) are used by the ICAA, being approved to be used by Decision of the Director General. However, specific procedures for the designation of medical examiners for Class 3 have not been developed. Furthermore, the ICAA performs surveillance of medical examiners without having established a formal surveillance plan.							
RECOMMENDATION:							
Iceland should establish provisions for the designation of medical examiners for Class 3. Furthermore, the ICAA should develop and implement procedures and establish a formal surveillance plan for the designation of medical examiners for Class 3.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/06/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-03
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/03 3.503; 3.509; 3.755;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6 X	CE-7 X	CE-8
FINDING:							
The ICAA has delegated the conduct of theoretical examinations for air traffic controllers to approved training organizations. However, no mechanism has been established to ensure that formal surveillance is conducted on the consistency and reliability of theoretical examinations performed by designated organizations.							
RECOMMENDATION:							
The ICAA should establish a mechanism for the surveillance of approved training organizations delegated to conduct theoretical examinations to ensure the consistency and reliability of the testing.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 16/03/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-04
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/04 3.655; 3.657;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7 X	CE-8
FINDING:							
Evaluation and re-evaluation of language proficiency is carried out by language assessment bodies authorized by the ICAA. However, the specific requirements for such an authorization have not been developed. Furthermore, although formal evaluations have been carried out by the ICAA, no approval and surveillance procedures have been developed.							
RECOMMENDATION:							
Iceland should promulgate regulations for the approval of language assessment bodies. Furthermore, the ICAA should establish and implement procedures for the approval and surveillance of these organizations.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/06/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-05
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/05 3.605;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The ICAA has developed a procedure for the surveillance and monitoring of the activities of flight and practical examiners in addition to reviewing the flight check reports and occasionally supervising examiners during the validity period of their authorization. However, this procedure has not been fully implemented to cover all of the designated examiners.							
RECOMMENDATION:							
The ICAA should establish a mechanism to ensure that the procedures regarding surveillance and monitoring of the performance of designated flight and practical examiners and their adherence to the applicable standards are fully implemented.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/06/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-06
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/06 3.763; 3.765;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING:							
The ICAA has established procedures for the approval of training organizations that include the development of a training manual and the implementation of a quality assurance system. However, one sampled training manual did not reflect the approved training courses. Furthermore, the quality system is not fully implemented regarding the frequency and scope of the internal audits.							
RECOMMENDATION:							
The ICAA should establish a mechanism to ensure that the approved training organizations keep, on a permanent basis, the content of the training manuals in accordance with the approved training courses. Furthermore, the ICAA should verify the implementation of the quality system for the approved training organizations and adherence to the quality manuals.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/03/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-07
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

ICELAND	PEL/07 3.115;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7	CE-8
FINDING:							
Training programmes have been developed for the various sections of the ICAA, involved in the personnel licensing process. However, the training courses are not prioritized taking into account the training requirements for each position.							
RECOMMENDATION:							
The ICAA should ensure that the training courses are prioritized based on the needs for each position carrying out personnel licensing tasks in accordance with the approved training programme.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-7 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/02/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND	OPS/01 4.091;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The ICAA has published on its website information for the issuance of an AOC. However, the published information is not sufficient for a prospective air operator with respect to the information on applicable regulations for obtaining an AOC and corresponding operations specifications.							
RECOMMENDATION:							
The ICAA should ensure that sufficient information is available for applicants for an AOC, including but not limited to the:							
<ul style="list-style-type: none"> a) specific regulations for obtaining an AOC and corresponding operations specifications; b) amendment to an AOC; c) amendment to the operations specifications; and d) authorizations and limitations. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-4-1 of this report.							
Estimated Implementation Date: 01/12/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	OPS/02 4.001; 4.131; 4.137; 4.389;						
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING: Iceland has promulgated regulations to enable the implementation of aircraft operations-related provisions of Annex 6 to the Chicago Convention. However, the specific regulations do not include all provisions of Annex 6 to the Chicago Convention. Furthermore, the ICAA has not developed procedures for the retention of flight recorders and flight records in safe custody, in the event an aeroplane becomes involved in an accident or incident.							
RECOMMENDATION: Iceland should revise its regulations to ensure the implementation of all the provisions of Annex 6 to the Chicago Convention, specifically pertaining but not limited to the following subjects: <ul style="list-style-type: none"> a) maintenance of up-to-date and sufficient documentation concerning flight data recorder (FDR) parameter allocation and other serviceability/maintenance information; and b) a certified true copy of the AOC and corresponding operations specifications, including leased aircraft, to be carried on board the aircraft at all times. Furthermore, the ICAA should develop and implement procedures for the retention in safe custody of all related flight recorder records and, if necessary, the associated flight recorders, in the event an aeroplane becomes involved in an accident or incident, and pending their disposition as determined in accordance with Annex 13 to the Chicago Convention.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-2 of this report. <p style="text-align: right;">Estimated Implementation Date: 08/04/2012</p>							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND	OPS/03 4.157; 4.201; 4.203;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING:							
In the absence of promulgated regulations, the ICAA does not ensure that air operators have established and implemented a safety management system (SMS).							
RECOMMENDATION:							
Iceland should promulgate regulations and the ICAA should establish a mechanism to ensure that air operators establish and implement SMS, a corresponding flight safety documents system and a flight data analysis programme in accordance with Annex 6 to the Chicago Convention.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-4-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 08/04/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	OPS/04 4.221;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 CE-7 CE-8	
FINDING: The ICAA has reviewed and approved all flight crew training programmes of AOC holders as part of the operations manuals. However, the training records do not consistently adhere to the training provisions of the approved operations manual. Furthermore, one sampled operations manual was not updated to include comprehensive syllabi for type rating training and the conditions to perform flight training.	
RECOMMENDATION: The ICAA should establish a mechanism to ensure that the approved flight crew training programmes are implemented and recorded and contain comprehensive syllabi for all training included in the operations manual, specifying the conditions for flight training.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	OPS/05 4.233; 4.235;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 X CE-3 CE-4 CE-5 CE-6 CE-7 X CE-8	
FINDING: The ICAA issues licences to flight operations dispatchers in accordance with the requirements in the Regulation on licensing, No. 400/2008. However, the regulation does not specify minimum requirements for air operators to select and appoint flight operations dispatcher ground instructors, and the ICAA does not ensure that air operators maintain, on a recurrent basis, the knowledge, skills and qualifications of flight operations dispatcher ground instructors.	
RECOMMENDATION: Iceland should establish provisions specifying the minimum requirements for air operators to select and appoint flight operations dispatcher ground instructors. Furthermore, the ICAA should establish means to ensure that air operators maintain, on a recurrent basis, the knowledge, skills and qualifications of flight operations dispatcher ground instructors.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/09/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	OPS/06 4.243; 4.245;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 X CE-3 CE-4 CE-5 CE-6 CE-7 CE-8	
FINDING: The ICAA has not established minimum requirements for the selection of cabin crew instructors and examiners, or requirements for maintaining, on a recurrent basis, the knowledge, skills and qualifications for these positions.	
RECOMMENDATION: The ICAA should develop and implement requirements for the selection of cabin crew instructors and examiners, and for maintaining, on a recurrent basis, the knowledge, skills and qualifications for these positions.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/09/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	OPS/07 4.343; 4.357; 4.359; 4.361;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 X CE-7 X CE-8	
FINDING: The ICAA has issued authorizations to transport dangerous goods by air to AOC holders; however, not specifically to shippers that handle dangerous goods for air transport. Furthermore, the ICAA has not developed technical guidance material for use by ICAA dangerous goods inspectors in the performance of their duties regarding approval, inspection and surveillance of activities related to the transport of dangerous goods by air. No evidence could be provided related to the establishment and implementation of training programmes by the shippers of dangerous goods. In addition, the ICAA has not included random inspections in the surveillance programme for AOC holders that have been granted approval to transport dangerous goods by air.	
RECOMMENDATION: The ICAA should develop technical guidance material for use by ICAA dangerous goods inspectors in the performance of their duties regarding approval, inspection and surveillance of the transport of dangerous goods by air to ensure compliance with the applicable standards, including the establishment of training programmes for all organizations involved in the transport of dangerous goods. In addition, the ICAA should include random inspections in the surveillance programme for AOC holders that have been granted approval to transport dangerous goods by air.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-7 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	OPS/08 4.047; 4.247; 4.443; 5.447;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 CE-7 X CE-8	
FINDING: The ICAA has developed a surveillance programme for the operations inspectorate staff. However, the programme does not contain ramp checks of foreign operators, including airworthiness-related aspects to be addressed by the airworthiness inspectors. In addition, the surveillance programme does not cover random inspections to ensure that all aircraft operations comply with national regulations, ICAO provisions and the AOC holders' operations specifications. Furthermore, the surveillance programme does not include the ICAA-designated individuals within aviation organizations who perform tasks, such as flight checks, on behalf of the State.	
RECOMMENDATION: The ICAA should develop and implement a formal surveillance programme to include all types and frequencies of inspections required for effective safety oversight of AOC holders, foreign air operators, including random inspections. Furthermore, the surveillance programme should include surveillance of ICAA-designated individuals within aviation organizations who perform tasks, such as flight checks, on behalf of the State.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-8 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-09
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND	OPS/09 4.383;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The ICAA has not developed and implemented sufficiently detailed procedures for the operations inspectorate staff regarding the acceptance or approval of aircraft leasing arrangements.							
RECOMMENDATION:							
The ICAA should develop and implement comprehensive procedures for the operations inspectorate staff for the acceptance or approval of aircraft leasing arrangements and agreements.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-4-9 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-10
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

ICELAND	OPS/10 4.053; 4.341;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7	CE-8
FINDING:							
Training programmes have been developed for the Flight Operations Standards Section staff, including the dangerous goods inspector. However, the training courses are not prioritized taking into account the training requirements for each position.							
RECOMMENDATION:							
The ICAA should ensure that the training courses are prioritized based on the needs for each incumbent of a position carrying out operations-related tasks, including dangerous goods, in accordance with the approved training programme.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-4-10 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/02/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

ICELAND	AIR/01 5.001; 5.283; 5.371; 5.535;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
Iceland has promulgated airworthiness regulations based on the applicable European requirements. However, the regulations do not address all the airworthiness-related provisions of Annex 6 to the Chicago Convention.							
RECOMMENDATION:							
Iceland should review the current applicable regulations and promulgate comprehensive airworthiness regulations to fully address all airworthiness-related provisions of Annex 6 to the Chicago Convention pertaining but not limited to the following subjects:							
<ul style="list-style-type: none"> a) human factors principles to be observed in the maintenance control manual/continuing airworthiness maintenance exposition and in the design and application of maintenance programmes; and b) obtaining a maintenance organization approval taking into account SMS as of 1 January 2009. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-1 of this report.							
Estimated Implementation Date: 31/05/2012							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

ICELAND	AIR/02 5.047; 5.051;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7	CE-8
FINDING:							
The ICAA has established training programmes, and periodic training plans have been developed for airworthiness inspectors, detailing the type of training to be provided. However, the current training programme and periodic training plans developed for the technical staff do not sufficiently cover recurrent training and all task-related training requirements, such as air operators' certification, including relevant specific operational approvals, reliability monitoring, non-destructive testing and SMS. In addition, the current established training programme has not been fully implemented for all technical personnel.							
RECOMMENDATION:							
The ICAA should ensure that comprehensive training programmes are developed and implemented for all technical staff of the Airworthiness and Registration of Aircraft Section, including recurrent and specialized training, in accordance with the duties and responsibilities assigned to each of the technical personnel.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/02/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

ICELAND	AIR/03 5.107; 5.183; 5.373;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The ICAA has provided airworthiness inspectors with procedures and checklists. However, in the absence of promulgated regulations, not all the necessary procedures have been developed.							
RECOMMENDATION:							
Once the enabling regulations are promulgated, the ICAA should develop and implement related procedures for the:							
<ul style="list-style-type: none"> a) initial issuance/renewal of a certificate of airworthiness to include the review and/or retention of the flight manual or equivalent document and the electrical load analysis; b) approval of the continuing airworthiness maintenance exposition and the maintenance programme to include the observation of human factors; and c) approval of maintenance organizations to include SMS. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-3 of this report.							
Estimated Implementation Date: 31/05/2012							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AIR/04 5.377;								
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.									
<table style="width: 100%; border: none;"> <tr> <td style="border: none;">CE-1</td> <td style="border: none;">CE-2</td> <td style="border: none;">CE-3</td> <td style="border: none;">CE-4</td> <td style="border: none;">CE-5</td> <td style="border: none;">CE-6 X</td> <td style="border: none;">CE-7</td> <td style="border: none;">CE-8</td> </tr> </table>		CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8		
FINDING: In the absence of promulgated regulations, the currently issued approvals for AMOs are not in compliance with the provisions of Annex 6 to the Chicago Convention to establish and implement an SMS as of 1 January 2009.									
RECOMMENDATION: The ICAA should, based on regulations to be promulgated, ensure that the AMO approvals issued fully comply with the provisions of Annex 6 to the Chicago Convention for AMOs, notably with respect to the requirement to establish and implement an SMS.									
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-5-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/05/2012</div>									
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.									

APPENDIX 1-5-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

ICELAND	AIR/05 5.443;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The Airworthiness and Registration of Aircraft Section has established a formal surveillance programme to ensure that all air operators and AMOs comply with national regulations. However, it does not include random checks.							
RECOMMENDATION:							
The ICAA should ensure that the established surveillance programme includes random checks and the subsequent implementation of this aspect of the programme.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/01/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

ICELAND	AIR/06 5.451; 5.453;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8 X
FINDING:							
Airworthiness inspectors attend meetings held by the air operators on the monitoring of reliability programmes. However, ongoing oversight of AOC holders' reliability programmes is not conducted.							
RECOMMENDATION:							
The Airworthiness and Registration of Aircraft Section should conduct ongoing oversight of reliability programmes and if information obtained from reliability monitoring indicates a degraded level of safety, it should initiate a special evaluation or impose special operational restrictions.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 28/10/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND	AIG/01 6.025;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1 X	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
The legislation and regulations on aircraft accident and incident investigation do not contain provisions providing the Aviation Accident Investigation Board (AAIB) investigator-in-charge (IIC) the right to carry out a detailed examination of relevant material/evidence without delay.							
RECOMMENDATION:							
Iceland should promulgate legislative and/or regulatory provisions providing the AAIB IIC the right to carry out a detailed examination of relevant material/evidence without delay.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-6-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/03/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND	AIG/02 6.033;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
The AAIB accident investigation policy and procedures manual contains detailed provisions for the participation in aircraft accident and incident investigations of accredited representatives from concerned States, and these procedures have been implemented in the past. However, Iceland has not promulgated legislative provisions for permitting, as the State conducting the investigation, the participation of accredited representatives from other States involved.							
RECOMMENDATION:							
Iceland should promulgate legislative and/or regulatory provisions for permitting, as the State conducting the investigation, the participation of accredited representatives from other States involved.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-6-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/03/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND	AIG/03 6.105; 6.107;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
<p>The AAIB is State-funded and has a separate budget. This budget covers costs related to the day-to-day operation of the AAIB. However, the budget does not include the funding to cover the cost of actual investigation activities, such as wreckage recovery, tests and examinations, and travel expenses for investigation purposes. As a result, for each investigation and related expenditure, the AAIB has to submit a specific request to the Finance Department of the Ministry of Transport, which may not be approved. In addition, Iceland has not established a process for supplementary funding of aircraft accident investigation in case of major aircraft accidents.</p>							
RECOMMENDATION:							
<p>Iceland should establish a mechanism to ensure that the allocated budget for the AAIB includes the funding to cover the cost of actual investigation activities, such as wreckage recovery, tests and examinations, and travel expenses for investigation purposes. The amount of this funding should correspond at least to the yearly average investigation cost for the past few years. Furthermore, Iceland should establish and implement a process to ensure supplementary funding for investigation activities in case of major aircraft accidents.</p>							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
<p>Corrective action plan and comments submitted by the State are found at Appendix 3-6-3 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/12/2012</p>							
COMMENTS BY ICAO:							
<p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>							

APPENDIX 1-6-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AIG/04 6.363;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 CE-7 CE-8	
FINDING: The AAIB accident investigation policy and procedures manual identifies several State aircraft accident investigation laboratories whereto the AAIB usually sends flight recorders for read-out. These laboratories meet the criteria as outlined in Appendix D of Annex 13 to the Chicago Convention. The procedures handbook indicates the specialties of different laboratories and criteria for selecting a laboratory. However, the AAIB has not developed guidance concerning the processes to be followed by the selected facility during the flight recorders read-out and analyses depending on the nature of the event and the condition of the recorders, to ensure compliance with the Icelandic regulatory provisions and established AAIB procedures.	
RECOMMENDATION: The AAIB should develop guidance concerning the processes to be followed by the selected facility during the flight recorders read-out and analysis depending on the nature of the event and the condition of the recorders. This guidance should be in compliance with the Icelandic regulatory provisions and established AAIB procedures.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-6-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/11/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-6-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AIG/05 6.375; 6.377;						
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING: Autopsies are carried out in most cases of fatal aircraft accidents in Iceland, and medical examinations are performed for the flight crew, passengers and involved personnel, when requested by the AAIB. However, Iceland does not have pathologists or physicians trained for particular aspects related to aircraft accidents. In addition, the AAIB has not developed guidance material to allow the provision of pertinent advice from foreign pathologists specialized in aircraft accident investigations to the physicians who will perform autopsies or medical examinations after an aircraft accident or incident.							
RECOMMENDATION: The AAIB should establish guidance material to allow the provision of pertinent advice from foreign pathologists specialized in aircraft accident investigations to the physicians who will perform autopsies or medical examinations after an aircraft accident or incident. This guidance should include elements to allow direct contact between them. The AAIB should include corresponding provisions, as necessary, in the cooperation agreements established between the AAIB and foreign aircraft accident investigations authorities.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-6-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/11/2011</div>							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND	AIG/06 6.381;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The AAIB has not established detailed procedures to ensure that relevant and timely information on the progress of the investigation is provided to the families and aircraft accident survivors.							
RECOMMENDATION:							
The AAIB, in cooperation with other relevant Icelandic organizations, should establish and implement detailed procedures to ensure that relevant and timely information on the progress of the investigation is provided to the families and aircraft accident survivors, taking into account the provisions of ICAO Circular 285 — <i>Guidance on Assistance to Aircraft Accident Victims and Their Families</i> .							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-6-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/11/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AIG/07 6.503; 6.505;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 X CE-3 CE-4 CE-5 CE-6 CE-7 CE-8 X	
FINDING: Iceland has established and implemented a mandatory incident reporting system to collect information on actual or potential safety deficiencies. This system allows for the collecting of more than 600 events per year. However, Iceland has not established a voluntary occurrence reporting system, managed at the State level, to facilitate the collection of information that may not be captured by the mandatory incident reporting system. In addition, Iceland has not promulgated legislation and has not developed associated procedures for ensuring that its voluntary occurrence reporting system is non-punitive and for ensuring protection of the sources of the information.	
RECOMMENDATION: Iceland should establish and implement a voluntary incident reporting system, managed at the State level, to facilitate the collection of information that may not be captured by the mandatory incident reporting system, in accordance with the provisions of ICAO Doc 9422 — <i>Accident Prevention Manual</i> . Furthermore, Iceland should promulgate legislation and establish and implement procedures for ensuring that its voluntary occurrence reporting system is non-punitive and for ensuring protection of the sources of the information.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-6-7 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2012</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-7-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	ANS/01 7.031; 7.487; 7.489; 7.491; 7.493; 7.495; 7.497; 7.499; 7.501; 7.503;						
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4 X	CE-5	CE-6	CE-7	CE-8
FINDING: Iceland has established an organizational structure for the safety oversight of the air navigation services providers in the fields of air traffic service (ATS), communications, navigation and surveillance (CNS), Procedures for Air Navigation Services — Aircraft Operations (PANS-OPS), aeronautical information service (AIS), aeronautical charts and meteorology (MET). However, the entity responsible for the safety oversight in the field of search and rescue (SAR) services has not been established.							
RECOMMENDATION: Iceland should establish an organizational structure for the safety oversight in the field of SAR services and ensure, inter alia, that: <ul style="list-style-type: none"> a) a sufficient number of qualified technical staff to carry out safety oversight activities over the rescue coordination centre (RCC) is employed; b) all functions and responsibilities of the SAR inspectorate are clearly defined; c) minimum qualifications and experience requirements for SAR inspectorate staff are established; d) job descriptions for SAR inspectorate staff are developed; and e) a formal training programme and an appropriate training plan prioritizing and detailing what type of training should be provided to SAR inspectorate staff are developed and implemented. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/06/2011</div>							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	ANS/02 2.011; 7.033; 7.231; 7.287; 7.343; 7.391; 7.393; 7.505; 7.507;						
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7 X	CE-8 X
FINDING: Iceland has established a safety oversight system for ensuring the effective implementation of safety-related policies and procedures in the fields of ATS, CNS, PANS-OPS, AIS, aeronautical charts and MET. However, the above-mentioned system has not been effectively implemented in the areas of CNS, PANS-OPS, AIS and aeronautical charts. Furthermore, a safety oversight system for ensuring the effective implementation of a safety-related policy and procedures in the field of SAR has not been established and implemented.							
RECOMMENDATION: Iceland should establish and implement a safety oversight system for ensuring the effective implementation of a safety-related policy and procedures in all fields of air navigation services, including, inter alia: <ul style="list-style-type: none"> a) an appropriate periodicity of inspections in the areas of PANS-OPS, AIS and aeronautical charts; b) the proper periodical flight inspections for radio navigation aids; c) an effective oversight over CNS systems and facilities, including those ones which are not part of the civil aviation system; and d) a mechanism with time frames for the elimination of deficiencies identified by inspectorate staff. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/06/2011</div>							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	ANS/03 7.065; 7.069; 7.211; 7.213; 7.215; 7.277; 7.279; 7.281; 7.333; 7.335; 7.337; 7.381; 7.425; 7.427; 7.429;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 X CE-5 CE-6 CE-7 CE-8	
FINDING: The ICAA has established a training policy and requirements for the periodic training of air navigation services inspectorate staff in accordance with the current needs. However, the above-mentioned training policy does not stipulate the development of a formal training programme detailing what type of training should be provided to its air navigation services inspectorate staff. Furthermore, a periodic training plan detailing and prioritizing what type of training will be provided during the established period has not been developed in the fields of PANS-OPS, AIS, aeronautical charts and MET.	
RECOMMENDATION: The ICAA should establish and implement: <ul style="list-style-type: none"> a) a formal training programme detailing what type of training should be provided to its air navigation services inspectorate staff; and b) detailed training plans covering all air navigation services fields and prioritizing what type of training will be provided during the established period. 	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/12/2012</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-7-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND	ANS/04 7.115;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The ATS provider has established and implemented a procedure for submitting regular reports on all height-keeping deviations to a regional monitoring agency (RMA) in accordance with the requirements of the North Atlantic Systems Planning Group (NAT SPG). However, the ICAA has not established and implemented a process for verifying that aircraft and air operators are approved for operation in reduced vertical separation minima (RVSM) airspace.							
RECOMMENDATION:							
The ICAA should establish and implement a mechanism for the ATS provider to verify that aircraft and air operators are approved for operation in RVSM airspace.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/09/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	ANS/05 7.161; 7.173; 7.179;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 X CE-3 X CE-4 CE-5 CE-6 CE-7 X CE-8	
FINDING: Iceland has promulgated detailed regulations for the ATS provider to establish and implement SMS. However, although the ATS provider has established SMS in accordance with the Regulation on the authorization of air navigation services requirements, Iceland has not established a State Safety Programme (SSP) yet in order to achieve an acceptable level of safety in the provision of ATS. Furthermore, the ATS provider does not carry out post-implementation monitoring to verify that the defined level of safety continues to be met.	
RECOMMENDATION: Iceland should establish and implement an SSP in order to achieve an acceptable level of safety in the provision of ATS. In addition, Iceland should establish a mechanism to ensure oversight of the SMS implemented by the ATS provider. In this process, due consideration should be given to the following: <ul style="list-style-type: none"> a) development of a State safety policy and objectives, including but not limited to the safety legislative framework and the safety responsibilities and accountabilities identifying the accountable executive for the SSP; b) effective and efficient implementation of SSP oversight activities supported by hazard identification and safety risk analyses; c) development of safety requirements for the service provider's SMS; d) agreement on the service provider's SMS safety performance; e) safety oversight of the ATS service provider's SMS, including the establishment of mechanisms to ensure that the identification of hazards and the management of safety risks follow established regulatory controls, such as requirements, specific operating regulations and implementation policies; f) safety data collection, analysis and exchange; and g) establishment of acceptable levels of safety to be achieved, based on safety measurement and safety performance measurement (i.e. safety indicators and safety targets). 	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-7-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND	ANS/06 7.133;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
Iceland has not promulgated regulations to specify communications requirements in accordance with the provisions of Annex 11 to the Chicago Convention.							
RECOMMENDATION:							
Iceland should promulgate regulations to specify communications requirements in accordance with the provisions of Annex 11 to the Chicago Convention.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/05/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	ANS/07 7.187; 7.307; 7.309; 7.357; 7.473; 7.525;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 X CE-4 CE-5 X CE-6 X CE-7 CE-8 X	
FINDING: Iceland has published its AIP in three parts, as outlined in Annex 15 to the Chicago Convention. However, the AIP includes some inaccurate and incomplete information, as follows: <ul style="list-style-type: none"> a) the information regarding air traffic reporting incidents is not published (ENR 1.14); b) the information of accessibility of the aerodrome MET office is unclear; c) the designated COSPAS-SARSAT point of contact is not published; and d) the aeronautical information regulation and control (AIRAC) system is not properly used to notify the establishment, withdrawal and premeditated significant changes of circumstances listed in accordance with Chapters 4 and 6 and Appendix 4 of Annex 15 to the Chicago Convention. <p>Furthermore, the status of availability of aeronautical charts to users is not clear.</p>	
RECOMMENDATION: The ICAA should establish means to ensure that: <ul style="list-style-type: none"> a) the AIP is published in accordance with Annex 15 to the Convention, taking into consideration ICAO guidance material; b) information that is required to be published in the AIP is published accurately and updated; c) the AIRAC system is used to notify the establishment, withdrawal and premeditated significant changes of circumstances listed in accordance with Chapters 4 and 6 and Appendix 4 of Annex 15 to the Chicago Convention; and d) all the aeronautical charts are readily available to users. 	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-7 of this report. <p style="text-align: right;">Estimated Implementation Date: 01/06/2011</p>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-7-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

ICELAND	ANS/08 7.121; 7.189;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The ATS provider has established and implemented procedures for visual scanning of the manoeuvring area to control the movement of persons or vehicles on the aerodrome. However, the above-mentioned procedures are insufficient, especially for low visibility conditions. Furthermore, Iceland has not established and implemented a runway safety programme.							
RECOMMENDATION:							
Iceland should establish and implement a runway safety programme and ensure that provision is made for effective observation of the manoeuvring area and that procedures and measures aimed at minimizing the potential for inadvertent runway incursions are in place.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-8 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-8-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AGA/01 8.055; 8.371;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 X CE-5 CE-6 CE-7 CE-8	
FINDING: The ICAA has developed a training programme for the aerodrome regulatory staff; however, this programme has not been fully implemented. The aerodrome regulatory staff have not been trained in the development, use and evaluation of SMS, including aeronautical studies and risk assessments.	
RECOMMENDATION: The ICAA should fully implement its training programme for the aerodrome regulatory staff and provide training to them on the development, use and evaluation of SMS, including aeronautical studies and risk assessments.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/02/2012</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-8-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AGA/02 8.099; 8.373; 8.375;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 CE-7 X CE-8	
FINDING: The Regulation on aerodromes, No. 464/2007, allows for exemptions to be granted, in the aerodrome certification process, under certain conditions. However, the ICAA has not established procedures for accepting a non-compliance with the established requirements, including a risk assessment mechanism and notification procedure, nor a process to review the validity of using an aeronautical study or risk assessment to justify an application for an exemption or exception as well as the continuing need.	
RECOMMENDATION: The ICAA should: <ul style="list-style-type: none"> a) establish procedures for accepting a non-compliance with the established requirements, including a risk assessment mechanism and notification procedure; b) establish a process to review the validity of using an aeronautical study or risk assessment to justify an application for an exemption or exception as well as the continuing need; and c) assess the outcomes of the conduct of risk assessments or aeronautical studies in accordance with the State safety policies and processes. 	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/05/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-8-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AGA/03 8.189; 8.273;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 X CE-3 CE-4 CE-5 CE-6 CE-7 X CE-8	
FINDING: Iceland has promulgated regulatory requirements to prohibit equipment or installations, other than those used for navigation purposes, being located on a runway strip. However, these requirements are not fully complied with. There are two major objects, not used for navigation purposes, existing within the runway strip at one of the international aerodromes. A risk assessment is being conducted by the aerodrome operator; however, it has not been completed yet.	
RECOMMENDATION: The ICAA should require, assess and approve a comprehensive risk assessment of the two major objects within the runway strip at the international aerodrome concerned and take appropriate measures to mitigate associated risks to ensure safety.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/06/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-8-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

ICELAND Audit Period: 19/10/2010 - 28/10/2010	AGA/04 8.205; 8.221;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 X CE-7 CE-8	
FINDING: Although basic elements of a surface movement guidance and control system (SMGCS) are available at the international aerodromes in Iceland, these elements are not integrated and documented into a formal SMGCS. As a result, there is no assessment of whether an aerodrome's SMGCS is designed to prevent inadvertent incursions of aircraft and vehicles onto an active runway or taxiway, and no process to ensure that an aerodrome operator's plan for lighting, signs and markings is integrated as a whole into the aerodrome's runway incursion and collision avoidance strategy.	
RECOMMENDATION: The ICAA should: <ul style="list-style-type: none"> a) ensure that an aerodrome's SMGCS is designed to prevent inadvertent incursions of aircraft and vehicles onto an active runway or taxiway, taking into account the elements listed in Annex 14, Volume I, to the Chicago Convention; and b) establish a process to ensure that an aerodrome operator's plan for lighting, signs and markings is integrated as a whole into the aerodrome's runway incursion and collision avoidance strategy, taking account of different traffic intensities and visibility conditions. 	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-8-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

ICELAND	AGA/05 8.329;						
Audit Period: 19/10/2010 - 28/10/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
FINDING:							
The Regulation on aerodromes, No. 464/2007, requires collecting and forwarding bird strike reports to ICAO, and bird strike reports are collected. However, the reports have not been forwarded to ICAO.							
RECOMMENDATION:							
The ICAA should establish a means to ensure that bird strike reports are forwarded to ICAO for inclusion in the ICAO Bird Strike Information System (IBIS) database.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-8-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/05/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

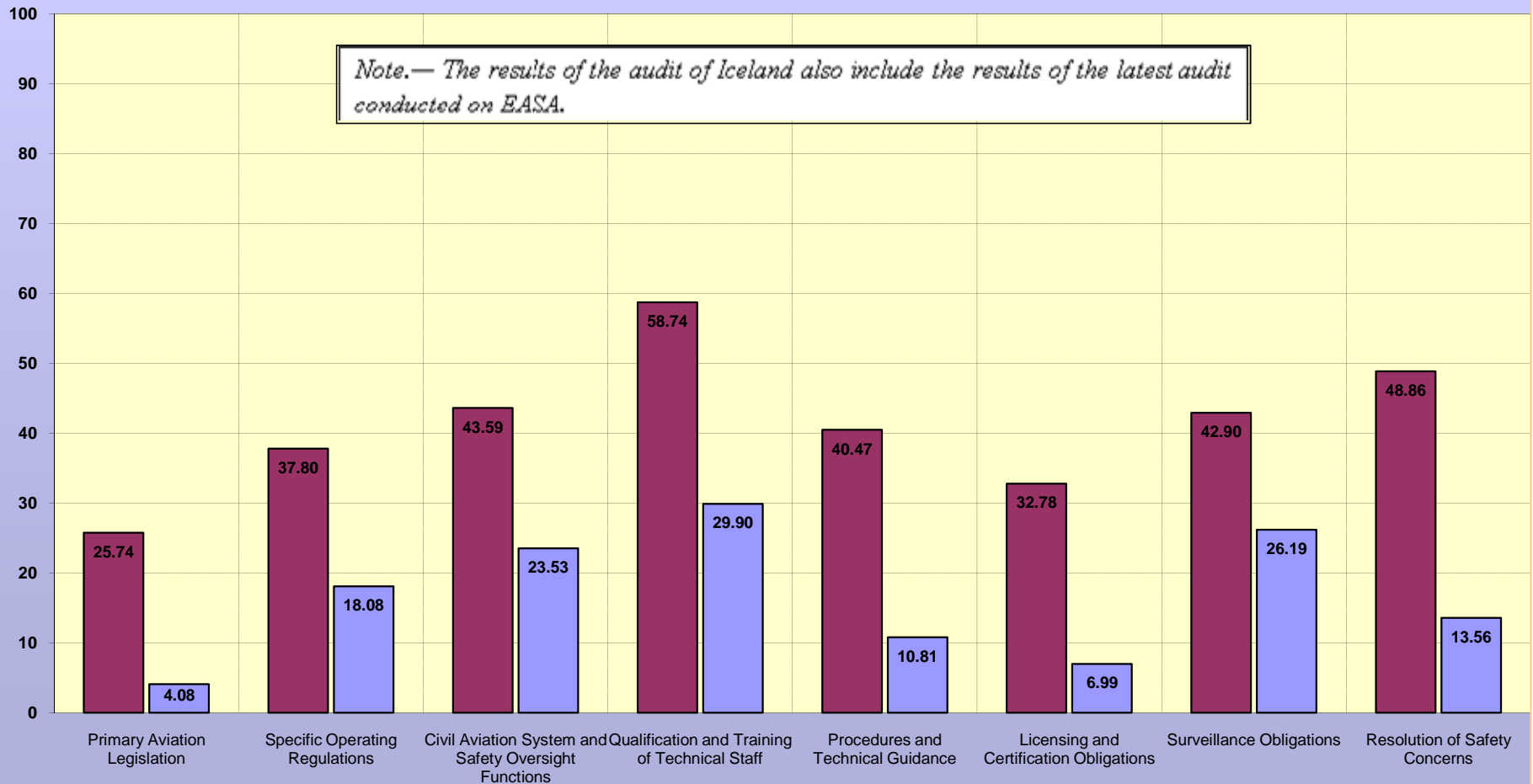
APPENDIX 2

CRITICAL ELEMENTS OF A SAFETY OVERSIGHT SYSTEM LACK OF EFFECTIVE IMPLEMENTATION (%)

■ Global: (179) Audited States: 41.36%

■ ICELAND 16.64%

Note.— The results of the audit of Iceland also include the results of the latest audit conducted on EASA.



APPENDIX 3

APPENDIX 3-1-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

AUDIT FINDING LEG/01		
Please refer to Appendix 1-1-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Procedure (SS 2.1012) for processing ICAO State letters has been updated and will be introduced to all responsible staff. The procedure will introduce a timeline for the responsible staff to process amendments and comment so that updates on regulations will be more systematic as well as notification of differences and update to AIP. The process takes into account EASA standpoint on proposed amendments and status of implementation.	ICAA/SS	1 May 2011
Differences to ICAO Annexes have been notified for Annexes 1, 2, 3, 4, 5, 6, 7, 8, 11, 12, 15, 17, 18. No differences exist between ICAO Standards and Icelandic regulations for Annexes 13, 14, 16. However the notification of differences in an ongoing process.	ICAA/SS	Ongoing
Differences relating to Annexes 9 and 10 are being reviewed.	ICAA/SS	1 November 2011
Publication of differences and update to AIP sent from ICAA in January 2011. Publishing day of AIP is 8 April 2011.	ICAA/SS	8 April 2011

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APPENDIX 3-1-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

AUDIT FINDING LEG/02		
Please refer to Appendix 1-1-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA has made changes to Procedure (FMS 1.0029) in its Quality System detailing in a clear manner the delegation of authority and individual mandate and tasks which each ICAA's inspector is responsible for as per job description.	ICAA/DG	28 March 2011
<p>Credentials' text will be changed to reflect in more detail each inspector's responsibility and mandate e.g.:</p> <ul style="list-style-type: none"> • In the field of airworthiness. • In the field of operation/licensing • In the field of air navigation and aerodrome • In the field of aviation security • In other fields specially noted <p>The reference to the Aviation Act No. 60/1998 and Law on the ICAA No. 100/2006 will be improved on the credentials.</p>	ICAA/DG	15 September 2011

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APPENDIX 3-1-3

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

AUDIT FINDING LEG/03		
Please refer to Appendix 1-1-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
An amendment of the Civil Aviation Act no. 60/1998 will be initiated where provisions relating to Article 83 bis will be recommended.	ICAA/SS	1 May 2011
The amendment will include detailed provisions for the transfer of duties and responsibilities from the State of Registry to the State of Operator. The amendment will as well provide for the recognition of certificates of airworthiness, radio licenses and crew licenses issued, renewed or validated by the State of operator, operating under an Article 83 bis agreement between third party States.	ICAA/SS	1 October 2011
The proposal will be prepared in time for the Autumn session of the legislator. Expected change to the Aviation Act to be implemented June 1th 2012.	MoI	30 June 2012

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APPENDIX 3-2-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO CIVIL AVIATION ORGANIZATION**

AUDIT FINDING ORG/01		
Please refer to Appendix 1-2-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA Quality system (QS) is divided into 3 layers defining the processes: 1st Category: Policy Documents (IS Stefnuskjöl): defining structure, jobs, quality policy etc. 2nd Category: Procedures (IS Verklagsreglur): defining what needs to be done on a division level. 3rd Category: Process Instruction (IS Vinnuferli): defining the details on how things are done on a section level.</p> <p>The ICAA will change its mechanism to involve the Director General (DG) and hence the DG shall approve the QS Procedures in 1st and 2nd category to ensure his approval on a division level. This change in procedure is defined and implemented in QS Procedure for issuing and approval of Procedures and Process Instruction (FMS - 1.0010)</p>	ICAA/DG	28 March 2011

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APPENDIX 3-2-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO CIVIL AVIATION ORGANIZATION**

AUDIT FINDING ORG/02		
Please refer to Appendix 1-2-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team regarding in-house availability of documents and information. However the ICAA does not consider this a problem in its surveillance role or a safety issue as documents and information are readily available by different means.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA will systematically analyse which documents are available at the ICAA with reference to all aircraft on the Icelandic aircraft register. A gap analysis will then be made to find out which documents are not available in paper version in-house at the ICAA and which are not available in an electronic format.	ICAA/SS/FM	15 September 2011
All design organisation documents and continuing airworthiness information available in-house will be registered into ICAA document control system.	ICAA/SS	1 October 2011
The ICAA will react to the result of the gap analysis by addressing the aircrafts´ manufactures in order to obtain the relevant design organisation documents and continuing airworthiness information, preferably in electronic version.	ICAA/SS	15 November 2011
If some design organisation documents and continuing airworthiness information prove to be not available from the aircraft´s manufactures the ICAA will contact other CAAs to ensure access to these documents and information.	ICAA/SS	1 February 2012

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APPENDIX 3-2-3

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO CIVIL AVIATION ORGANIZATION**

AUDIT FINDING ORG/03		
Please refer to Appendix 1-2-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with ICAO's comments and has drawn the MoI attention to the matter. However it is difficult to declare the secure financial resourced as the ICAA is operated within the frame of MoI.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA has put this finding to the attention of the Minister of Interior (MoI) and emphasised the need for sufficient financial resources and personnel. The ICAA has the means to provide for approximately half of its financial needs through its bill of charge. The other half comes from State funds. The MoI has to agree on the financial frame for the ICAA. Each year the attention of MoI is drawn to ICAA's obligations and discussion is initiated on ways to finance activities.	ICAA/DG	28 March 2011
USOAP findings will be further scrutinised and changes made in safety oversight if needed. Already some organisational changes have been made and two new inspectors recruited (SAFA; AIR; PEL).	ICAA/DG/	1 September 2011
Agreement has been drafted regarding cooperation and safety oversight in the field of SAR	DG/ FSS	1 May 2011
The ICAA will periodically review its capacity in Safety Oversight and review the number qualified staff to meet its national and international obligations	ICAA/DG/HR	Ongoing

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APPENDIX 3-3-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/01		
Please refer to Appendix 1-3-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The procedure (FL 3.4470) applied regarding the validation of a foreign pilot licence has been changed. A new condition has been added to the procedure, requesting a statement of full compliance of the licence with Annex 1 to the Chicago convention. This statement must be received from the state of licence issue in addition to the already requested verification of validity and authenticity.	ICAA /FL	16 March 2011
The relevant staff is informed of the changes	ICAA /FL	16 March 2011

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APPENDIX 3-3-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/02		
Please refer to Appendix 1-3-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team. However it is noted that all medical examiners for Class 3 medical certificates have been appointed based on the same requirements as applicable for AMEs conducting Class 1 and Class 2 medical examinations.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A new procedure has been established concerning the designation of medical examiners for Class 3 medical certificates.	ICAA/FL MED	16 March 2011
ICAA decision concerning the designation of medical examiners for class 3 medical certificates will be published in the Official journal	ICAA/FL MED	1 June 2011
The surveillance plan of medical examiners will be addressed formally.	ICAA/FL MED	1 June 2011

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APPENDIX 3-3-3

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/03		
Please refer to Appendix 1-3-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The existing procedure concerning the delegation of theoretical examinations for Air traffic controllers has been changed: When delegated, the theory examinations must now be accepted by ICAA experts (currently from ANS section) in advance in order to ensure consistency and reliability of the testing. Further to this the examination process is monitored by inspections twice a year for each training organization as a minimum.	ICAA /FL and FSS	16 March 2011

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APPENDIX 3-3-4

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/04		
Please refer to Appendix 1-3-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The requirements for the authorization of language assessment bodies will be issued as a decision of the ICAA published in the Official journal	ICAA/FL and SS	1 June 2011
A procedure specifying the approval process for language assessment bodies and their surveillance is being developed and adopted.	ICAA/FL	25 March 2011
One additional employee has now been recruited for the licensing section to support effective implementation of licensing requirements, including the approval and oversight of language assessment bodies.	ICAA/FL	16 March 2011

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APPENDIX 3-3-5

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/05		
Please refer to Appendix 1-3-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The existing procedure (FL 3.4310) concerning oversight of practical examiners will be adjusted to be fully in accordance with the pertinent requirements (JAR-FCL).</p> <p>This covers description of the mechanism relating to direct monitoring / inspection of examiners in aircraft and flight simulators as well as general standardisation activities, e.g. the role and requirements for senior examiners, sampling policy and review of reports, coordination meetings, guidance material etc.</p>	ICAA/FL	1 June 2011

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APPENDIX 3-3-6

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/06		
Please refer to Appendix 1-3-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The existing approvals for training organizations have been reviewed and ensured that these are in compliance with the approved training courses.	ICAA/FL	15 March 2011
ICAA oversight program of training organisations has been adjusted to stress further the implementation of quality systems. Additional annual audit of the quality management systems has been specified in the audit plan for the relevant organizations.	ICAA/FL	15 March 2011

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APPENDIX 3-3-7

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/07		
Please refer to Appendix 1-3-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA has developed further the procedures (SS-2.3052 and SS-2.3051) regarding formal training programmes and prioritization of training to accommodate ICAO's finding.</p> <p>Training plans will be made to accommodate training needs for four years at the time.</p> <p>Taking into account:</p> <ul style="list-style-type: none"> - Employee's training needs according to job description as well as ICAA's role and scheduled tasks - Requirements put forward in regulations, instructions and guidance material from formal bodies (ICAO, EU, EASA, etc.) - Applicable Industry requirements/best practice <p>Training will be prioritized with emphasis on the year ahead. Training plans and prioritization will be reviewed every year, formally accepted and centrally stored by the HR department (Administrative Division).</p> <p>Procedure will be fully implemented for processing of training plans developed in the autumn 2011 for years 2012 to 2016.</p>	ICAA/all divisions/HR	15 February 2012
<p>Training plan for PEL staff will be updated to include prioritization related to individual needs with reference to job description and qualifications.</p>	ICAA/FL	1 May 2011

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APPENDIX 3-4-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/01		
Please refer to Appendix 1-4-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA has developed general information on ICAA's website containing information for AOC applicants. The website will be updated with more detailed and comprehensive information of legislation and regulations structure related to commercial air transport. The information will contain information regarding all application phases such as:</p> <ul style="list-style-type: none"> • pre-certification • formal application • document evaluation • demonstration and inspection • final certification and limitations • costs and time schedule • amendment to AOC and operation specifications <p>The project has already started and is scheduled to be completed by December 2011.</p>	ICAA/ FO	1 December 2011

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APPENDIX 3-4-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/02		
Please refer to Appendix 1-4-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA has implemented European Council Regulation (EEC) No 3922/91 of 16 December 1991 and later amendments which is the basis for Commercial Air Transport. The ICAA has filed differences to ICAO for all provisions of ICAO Annex 6 not complied with. EASA regulations (Part-OPS) will be implemented on 8 April 2012 and this will be the regulatory basis for air operations.	ICAA/FO	8 April 2012
Requirements of up-to-date and sufficient documentation concerning FDR will be based on EASA requirements scheduled to be effective 8 April 2012.	ICAA/FO	8 April 2012
The ICAA does certify a true copy of AOC as specified in Annex 6. ICAA's procedure No. FO-3.2001 for handling applications for AOC / Commercial licence has been updated and contains provisions for certified true copy of AOC.	ICAA/FO	28 March 2011
Rules will be issued for the maintenance of up-to-date and documentation concerning flight data recorders (FDR) parameter allocation and other necessary serviceability/maintenance information. This will be added to the continuous oversight of flight operators	ICAA/FO	1 November 2011
Procedure is available with the AAIB for the retention of flight data recorders (FDR) in safe custody at the AAIB.	AAIB	10 June 2011

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APPENDIX 3-4-3

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/03		
Please refer to Appendix 1-4-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA has already initiated several activities regarding the implementation of SMS requirements, e.g. seminars, training etc. Furthermore, in current regulations (EU-OPS) important elements of SMS are already in place. SMS requirements will be fully implemented with the promulgation of new EASA requirements effective 8 April 2012. Complete SMS implementation is done on voluntary basis today.	ICAA/FO	8 April 2012

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APPENDIX 3-4-4

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/04		
Please refer to Appendix 1-4-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
New revisions of audit checklists have been published. The checklists cover all aspects of training for AOC personnel. This ensures that all training should comply with requirements, syllabi, documentation and records.	ICAA/FO	28 March 2011
The ICAA is in the process of verifying compliance with training requirements as specified in the new revision of the checklists and is scheduled to be completed by 1 December 2011	ICAA/FO	1 December 2011

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APPENDIX 3-4-5

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/05		
Please refer to Appendix 1-4-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>According to current regulations (EU-OPS), licensed dispatchers are not required for AOC operators. However, AOC holders must define minimum requirements for personnel involved in aircraft dispatch (including instructors) and outline all aspects of training in Operations Manual Part D, which must be acceptable to the ICAA.</p> <p>The ICAA will publish decision in the Official Journal where the minimum requirements for flight operations officers/dispatchers are set. Internal audit checklists will be amended to ensure compliance with training requirements as outlined in ICAO Doc 7192.</p> <p>Internal audit checklists will be updated in accordance with the above proposal and compliance will be ensured in accordance with ICAA's surveillance programme.</p>	ICAA/FO	1 September 2011

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APPENDIX 3-4-6

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/06		
Please refer to Appendix 1-4-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA will publish a decision in the Official Journal establishing the minimum requirements for cabin crew instructors and examiners, including recurrent requirements.	ICAA/FO	1 September 2011
The ICAA will amend internal procedures and audit checklists to ensure proper oversight of the AOC holders' adherence to the minimum requirements for cabin crew instructors and examiners. Verification of the AOC holders compliance with the minimum requirements will be ensured through ICAA's surveillance programme	ICAA/FO	1 September 2011

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APPENDIX 3-4-7

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/07		
Please refer to Appendix 1-4-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA will develop guidance material/procedure for dangerous goods inspectors covering the relevant aspects of the pertinent requirements. This will cover e.g. approval process, surveillance as well as relevant training programmes.	ICAA/FO	1 December 2011
The ICAA will amend internal procedures and surveillance programme to include random inspections based on assessment of performance and risk for AOC holders that have approval to transport dangerous goods.	ICAA/FO	1 December 2011

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APPENDIX 3-4-8

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/08		
Please refer to Appendix 1-4-08 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA surveillance programme will be interlinked with the oversight activities relating to the oversight (ramp checks) of foreign operators including airworthiness related aspects.	ICAA/FO	1 September 2011
The surveillance programme will be adjusted to address in more details the monitoring activities of designated individuals within aviation organization who perform tasks such as proficiency checks, line checks etc.	ICAA/FO	1 December 2011
Random inspection policy (incl. scope and frequency of inspections) will be established for each operator. This will be based on assessment of performance and risk in context with SSP annual risk assessment / review process. Other random inspections are triggered if and when a safety concern arises. Fully implemented in JAN 2012	ICAA/FO	1 January 2011

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APPENDIX 3-4-9

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/09		
Please refer to Appendix 1-4-09 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA will revise and establish a procedure for operations inspectors for the acceptance of aircraft leasing arrangements and agreements (not a formal approval process).</p> <p>The procedures will cover evaluation of leasing agreements between organizations depending on method of leasing e.g. dry/wet lease.</p> <p>The case of aircraft leased to Icelandic operator based on article 83 bis will as well be covered.</p>	ICAA/FO	1 December 2011
<p>The already existing procedure concerning the acceptance of leasing arrangements/agreements by airworthiness inspectors will be integrated with the procedure for operations inspectors</p>	ICAA/FO/FM	1 December 2011

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APPENDIX 3-4-10

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/10		
Please refer to Appendix 1-4-10 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA has developed further the procedures (SS-2.3052 and SS-2.3051) regarding formal training programmes and prioritization of training to accommodate ICAO's finding.</p> <p>Training plans will be made to accommodate training needs for four years at the time.</p> <p>Taking into account:</p> <ul style="list-style-type: none"> - Employee's training needs according to job description as well as ICAA's role and scheduled tasks - Requirements put forward in regulations, instructions and guidance material from formal bodies (ICAO, EU, EASA, etc.) - Applicable Industry requirements/best practice <p>Training will be prioritized with emphasis on the year ahead. Training plans and prioritization will be reviewed every year, formally accepted and centrally stored by the HR department (Administrative Division).</p> <p>Procedure will be fully implemented for processing of training plans developed in the autumn 2011 for years 2012 to 2016.</p>	ICAA/all divisions/HR	15 February 2012
<p>The training plan for operations inspectors has been completed for 2011 which addresses the training needs based on specific area of inspector's responsibility as well as minimum requirements for training. This will be developed further with implementation of the new procedures for formal training programmes (ref. action specified in the row above).</p>	ICAA/FO	15 February 2012

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APPENDIX 3-5-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/01		
Please refer to Appendix 1-5-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Approval procedure for CAME and AMP will be amended to include the observation of human factors. Pending issuance of guidance materials from EASA, rulemaking activity already underway.	ICAA/FM	31 May 2012
Approval procedure for maintenance organisation will be amended to include SMS. Pending issuance of guidance materials from EASA, rulemaking activity already underway.	ICAA/FM	31 May 2012

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APPENDIX 3-5-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/02		
Please refer to Appendix 1-5-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA has developed further the procedures (SS-2.3052 and SS-2.3051) regarding formal training programmes and prioritization of training to accommodate ICAO's finding.</p> <p>Training plans will be made to accommodate training needs for four years at the time.</p> <p>Taking into account:</p> <ul style="list-style-type: none"> - Employee's training needs according to job description as well as ICAA's role and scheduled tasks - Requirements put forward in regulations, instructions and guidance material from formal bodies (ICAO, EU, EASA, etc.) - Applicable Industry requirements/best practice <p>Training will be prioritized with emphasis on the year ahead. Training plans and prioritization will be reviewed every year, formally accepted and centrally stored by the HR department (Administrative Division).</p> <p>Procedure will be fully implemented for processing of training plans developed in the autumn 2011 for years 2012 to 2016.</p>	ICAA/all divisions/HR	15 February 2012
The current training programme and plan for technical staff will be further enhanced to include training regarding air operator certification, specific operational approval like ETOPS, RVSM etc, reliability monitoring, non-destructive testing and SMS as applicable and the availability of training courses	ICAA/FM	31 October 2011
Launch the established training plan for each airworthiness staff	ICAA/FM	15 February 2012

* Text reproduced as submitted by Iceland

APPENDIX 3-5-3

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/03		
Please refer to Appendix 1-5-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The checklist LHD-101 for issuance of Certificate of Airworthiness has been amended to include the review of flight manual and electrical load analysis and compare to current aircraft configuration.	ICAA/FM	28 March 2011
Approval procedure for CAME and AMP will be amended to include the observation of human factors Pending issuance of guidance material from EASA, rulemaking activity already under way	ICAA/FM	31 May 2012
Approval procedure for maintenance organisation will be amended to include SMS Pending issuance of guidance material from EASA, rulemaking activity already under way	ICAA/FM	31 May 2012

* Text reproduced as submitted by Iceland

APPENDIX 3-5-4

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/04		
Please refer to Appendix 1-5-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Approval procedure for maintenance organisation will be amended to include SMS Pending issuance of guidance material from EASA, rulemaking activity already under way	ICAA/FM	31 May 2012

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APPENDIX 3-5-5

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/05		
Please refer to Appendix 1-5-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees partially with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>All of AIR section audits are considered random i.e. none of the organisations have knowledge of specific questions or items that will be inspected (audited). Audits are planned yearly without notifying the organisation when audits are planned. Approximately one week before the intended audit, the organisation is notified of the upcoming audit and what area are in the scope (line maintenance, base maintenance, shop maintenance, and/or quality, etc.) without specifying exactly what will be audited or what questions will be asked, thus it is up to the auditor what he will cover in each audit as long as he covers all facets of the operation within time frame. Checklists are never sent to the organisations ahead of the audits.</p> <p>Aircraft Continuing Airworthiness Monitoring (ACAM) as per EASA IR M.B.303 are performed by the same principle, i.e. the aircraft owner only knows approximately one week ahead when the aircraft and its documents will be inspected.</p> <p>Unannounced audits, if that is the meaning of "random" have not been practiced so far and have not been required in the EASA implementing rules. This will however be addressed further with random inspection policy (ref. action specified in next row)</p>	ICAA/FM	N/A
<p>Random inspection policy (incl. scope and frequency of inspections) will be established for each organization. This will be based on assessment of performance and risk in context with SSP annual risk assessment / review process. Other random inspections are triggered if and when a safety concern arises. Fully implemented in JAN 2012</p>	ICAA/FO	1 January 2012

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APPENDIX 3-5-6

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/06		
Please refer to Appendix 1-5-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA partially agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>All operators (CAMO) are required to invite ICAA AID staff to their reliability meetings. The statement to that effect is in each CAME. The reliability meetings are usually held quarterly or annually as part of the ICAA approved reliability programme. However the responsible AID staff cannot always attend due to other duties. Please note that the EASA implementing rule do not require it. However as part of the continuing surveillance as per M.B.704(a) & (b) of CAMO, the reliability programmes (M.A.302(f) are audited at periods not exceeding 24 months. It includes the result of the examination, analysis and interpretations of the information (result).</p> <p>ICAA however recognises the need to attend the reliability meetings at least once per year and in between to perform a documented desktop review of the reliability report and minutes of meetings when issued for the meetings not attended. This is in addition to the continuing surveillance of the CAMO. If the meetings and /or the review reveal degraded level of safety, it will initiate a further evaluation and possible special operational restrictions. Each meeting/ review is documented in ICAA Lotus database.</p>	ICAA/FM	28 October 2011
Procedure FM-3.3202 (Continuation, changes and suspension of Part M Subpart G approval) will be amended to reflect the above. Meeting (documented) with Airworthiness Inspector will be held to emphasise the need of monitor the reliability programmes	ICAA/FM	30 September 2011
Training meeting (documented) with all of the Airworthiness Inspectors will be held to emphasise the change of the above procedure	ICAA/FM	30 September 2011

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APPENDIX 3-6-1

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/01		
Please refer to Appendix 1-6-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The State agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Meeting between the AAIB and the Ministry of the Interior (MoI) will be held to commence the amendment of the regulation on accident investigation.	MoI/AAIB	31 May 2011
Amendment to the regulation on aircraft accident investigation will be drafted.	MoI	30 September 2011
Draft amendment to the regulation on aircraft accident investigation will be submitted for review.	MoI	31 December 2011
The regulation on accident investigation will be amended to include provisions providing the Aircraft Accident Investigation Board (AAIB) investigator-in-charge (IIC) the right to carry out a detailed examination of relevant material/evidence without delay.	MoI/AAIB	31 March 2012

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APPENDIX 3-6-2

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/02		
Please refer to Appendix 1-6-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The State agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Meeting between the AAIB and the Ministry of the Interior (MoI) will be held to commence the amendment of the regulation on accident investigation.	MoI/AAIB	31 May 2011
Amendment to the regulation on aircraft accident investigation will be drafted.	MoI	30 September 2011
Draft amendment to the regulation on aircraft accident investigation will be submitted for review.	MoI	31 December 2011
The regulation on accident investigation will be amended to include provisions for permitting, as the State conducting the investigation, the participation of accredited representatives from all other States involved.	MoI/AAIB	31 March 2012

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APPENDIX 3-6-3

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/03		
Please refer to Appendix 1-6-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The State agrees with the first part of the finding of the ICAO audit team but disagrees with the second part of the finding regarding supplementary funding.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Meeting between the AAIB and the Ministry of the Interior (MoI) has been held to review the budget process.	MoI/AAIB	28 February 2011
In the past the budget of the AAIB covered both operational cost and investigation cost. The budget has however been reduced temporarily but will increase again in two years.	MoI	31 December 2012
Iceland has a process in place to request supplementary funding from the State fund due to unforeseen accident cost, including cost in case of a major aircraft accidents.	MoI	28 March 2011

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APPENDIX 3-6-4

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/04		
Please refer to Appendix 1-6-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The State agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The accident investigation policy and procedures manual will be reviewed to identify the scope and arrangement of the amendment.	AAIB	30 June 2011
Draft amendment to the accident investigation policy and procedures manual will be developed and reviewed.	AAIB	30 September 2011
The accident investigation policy and procedures manual will be amended to include guidance concerning the processes to be followed by the selected facility during the flight recorders read-out and analyses depending on the nature of the event and the condition of the recorders, to ensure compliance with the Icelandic regulatory provisions and established AAIB procedures.	MoI/AAIB	30 November 2011

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APPENDIX 3-6-5

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/05		
Please refer to Appendix 1-6-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The State agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The accident investigation policy and procedures manual will be reviewed to identify the scope and arrangement of the required amendment.	AAIB	30 June 2011
Draft amendment to the accident investigation policy and procedures manual will be developed and reviewed.	AAIB	30 September 2011
The accident investigation policy and procedures manual will be amended to include guidance material to allow the provision of pertinent advice from foreign pathologists specialized in aircraft accident investigations to the physicians who will perform autopsies or medical examinations after an aircraft accident or incident.	MoI/AAIB	30 November 2011

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APPENDIX 3-6-6

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/06		
Please refer to Appendix 1-6-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The State agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Coordination meeting between the AAIB and the Ministry of the Interior (MoI) will be held to identify the scope and arrangement of the required procedures.	MoI/AAIB	30 June 2011
Draft amendment to the accident investigation policy and procedures manual will be developed and reviewed.	MoI/AAIB	30 September 2011
The accident investigation policy and procedures manual will be amended to detailed procedures to ensure that relevant and timely information on the progress of the investigation is provided to the families and aircraft accident survivors, taking into account the provisions of ICAO Circular 285 – Guidance on Assistance to Aircraft Accident Victims and Their Families.	AAIB	30 November 2011

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APPENDIX 3-6-7

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

AUDIT FINDING AIG/07		
Please refer to Appendix 1-6-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Phase 1. Apart from the mandatory reporting system the ICAA has decided to offer the possibility of reporting occurrences or other relevant information on voluntary basis anonymously.</p> <p>The first phase will accomplished by establishing a portal at ICAA web-site where voluntary reports may be submitted or sent directly by mail to appointed contact within the analysis section of ICAA. The reports will be logged and assessed by the ICAA analysis section independently and separately from the divisions responsible for oversight tasks. The section will take care that no conclusions can be drawn about the reporters identity unless requested otherwise by the sources of the information. Depending on the safety risks identified appropriate measures will be taken.</p>	ICAA/FV	1 December 2011
<p>Phase 2 (To be decided) Further steps will be taken based on the experience from phase 1. If considered feasible this would involve full implementation voluntary reporting system e.g. changes to legislation to ensure that voluntary reporting is non-punitive and for ensuring protection of sources. Conclusions including trends and recommendations would be communicated to the industry. Decision regarding the arrangement of the system would be taken in cooperation with relevant bodies e.g. AAIB, pilot-, maintenance staff- and ATCO associations etc.</p>	ICAA/ FV	1 December 2012
While phase 2 is not implemented the ICAA will file a difference on this item to ICAO	ICAA/ FV	1 May 2011

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APPENDIX 3-7-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/01		
Please refer to Appendix 1-7-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
An estimate will be done regarding the necessary resources to execute the SAR oversight.	ICAA/FSS	1 June 2011
The ICAA QS procedures will be updated to define the functions and responsibilities. Minimum qualifications will be defined and job descriptions developed.	ICAA/FSS	1 June 2011
ICAA will update the training program, to take the SAR inspectors into account.	ICAA/FSS	1 June 2011
ICAA has drafted an agreement between Icelandic Coast Guard and ICAA on safety oversight of the JRCC which covers the requirements covered by Annex 12.	ICAA/FSS	28 March 2011
Signing of agreement regarding safety oversight of SAR	ICAA/Icelandic Coast Guard	1 June 2011

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APPENDIX 3-7-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/02		
Please refer to Appendix 1-7-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ANS & Aerodromes section (FSS) is responsible for the oversight of CNS, PANS-OPS, AIS and aeronautical charts, as defined in ICAA procedure FSS 4.1300. ICAA will review and add procedures to effectively implement the oversight of the above mentioned fields.	ICAA/FSS	1 June 2011
Safety oversight of AIS is already in place in the fields that are covered by regulation 631/2008 which implements EC regulation 2096/2004 for certification of the ANSP. ICAA has already decided to include safety oversight of PANS-OPS and aeronautical charts under the oversight of AIS. Procedures will be added to define that.	ICAA/FSS	1 June 2011
Safety oversight of CNS is already in place in the fields that are covered by the EC regulation 2096/2004 for certification of the ANSP. The requirement for flight inspections for radio navigational aids is a part of Safety Management System of the ANSP which is overseen by ICAA according to regulation 631/2008 (EC regulation 2096/2004). The oversight of the CNS services includes regular audits. The oversight for flight inspections will be a part of the oversight of the CNS services and will therefore be included in CNS audits.	ICAA/FSS	1 June 2011
Military radars are used as part of the CNS/ATM services. ICAA has no oversight authority over these equipment/systems and these arrangements are dealt with within the ANSP's Safety Management System as an external supplier. Procedures will be checked to make sure that the arrangement between the ANSP and the military radar authority are included in audits.	ICAA/FSS	1 June 2011

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APPENDIX 3-7-3

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/03		
Please refer to Appendix 1-7-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA has developed further the procedures (SS-2.3052 and SS-2.3051) regarding formal training programmes and prioritization of training to accommodate ICAO's finding. Training plans will be made to accommodate training needs for four years at the time.</p> <p>Taking into account:</p> <ul style="list-style-type: none"> - Employee's training needs according to job description as well as ICAA's role and scheduled tasks - Requirements put forward in regulations, instructions and guidance material from formal bodies (ICAO, EU, EASA, etc.) - Applicable Industry requirements/best practice <p>Training will be prioritized with emphasis on the year ahead. Training plans and prioritization will be reviewed every year, formally accepted and centrally stored by the HR department (Administrative Division). Procedure will be fully implemented for processing of training plans developed in the autumn 2011 for years 2012 to 2016.</p>	ICAA/all divisions/HR	15 February 2012
<p>Accordingly ANS division will add the following to the training program for the year 2012 onwards as the plan for 2011 is already set:</p> <ul style="list-style-type: none"> • Extend the period planned from one to four years. • For each of the fields within ANS the requirements will be reevaluated taken into account the responsibilities and requirements from the regulations. • The requirements for PANS-OPS, AIS aeronautical charts and MET will be added to the plan. <p>With regards to PANS-OPS it's expected that minimum requirements will be defined for its inspectors and external resources will be used to support the oversight.</p>	ICAO/FSS	15 December 2012

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APPENDIX 3-7-4

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/04		
Please refer to Appendix 1-7-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team, that it is necessary to verify the RVSM approval for aircraft and air operators.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>ICAA has already requested that Isavia ltd. the ANSP to establish the following procedure: Monthly the ANSP will send a list of all aircraft that entered BIRD FIR/CTA and filed "RVSM approved" in the flight plan, to the NAT CMA. The NAT CMA will cross check all call signs with the database of RVSM approved aircraft that the NAT CMA shares with other RMAs. If aircraft are found to have falsely indicated an RVSM approval in the flight plan, the NAT CMA will conduct a follow-up via the state of registry and operator.</p> <p>The following information shall be sent to the NAT CMA:</p> <ul style="list-style-type: none"> • Date of flight • Registration • Call sign • Aircraft Type • Operator • Origin • Destination 	ICAA/FSS	15 March 2011
Formal audit will be performed to verify that procedure has been implemented.	ICAA/FSS	15 September 2011

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APPENDIX 3-7-5

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/05		
Please refer to Appendix 1-7-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team that the SSP is not fully implemented; however several steps listed in the recommendation are already implemented.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
ICAA has already published versions 1.0 of the SSP which covers items a), c) and f) and the recommendation of the finding. In addition for item c) the safety requirements of the providers SMS is defined in regulation 631/2008 (EC regulation 2096/2005)	ICAA/FSS	28 March 2011
With regards to recommendation b) procedure will be updated when audit plans are made to perform a risk analysis to identify the areas of most importance for audits for inspections	ICAA/FSS	1 June 2011
With regards to recommendation d) the requirement for safety performance of the SMS will be added to the SSP.	ICAA/FSS	1 December 2011
With regards to recommendation e) is partially covered already in regulation 631/2008 and current oversight but the procedure will be reviewed.	ICAA/FSS	1 June 2011
ICAA will ensure that the service provider will perform post implementation monitoring and ICAA will follow up on the by adding this item to the audits schedule for 2011.	ICAA/FSS	1 December 2011
With regards to acceptable level of safety this item is dealt with within the regional planning under the umbrella of NAT-SPG. There the safety levels are identified and analysed. ICAA will however review its procedures and take into account safety measurements and safety performance. This will be reflected in the SSP	ICAA/FSS	1 December 2011

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APPENDIX 3-7-6

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/06		
Please refer to Appendix 1-7-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A chapter defining the ATS services for communication (Annex 11, Chapter 6) was by mistake left out of the Icelandic regulation 787/2010 which implements Annex 11. A new section for communication has been added to the regulation, and the regulation updated.	ICAA/SS	28 March 2011
The updated regulation has been submitted to the MoI and will be published.	MoI	1 May 2011

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APPENDIX 3-7-7

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/07		
Please refer to Appendix 1-7-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Information regarding air traffic reporting incidents</p> <p>Information on how and where to report occurrences is contained in the AIC B 02 / 2007. This AIC is only published in Icelandic.</p> <p>The AIS has been requested to translate the information to English and integrate the information into the ENR 1.14. (ENR 1.14.3). The translation is already done and will be published in next AIP update, and the AIC will be cancelled accordingly</p>	ICAA/FSS	7 April 2011
<p>The MET Office (http://www.vedur.is/vedur/flugvedur/vindakort) is centrally located in Reykjavik, serving all the Icelandic aerodromes and Reykjavik FIR. It can be contacted from several handling services at the aerodromes and other agents providing service to flights. Weather briefing can be obtained through phone and internet (Icelandic/English) 24 hrs.</p> <p>The AIS will be required to insert into AD 2.3 all available interfaces at the aerodromes for communication to the MET Office. Phone numbers and internet addresses shall be published along with location of service agents.</p>	ICAA/FSS	1 June 2011
<p>The designated COSPAS-SARSAT point of contact is the JRCC (Joint Rescue Coordination Center), it will be published as the point of contact in the next AIP Amendment (AIP GEN 3.6.1)</p>	ICAA/FSS	7 April 2011

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APPENDIX 3-7-7 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Present procedures for the AIRAC will be reviewed and audited in detail to ensure conformance to the provisions of Annex 15 (Chapters 4 and 6 and Appendix 4 to ICAO Annex 15).</p> <p>The audit is scheduled April 4th and 5th 2011 and notification already sent to AIS.</p>	ICAA/FSS	15 May 2011
<p>With regards to status of availability of aeronautical charts to users. The present procedures for publishing information about aeronautical charts will be reviewed and audited to ensure conformance to the ICAO SARP's.</p> <p>The audit is scheduled April 4th and 5th 2011 and notification has already been sent to the AIS/Charts.</p>	ICAA/FSS	1 June 2011

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APPENDIX 3-7-8

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/08		
Please refer to Appendix 1-7-08 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Where entire manoeuvring area cannot be scanned visually during low visibility operation, there are in place low visibility procedures to ensure runway safety. Low visibility procedures will be audited in upcoming aerodrome audits to ensure the application of such a procedure along with other measures (SMGCS) taken to protect operational runways.	ICAA	15 September 2011
With regards to Runway Safety Program, The European Action Plan for the Prevention of Runway Incursions has been introduced to Aerodrome Operators (2006). Procedures for the prevention of runway incursions will be reviewed during upcoming aerodrome audits, including the verification of active Runway Safety Committees at aerodromes and the continuous provisions for the prevention of runway incursions.	ICAA/FSS	15 September 2011
Chapter will be added to the State Safety Programme regarding Runway Safety Programme	ICAA/FSS	1 December 2011

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APPENDIX 3-8-1

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/01		
Please refer to Appendix 1-8-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The ICAA has developed further the procedures (SS-2.3052 and SS-2.3051) regarding formal training programmes and prioritization of training to accommodate ICAO's finding.</p> <p>Training plans will be made to accommodate training needs for four years at the time.</p> <p>Taking into account:</p> <ul style="list-style-type: none"> - Employee's training needs according to job description as well as ICAA's role and scheduled tasks - Requirements put forward in regulations, instructions and guidance material from formal bodies (ICAO, EU, EASA, etc.) - Applicable Industry requirements/best practice <p>Training will be prioritized with emphasis on the year ahead. Training plans and prioritization will be reviewed every year, formally accepted and centrally stored by the HR department (Administrative Division).</p> <p>Procedure will be fully implemented for processing of training plans developed in the autumn 2011 for years 2012 to 2016.</p>	ICAA/all divisions/HR	15 February 2012
<p>Accordingly AGA division will add the following to the training program for the year 2012 onwards as the plan for 2011 is already set:</p> <ul style="list-style-type: none"> • ICAA will add to the training program for the appropriate staff the items that are listed in the finding, • Training in the field of SMS in general; SMS development, use and evaluation, risk assessment and aeronautical studies. 	ICAA/FSS	15 December 2011

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APPENDIX 3-8-2

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/02		
Please refer to Appendix 1-8-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A procedure will be established for accepting a Non-Conformance in the operation of an aerodrome. The procedure will require the Aerodrome Operator to demonstrate their Risk Management (including a Risk Assessment) for the intended operation with their suggested mitigation for the deviation. The procedure will include provisions for the timely and precise notification of deviation and mitigating measures, and additional requirements if applicable, to the aerodrome users.	ICAA/FSS	1 May 2011
A procedure will be established for the review and acceptance of Aeronautical Studies. The procedure will include the evaluation of the study by an expert team that will be assembled for the sole purpose of the concerning study. Risk Assessments are already approved as part of the approved Operator's Risk Management during the certification process. ICAA's certification Audit procedure (<i>Process Instruction FMS 1.3000</i>) applies for this item. The <i>Process Instruction FMS 1.3000</i> will be reviewed in order to ensure that documented evaluation of Risk Assessments are included into the certification audits.	ICAA/FSS	1 May 2011

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APPENDIX 3-8-3

CORRECTIVE ACTION PLAN PROPOSED BY ICELAND RELATED TO AERODROMES

AUDIT FINDING AGA/03		
Please refer to Appendix 1-8-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The ICAA has required the Aerodrome Operator to present his risk management for continuing operation of the runway in question and as a part of his risk management to provide risk assessment for the two obstacles along with suggestions for mitigating measures if applicable. Risk assessment model has already been received from the Aerodrome Operator. The risk assessment has been delivered to ICAA.	ICAA/Isavia	24 March 2011
ICAA has requested the Airport operator to deliver an action plan for the mitigating measures they intent to implement.	ICAA/FSS	15 April 2011
The risk assessment and the action plan for mitigating measures will be reviewed by ICAA according to the procedure developed in AGA/02	ICAA/FSS	1 June 2011

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APPENDIX 3-8-4

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/04		
Please refer to Appendix 1-8-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A letter will be issued to the Aerodrome operator with a request that the SMGCS should be implemented and integrated. The request included a requirement for submitting to ICAA a plan with milestones and status reports.	ICAA/FSS	1 May 2011
ICAA will ascertain that the SMGCS system is integrated and documented by performing audits. Audits for assessing the SMGCS at aerodromes have already started. Basic elements of a SMGCS are available at all the aerodromes but not documented as a formal system. The audits aim for assessing all the elements of a SMGCS and their system relations. The aerodrome operators have been notified that they are required to present their SMGCS to the ICAA as a whole system.	ICAA/FSS	31 December 2011

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APPENDIX 3-8-5

**CORRECTIVE ACTION PLAN PROPOSED BY ICELAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/05		
Please refer to Appendix 1-8-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The ICAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>ICAA will collect and forwarding bird strike reports to ICAO (IBIS database). Procedure does exist to send the reports to IBIS. The procedure will be re-evaluated and corrected as necessary.</p> <p>The procedure is: <i>FSS-4.3012 Söfnun skýrslna um árekstra loftfara við dýr og fugla, meðhöndlun og áframsending í IBIS gagnagrunn Alþjóðflugmálastofnunarinnar.</i></p> <p><i>(e. „Collection of reports on aircraft collision to animals and birds, the handling and forwarding to the ICAO IBIS database“)</i></p> <p>ICAO Doc. 9332 is being studied.</p>	ICAA/FSS	1 May 2011
<p>The reports are collected through the ECCAIRS database and reports sent with data from that database. ICAO has been contacted for reporting possibilities. The first submission of reports has already been submitted to ICAO which included 194 incidents for the period 16.07.2005 til 21.12.2010</p>	ICAA/FSS	21 March 2011
<p>In addition ICAA will send a letter to Airport Authorities, ANS providers and handling agents for general aviation to inform about the procedure. Issue an AIC with guidance on how to report bird strikes to the ECCAIRS database.</p>	ICAA/FSS/FV	7 April 2011

— END —

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