



| ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY

CAPSCA Global update
April 2024



Public Health in Aviation

Internat

- Sendai Framework for Disaster Risk Reduction
- International Health Regulations
- Chicago Convention: ICAO SARPs & guidance material

National

- National Public Health Emergency Contingency Plan
- National Aviation Regulations (**include Standards related to public health**)
- **National Aviation Plan** for a Public Health Emergency
- **Airport (Point of Entry) Public Health Emergency Contingency Plan**
- Framework, mechanism, agreement and procedures between sectors

Aviation

- Aerodrome Emergency Plan (including public health emergencies)
- Air Traffic Services (ATS) contingency plan
- ATS procedures for notification of suspected public health risk on board
- Aircraft Operators Procedures
- Business Continuity Management Plans
- Procedures for Airports, Airlines & ANSPs

Business Continuity Plan

Public Health in ICAO

Chicago Convention	SARPs & PANS		
Article 13 Entry and clearance	Annex 6 Aircraft Operations	Annex 9 Facilitation	Annex 11 Air Traffic Services
Article 14 Prevention spread of disease	Annex 14 Aerodromes	Annex 15 Aeronautical Information Services	Annex 18 Dangerous Goods
Article 22 Facilitation of formalities	 <p>THE 41ST ICAO TRIENNIAL ASSEMBLY RECONNECTING THE WORLD</p>	Annex 19 Safety Management	PANS-ATM Doc 4444 Air Traffic Management

Communicable disease in ICAO

Article 14 of the Chicago Convention

‘Each contracting State agrees to take effective measures to **prevent the spread by means of air navigation** of cholera, typhus (epidemic), smallpox, yellow fever, plague, and such other **communicable diseases** as the contracting States shall from time to time decide to designate....

Technical Assistance &
Cooperation

CAPSCA

Training
Programmes

Assembly 41 Resolutions

A 41-11

Declaration on air transport facilitation affirming global commitment to enable the safe and efficient recovery of aviation from the COVID-19 pandemic, and to make aviation more resilient in the future

A 41-12

Maintaining health and sustaining safe international air transport during public health emergencies affecting air travel

A 41-13

Strategy on disaster risk reduction and response mechanism in aviation

Resolution 41/11



To consider harmonization of measures... regarding COVID-19 status of travelers

**URGES
STATES**



To adopt a policy of mutual recognition of health proofs



To conduct comprehensive risk assessments

**REQUESTS
STATES**



To ensure coordination between civil aviation and health authorities to allow a seamless implementation of health-related Annex 9 provisions



To promote global interoperability in all passenger processing efforts



To support the development and implementation of innovative non-contact technologies and technological equipment

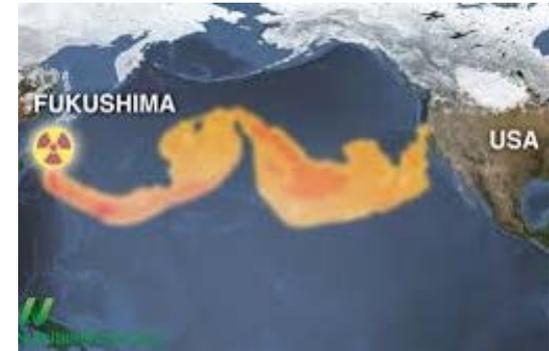
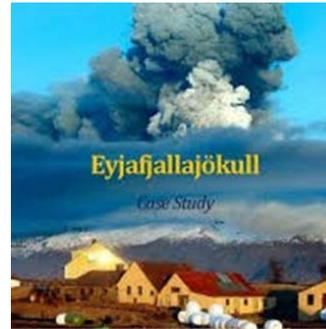
Crisis Preparedness and Response

Natural disasters (HADRA)

Radiation (Joint plan IAEA)

Biological and chemical events (CAPSCA)

Conflict zones (ATM)



Processes and tools for implementation

Implementation: Manuals, Guidelines & Training

Model National Transport
Facilitation Programme

Facilitation Manual and related
guidance

Other related manuals and subject
matter expert groups

CAPSCA Programme

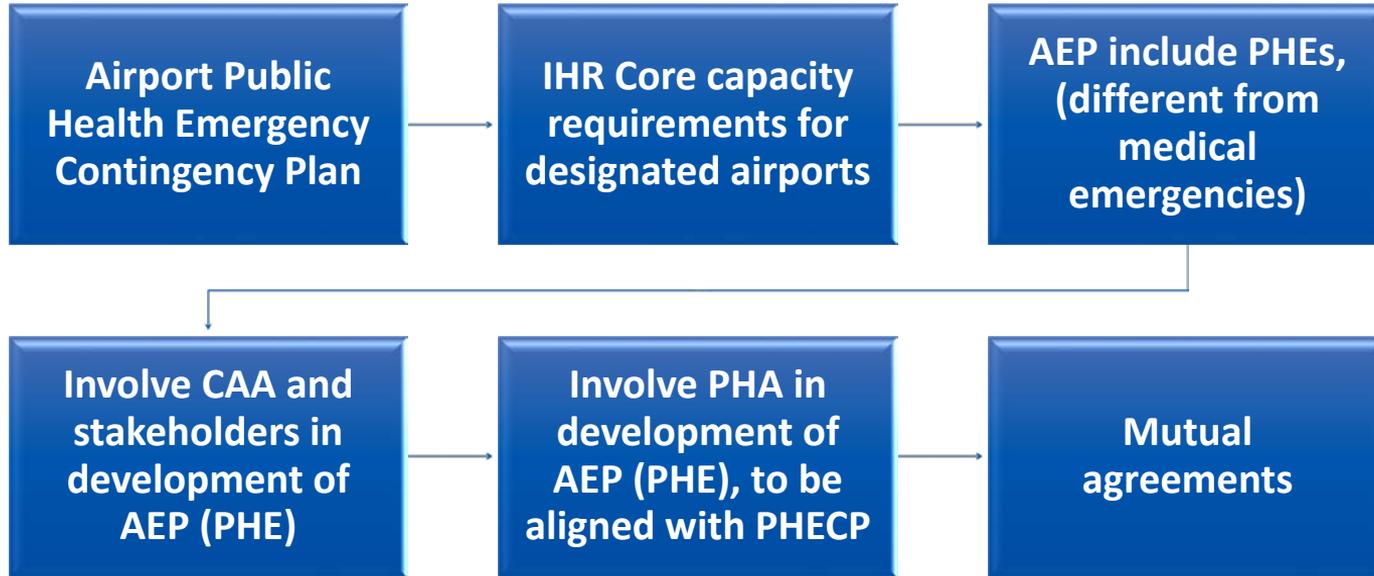
CAPSCA guidance, Assistance Visits

COVID-19 Cross Border Risk
Management Manual

Manual on Civil Aviation Medicine

Implementation Packages, webinars, training courses

Airport Emergency Plan and public health



Facilitation and CAPSCA

liaise, through the Secretariat, with relevant ICAO Panels and Bureaus, including CAPSCA, as required, and design appropriate auditing framework and capacity-building assistance mechanism for the implementation of Annex 9 health-related SARPs.

In consultation with CAPSCA, develop proposals to improve the level of implementation of Annex 9 Standard 8.16 (8.17), which directs States to develop a national aviation plan in preparation for an outbreak of a communicable disease

review the High-Level Conference on COVID-19 Facilitation Stream recommendations addressed to ICAO, and develop proposals for a plan of action to implement relevant recommendations; and support the Secretariat's work related to public health emergencies, as required;

Revise, as appropriate and as required, Doc 10042, Model National Air Transport Facilitation Programme, to more specifically address a national aviation plan compliant with Standard 8.16 (8.17 A29).

Facilitation Capacity Building - Training Courses

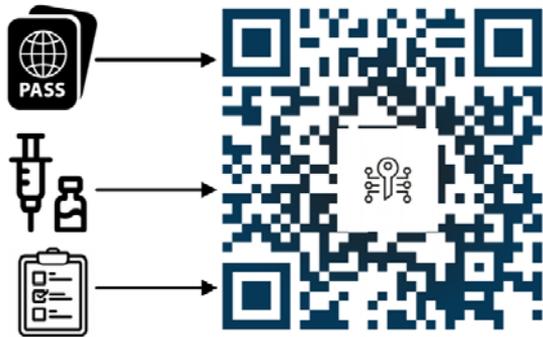
ICAO Annex 9 - Facilitation

The ICAO Annex 9 – Facilitation is virtual classroom course that develops competencies relevant to staff from Civil Aviation Authorities (CAA) and border control authorities to deal collectively, in an inter-agency manner, with Annex 9’s facilitation provisions.

Visible Digital Seals for Travel-Related Public Health Proofs

This course provides State authorities with the competencies required to implement a national Visible Digital Seal for Non-Constrained Environments (VDS-NC) solution for travel health proof, in accordance with ICAO Doc 9303, Machine Readable Travel Documents, Parts 9-13.

ICAO Travel Documents



ICAO VDS-NC

- Allows re-use of existing document issuance infrastructure and capabilities
- Verifiable at borders based on existing capabilities for travel documents



The ICAO Health Master List

- Re-uses existing capabilities and resources associated with the ICAO PKD
- Leverages ICAO's positioning as a global nexus for trustworthy certificate sharing

Facilitation Capacity Building - Training Courses

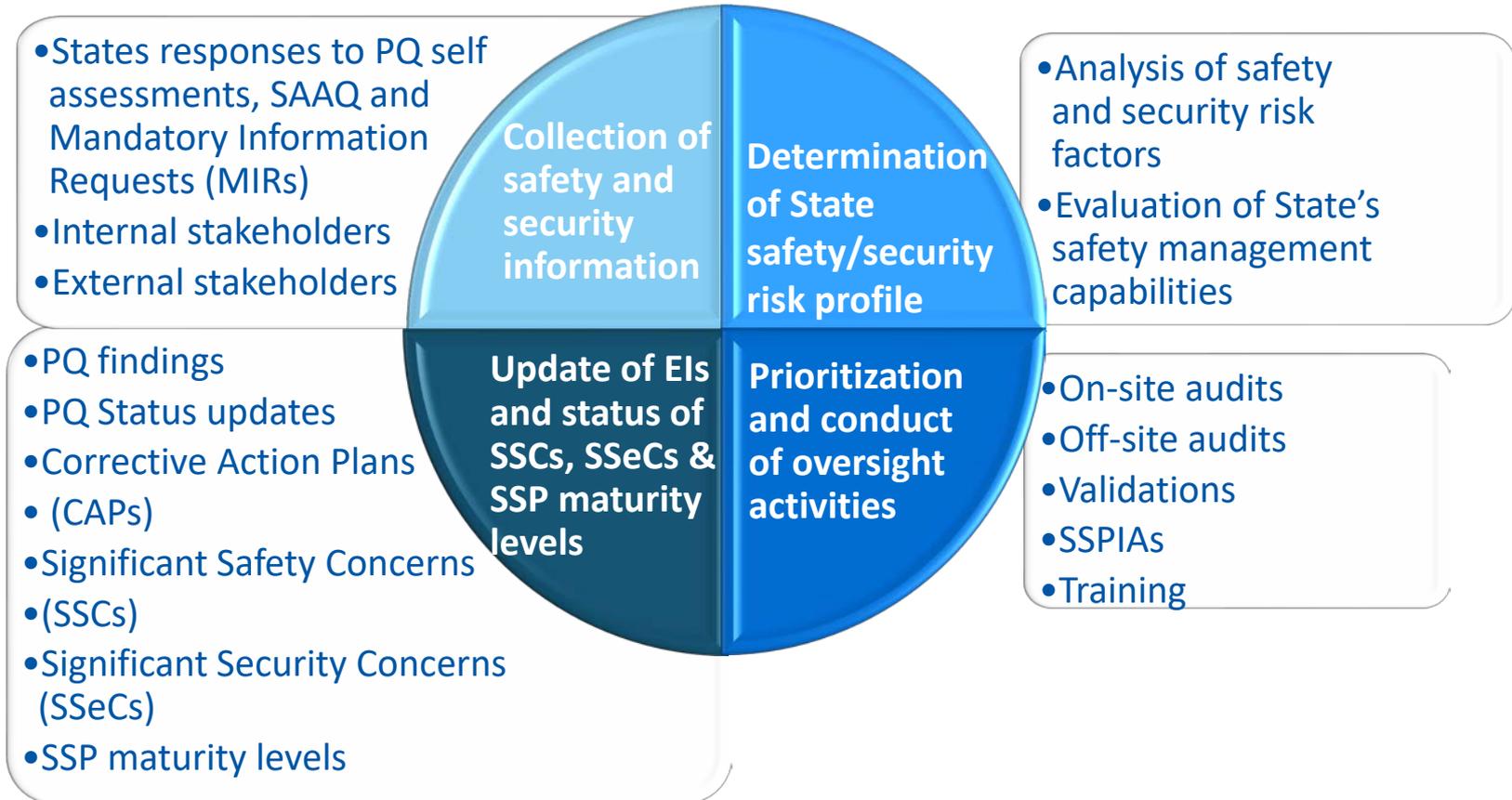
Traveler Identification Programme (TRIP) Strategy

The course provides to the target audience the competencies to implement the five key elements of the ICAO TRIP strategy, ensuring interoperability and internal cooperation, in accordance with Annex 9.

Assistance to Aircraft Accident Victims and their Families

This course will provide CAA representatives, other government officials, aircraft and airport operators and non-governmental organization with the competencies to effectively support aircraft accident victims and their family assistance efforts, in accordance with ICAO Policy.

ICAO Oversight Cycle Procedures and Tools



Compliance and audits

Compliance and Audits

Filing differences/ EFOD

USOAP - CMA
Universal Safety Oversight
Audit Programme

USAP - CMA
Universal Security Audit
Programme

- Both audit programmes use **eight critical elements** to determine the effectiveness of the related oversight system
- Each programme uses **protocol questions (PQs)** to ensure all areas are consistently and thoroughly assessed in all States, and ensure transparency in the audit process
- The **PQs are subdivided into audit areas** to facilitate the conduct of the audit
- All audited States must prepare **corrective action plans** to address the findings of the audit programme activities

USOAP Audit Areas



USAP-CMA Audit Areas

LEG	Regulatory Framework and the National Civil Aviation Security System
TRG	Training of Aviation Security Personnel
QCF	Quality Control Functions
OPS	Airport Operations
IFS	Aircraft and In-flight Security
PAX	Passenger and Baggage Security
CGO	Cargo, Catering and Mail Security
AUI	Response to Acts of Unlawful Interference
FAL	Security Aspects of Facilitation

USOAP Audit Areas

List of the percentage of Effective Implementation (EI) by Protocol Question (PQ#)

Note: If States are not all using the same protocol amendment, the EI by PQ is calculated across multiple protocol amendments.

Please use the page with judgement as the page requires processing time and can impact other users.



1. **PQ #:** Protocol Number.
2. **CntTotal:** Total Number of PQs.
3. **CntS:** Total Number of Satisfactory PQs.
4. **CntNS:** Total Number of Not Satisfactor PQs.
5. **CntNA:** Total Number of Not Applicable PQs.
6. **CntUDT:** Total Number of Undetermined PQs.
7. **EI:** Percentage of global Effective Implementation by Protocol Question.

USOAP Audit Areas

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.291	Does the State ensure that aerodrome operators/competent State authority develop emergency plans, including appropriate cooperation and coordination with other entities involved in the provision of emergency services and the development of the plans?	1) Review evidence to confirm effective implementation, cooperation and coordination. 2) Sample aerodrome emergency plan. 3) Check inclusion of: a) emergencies which may occur in the vicinity of an aerodrome, and b) public health emergencies, including coordination with public health services.	STD A14 Vol. I, 9.1.1 to 9.1.3 RP A14 Vol. I, 9.1.4 & 9.1.5 PANS Doc 9981 (AGA) 2.1.2.2; Att. A to C2 & Att. C to C2, 5.3 GM Doc 9774 App. 1, 4.3		CE-6

State Name	Region	PQ. #	Is PPQ	Audit Area	Audit Area Group	Critical Element	CntTotal	CntS	CntNS	CntNA	CntUDT	Ei
All		8.291	<input type="checkbox"/>	AGA	Safety procedures for aerodrome operations	CE-6	193	122	61	1	9	66.67

This is a theoretical sample for illustration only

USOAP Audit Areas

7.153	Does the State ensure that contingency plans have been developed and implemented in the event of disruption or potential disruption of ATS or related supporting services?	<ol style="list-style-type: none"> 1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of the existence of contingency plans and how they are applied. 3) Verify that contingency plans have been: <ol style="list-style-type: none"> a) developed with the assistance of ICAO (as necessary); b) coordinated with ATS authorities responsible for the provision of services in adjacent portions of airspace; and c) coordinated with airspace users. 4) Ensure that contingency plans also address natural disasters and public health emergencies. 	STD A11 2.32 GM A11 Att. C
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State Name	Region	PQ. #	Is PPQ	Audit Area	Audit Area Group	Critical Element	CntTotal	CntS	CntNS	CntNA	CntUDT	Ei
All		7.153	<input checked="" type="checkbox"/>	ANS	ATS	CE-6	193	96	84	3	10	53.33

This is a theoretical sample for illustration only

USOAP Audit Areas

7.151	Does the State ensure that procedures have been established and implemented to provide service to aircraft in the event of emergency ?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Review documented evidence of the procedures followed to render assistance to an aircraft in the event of the following emergencies:</p> <p>a) Unlawful interference.</p> <p>b) Aircraft bomb threat.</p> <p>c) Emergency descent.</p>	<p>STD A11 2.24 PANS Doc 4444 (ATM) 15.1</p>
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State Name	Region	PQ. #	Is PPQ	Audit Area	Audit Area Group	Critical Element	CntTotal	CntS	CntNS	CntNA	CntUDT	Ei
All		7.151	<input type="checkbox"/>	ANS	ATS	CE-6	193	144	37	2	10	79.56

This is a theoretical sample for illustration only

USOAP Audit Areas

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
4.460	Does the flight operations inspection organization ensure that the air operator has established a procedure for the crew to evaluate a traveller with a suspected communicable disease, based on the presence of a fever and certain other signs or symptoms?	<p>1) Review operations inspectors' procedures to ensure that they check air operators' related procedures.</p> <p>2) Confirm effective implementation by verifying that an air operator's operations manual or cabin crew manual contains related procedures.</p> <p>3) Check that the procedure includes the transmission, as required, of a General Declaration form to the State authorities.</p>	<p>STD A6 Part I, 6.2 A9 8.15, Note 1; 2.11 & App. 1 GM A6 Part I, Att. A</p>		CE-6

State Name	Region	PQ. #	Is PPQ	Audit Area	Audit Area Group	Critical Element	CntTotal	CntS	CntNS	CntNA	CntUDT	Ei
All		4.460	<input type="checkbox"/>	OPS	AOC application	CE-6	193	36	20	4	133	64.29

This is a theoretical sample for illustration only

USOAP Audit Areas

4.462	<p>Does the flight operations inspection organization ensure that the air operator has established procedures for the pilot-in-command to report promptly to air traffic control (ATC) a suspected communicable disease, with transmission of the following information:</p> <p>a) Aircraft identification; b) Departure aerodrome; c) Destination aerodrome; d) Estimated time of arrival; e) Number of persons on board; f) Number of suspected case(s) on board; and g) Nature of the public health risk, if known?</p>	<p>1) Review operations inspectors' procedures to ensure that they check air operators' related procedures.</p> <p>2) Confirm effective implementation by verifying that an air operator's operations manual has procedures for reporting suspected communicable diseases, including transmission of the following information:</p> <p>a) Aircraft identification; b) Departure aerodrome; c) Destination aerodrome; d) Estimated time of arrival; e) Number of persons on board; f) Number of suspected case(s) on board; and g) Nature of the public health risk, if known.</p>	<p>STD A9 8.15 PANS Doc 4444 (ATM) 16.6.1</p>		CE-6
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State Name	Region	PQ. #	Is PPQ	Audit Area	Audit Area Group	Critical Element	CntTotal	CntS	CntNS	CntNA	CntUDT	Ei
All		4.462	<input type="checkbox"/>	OPS	Air operator document review	CE-6	193	32	24	4	133	57.14

This is a theoretical sample for illustration only

Forms

APPENDIX 4. CERTIFICATE OF RESIDUAL DISINSECTION

GOVERNMENT OF

CERTIFICATE OF RESIDUAL DISINSECTION

Interior surfaces, including cargo space, of this aircraft were treated with an approved residual
 (aircraft registration)
 disinsection product on in accordance with the World Health Organization recommendations (WHO Weekly
 (date)
 Epidemiological Record No. 7, 1985, p. 47; No. 12, 1985, p. 90; No. 45, 1985, pp. 345-346; and No. 44, 1987, pp. 335-336)
 and any amendments thereto.

The treatment must be renewed if cleaning or other operations remove a significant amount of the residual disinsection product, and in any case within 8 weeks of the above date.

Expiry date:

Signed:

Designation:

Date:

Forms

Declaration of Health

Name and seat number or function of persons on board with illnesses other than airsickness or the effects of accidents, who may be suffering from a communicable disease (a fever — temperature 38°C/100°F or greater — associated with one or more of the following signs or symptoms, e.g. appearing obviously unwell; persistent coughing; impaired breathing; persistent diarrhoea; persistent vomiting; skin rash; bruising or bleeding without previous injury; or confusion of recent onset, increases the likelihood that the person is suffering a communicable disease) as well as such cases of illness disembarked during a previous stop.....
.....

Details of each disinsecting or sanitary treatment (place, date, time, method) during the flight. If no disinsecting has been carried out during the flight, give details of most recent disinsecting.....
.....

Signed, if required, with time and date _____

Crew member concerned

Forms

APPENDIX 2. PASSENGER MANIFEST

PASSENGER MANIFEST

Operator.....

Marks of Nationality and Registration* Flight No. Date

Point of embarkation..... Point of disembarkation

(Place) (Place)

Surname and initials	For use by operator only	For official use only
.....
.....
.....
.....
.....
.....

Forms

Public Health Passenger Locator Form



This form will help a public health official to contact you if you could have been exposed to a serious communicable disease on board. **Providing them READABLE and full contact data is crucial.** Your information is intended to be held in accordance with applicable laws and used only for public health purposes. *Thank you for helping us to protect your health.*

Flight (ex: AC298) <input type="text"/>	Seat N° <input type="text"/>	Arrival date <input type="text" value="7"/> <small>(yyyy / mm / dd)</small>
Family Name <input type="text"/>	First Name <input type="text"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Mobile + <input type="text"/>	Home or Office <input type="text"/>	
E-mail address <input type="text"/>		



Thank You