

ICAO Universal Safety Oversight Audit Programme

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

(14 to 24 March 2006)



International Civil Aviation Organization

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ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME

Final Report on the Safety Oversight Audit of the Civil Aviation System of New Zealand

(14 to 24 March 2006)

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 (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 secure 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 Contracting 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: Mr. Haile Belai, team leader, primary aviation legislation (LEG)/civil aviation organization (ORG)/personnel licensing (PEL)/aircraft operations (OPS); Mr. Ignacio Flores, team leader, on-the-job training (OJT)/LEG/ORG and team member, aerodromes (AGA); Mr. Arif Khan, team member, OJT/PEL/OPS; Ms. Elizabeth Gnehm, team member, airworthiness of aircraft (AIR); Mr. Ian MacNab, team member, OJT/AIR; Ms. Tuhinanshu Sharma, team member, OJT/AIR; Mr. Nicolas Rallo, team member, accident and incident investigation and prevention (AIG); Mr. Andrew Tiede, team member, air navigation services (ANS); Ms. Tay Siew-Huang, team member, OJT/ANS.

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 New Zealand was carried out from 14 to 24 March 2006 and from 18 to 22 April 2006 in accordance with the standard auditing procedures provided for in ICAO Doc 9735 — *Safety Oversight Audit Manual* and the Memorandum of Understanding (MOU) agreed to on 1 June 2005 between New Zealand and ICAO (see attachment to this report). 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 New Zealand in implementing these provisions.

2.3 The audit team reviewed the SAAQ and the CCs submitted by New Zealand 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 New Zealand to assist it in fulfilling its safety oversight obligations.

2.4 The audit results including the findings and recommendations contained in this report reflect the capabilities and limitations of the civil aviation system of New Zealand as assessed by the audit team. They are thus based on evidence gathered during interviews conducted by the audit team with New Zealand'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. The acronyms listed in the document reference box of each finding and recommendation form are defined as follows: **A** = Annex; **AR** = Assembly Resolution; **CC** = Chicago Convention; **CE** = Critical element; **CIR** = Circular; **GM** = Guidance material; **PANS** = Procedures for Air Navigation Services; **RP** = Recommended Practice; **STD** = Standard; and **SUPPS** = Regional Supplementary Procedures.

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 New Zealand Government has developed and promulgated a legal framework to establish rules of operation and divisions of responsibility within the New Zealand civil aviation system. The legal framework with regard to civil aviation safety oversight consists of the *Civil Aviation Act 1990*, the *Transport Accident Investigation Commission Act 1990*, the *Crown Entities Act 2004* and the *Civil Aviation Rules and Regulations*.

3.1.2 New Zealand’s primary aviation legislation, the *Civil Aviation Act 1990* (the “Act”), came into force on 1 September 1990 and was enacted by the Parliament of New Zealand to promote aviation safety, ensure that New Zealand meets its obligations under the Chicago Convention and implement international aviation agreements. In so doing, the Act clearly establishes the authority for the control of the aviation system with the New Zealand Government. It requires an aviation document for entry into the civil aviation system and contains enforcement provisions for contraventions of the Act. Part 5 (Offences and Penalties) of the Act provides for offences and associated penalties within the civil aviation system.

3.1.3 The Act provides that “The Minister may from time to time make rules (in this Act called ordinary rules)” (Part 3); establishes the Civil Aviation Authority (CAA) as a Crown entity (Part 6A, Section 72A[1A]); and gives the Director of Civil Aviation responsibilities and authorities (Part 6A, Section 72I). The Director of Civil Aviation has the responsibility and authority to make emergency rules in the case of aviation safety matters that must be dealt with in a manner that is more expeditious than that allowed for by the ordinary rule-making procedures (Section 31). The Director of Civil Aviation exercises the power to grant exemptions from rule requirements (Section 37). The number and nature of these exemptions are required to be notified in the *New Zealand Gazette*. Part 1 of the Act, Sections 17, 18, 20, 21 and 24 give the Director of Civil Aviation the power to impose conditions on, amend, suspend and revoke aviation documents; and also to detain aircraft and seize aeronautical products.

3.1.4 New Zealand ratified Article 83 *bis* of the Chicago Convention on 17 March 1993; however, the Civil Aviation Rules (CARs) do not provide for the recognition of certificates of airworthiness or pilot licences issued by the State of the Operator under an Article 83 *bis* agreement.

3.1.5 With respect to personnel licensing, the Act provides legislation relating to the conditions under which licences would be issued to the appropriate personnel. This includes requirements for medical examination and medical certification; the designation of aviation medical examiners; suspension and revocation of medical certificates and withdrawal of designation of aviation medical examiners; the delegation of persons or organizations to undertake responsibilities and obligations normally placed upon the State and the suspension/revocation of delegated authority either by the Director of Civil Aviation or the Minister. The Act also contains provisions which transfer the responsibilities of the Minister with respect to personnel licensing related activities to the Director of Civil Aviation.

3.1.6 In the area of aircraft operations, the Act provides legislation relating to the duties and responsibilities of the pilot-in-command and the requirements for the issuance and renewal of an aviation document which includes an air operator certificate (AOC) as well as the criteria under which an aviation

document can be suspended or revoked. The Act further provides requirements and legislation for the inspection and surveillance of air operators and the enforcement of rules relating to the operation of aircraft. The Act contains legislation to enable New Zealand to regulate and control aircraft operations within its territory.

3.1.7 With respect to airworthiness, Section 7 of the Act provides that rules made under the Act may require that an aviation document shall be required by or in respect to aircraft design, manufacture and maintenance organizations.

3.1.8 In the area of air traffic services (ATS), Section 99 of the Act provides that Airways Corporation of New Zealand Limited (Airways New Zealand, ACNZ) shall be the only person “entitled” to provide area control, approach control and flight information services (excluding aerodromes).

3.1.9 With respect to search and rescue (SAR), Sections 14B and 14C of the Act provide an appropriate basis for State aviation and maritime SAR arrangements, including mechanisms for the establishment of a rescue coordination centre (RCC) at Wellington. Maritime New Zealand is empowered by Ministerial Direction to operate and maintain the Rescue Coordination Centre New Zealand (RCCNZ) for coordinating aviation and maritime SAR services on a 24-hour basis within New Zealand’s extensive search and rescue region (NZSRR). Land SAR remains the responsibility of New Zealand Police. Arrangements for the provision of services by many aviation-related agencies including the CAA, Meteorological Services of New Zealand Limited (MetService), Maritime New Zealand and ACNZ are specified in annual performance agreements with the Minister, as required under the Act.

3.1.10 In the area of aerodromes, the requirements, standards and application procedures for each aviation document, and the maximum period for which each document may be issued, is prescribed by the rules made under the Act. New Zealand has established a clear separation of authority between the State operating agency and the State regulatory agency. The *Airport Authorities Act 1996* allows the formation of joint ventures for the establishment, maintenance and operation of any aerodrome. The Act also covers sanctions, offences and penalties for aerodrome operators, such as suspension and revocation of their aviation document.

3.1.11 The *Transport Accident Investigation Commission Act 1990* (TAIC Act), enacted on 9 September 1999, establishes the Transport Accident Investigation Commission (TAIC) as New Zealand’s independent authority, with the mandate to carry out aircraft accident and incident investigations where it believes that the circumstances of the accident or incident have, or are likely to have, significant implications for transport safety, and with the sole objective of preventing similar occurrences in the future. In cases where the TAIC decides not to investigate because the accident or incident is one the Commission is not required to investigate under the TAIC Act, the TAIC must notify the CAA of its decision not to investigate. According to the *Civil Aviation Act 1990*, it is a function of the CAA to conduct investigations of aircraft accidents and incidents, as the responsible safety and security authority. The TAIC Act provides the TAIC and its investigators with authority and legal tools to conduct investigations effectively and in compliance with ICAO Annex 13. However, for those investigations undertaken by the CAA, independence and full compliance with ICAO provisions are not achieved.

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 The Director is contracted by the Secretary of Transport to develop and administer the rule-making process. This formal process involves consultation with stakeholders, notices of proposed rule making (NPRMs), implementation of amendments to the regulations and notification of differences to ICAO. However, the promulgation of some of these rules takes a long time, and as a result, some of the CARs are not in line with the ICAO SARPs. The CARs and the supporting advisory circulars are accessible through the CAA website, www.caa.govt.nz, at no cost.

3.2.2 With respect to personnel licensing, New Zealand has promulgated CARs, Parts 61, 63, 65 and 66 for the issuance of personnel licences and ratings to flight crew members, air traffic controllers and aircraft maintenance engineers, and CARs, Part 67 for the issuance of medical certificates to flight crew members and air traffic controllers. Licences and ratings are issued on a continuing basis and remain valid as long as the holder meets the applicable medical requirements. The privileges of these licences and ratings can only be exercised subject to fulfilling the medical, recency and competency requirements. Personnel licensing related rules are mostly in conformity with the provisions of ICAO Annex 1, and New Zealand has promulgated rules to enable it to regulate and control the issuance and renewal of personnel licences and certificates.

3.2.3 New Zealand has promulgated CARs, Parts 91, 92, 119, 121, 125 and 135 to enable it to regulate and control the operations of aircraft. Although air operator certification is based on the five-phase process advocated by ICAO Doc 8335, the requirements contained in Part 119, specifically in the area of document requirements, do not fully meet the provisions of ICAO Annex 6, Part I and the specific requirements for the contents of the operations manual. As several essential requirements are not specifically required by the rules, the CAA may not be able to require and enforce them. The CAA has not established flight time and duty time limitations and provision of adequate rest period for cabin crew members, and such limitations are left to be settled between the cabin attendants and their employers.

3.2.4 With respect to airworthiness, the CARs follow an organized and comprehensive numbering system and provide the requirements for the following: issuance of the certificate of airworthiness, aircraft mass and balance, operator’s maintenance control manual, operator’s maintenance programme, specific operating provisions, lease agreements, approval of maintenance organizations, AMO procedures manual, AMO facilities and personnel, design certification and production, type certificate validation or acceptance, supplemental type certificates, approval of modifications and repairs, and approval of design organizations. However, the CARs do not contain all of the requirements outlined in Annexes 6, 8 and 16.

3.2.5 In the area of ANS, a number of ANS-related rule parts have been established dealing respectively with aeronautical telecommunications, ATS, meteorological services (MET) and aeronautical information services (AIS), describing the services to be provided and requirements for operational certification, licensing, training and competency. In the context of CARs, Part 171 (Aeronautical Telecommunications Services—Operation and Certification), New Zealand has not designated the authority responsible for ensuring that the international aeronautical telecommunication service is conducted in accordance with the procedures of ICAO Annex 10. CARs, Part 172 provides the primary regulations for the provision of ATS services in New Zealand. However, Part 172 contains information that is not consistent with ICAO provisions. The provisions for “basic weather reporting” in CARs, Part 174 (Aviation Meteorological Service Organisations) are not compliant with ICAO Annex 3 local routine and special reports for take-off

and landing. CARs, Part 175 (Aeronautical Information Services Organisations – Certification) prescribes rules governing organizations providing an AIS service for New Zealand “on behalf of the CAA”. A Part 175 certificate is an authorization to act as a delegate of the CAA. ACNZ is the sole Part 175 certificate holder for provision of AIS services in New Zealand; however, ACNZ is simultaneously party to a contract agreement with the CAA for the supply of AIS services.

3.2.6 The development and promulgation of visual and instrument flight procedures in New Zealand is covered under CARs, Part 95 (Promulgation of Instrument Flight Procedures) and Part 173 (Instrument flight Procedures Service Organisation – Certification and Operation). However, although they were expected to be promulgated in 2006, Parts 95 and 173 have yet to be promulgated. ACNZ has established a comprehensive safety plan, which addresses some elements of safety management programmes and exhibits high safety awareness throughout operational areas. However, the CAA has not established a mechanism to ensure that in all cases compliance and effective regulatory oversight with regard to ICAO Annex 11, safety management system (SMS) requirements, is achieved. The CAA has not established and implemented a runway safety programme applicable to aerodromes in New Zealand.

3.2.7 In the application of vertical separation in international portions of the domestic flight information region (FIR) (NZZC), New Zealand has adopted a flight level orientation scheme (FLOS) under which Northbound traffic utilizes “odd” flight levels and Southbound traffic utilizes “even” flight levels, whilst retaining in Auckland Oceanic FIR (NZZO) the East odd, West even flight level orientation preferred under ICAO Annex 2 provisions. This necessitates flight level transition arrangements between the two orientation schemes which have not been specified by New Zealand, as required by Annex 2, Appendix 3, and the adoption of the domestic FIR North/South orientation scheme has also not been specified in regional air navigation agreements, as required by Annex 2.

3.2.8 With respect to aerodromes, the CARs, Part 139 contains the rules for the certification and operation of aerodromes; however, these rules have not kept pace with current provisions of Annex 14. New Zealand also provides aerodrome standards to the industry through advisory circulars. The CARs, Part 139 requires that any aerodrome serving an aeroplane having a certified seating capacity of more than 30 passengers that is engaged in regular air transport to be certificated. However, New Zealand has not developed regulatory requirements or certification criteria for aerodromes that accept aircraft movements outside the above-mentioned criteria. New Zealand, through the certification process, requires that aerodrome operators establish a quality system that addresses some of the elements of a SMS. However, the requirement for the implementation of an SMS has not been promulgated.

3.2.9 With respect to the notification and investigation of aircraft accidents and incidents, New Zealand has promulgated the CARs, Part 12. This regulation specifies the rules to be followed for the reporting of occurrences to the CAA, the preservation of the wreckage, records and other evidence and gives the CAA investigators legal tools to conduct investigations, subject to the limitations contained in the TAIC Act.

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 Part 6A of the Act establishes the CAA to undertake safety, security and other functions to contribute to an integrated, safe, responsive and sustainable transport system, particularly regarding civil aviation matters. The responsibility for civil aviation oversight in New Zealand is vested with the CAA, a Crown Entity established by the Act. The CAA is headed by the Director of Civil Aviation, who reports to the five members of the Authority. The five members of the Authority report directly to the Minister of Transport. The CAA organizational groups have the overall responsibility of safety oversight related activities of the CAA. The groups report directly to the Director of Civil Aviation and consist of the following: Airlines Group; General Aviation Group; Personnel Licensing and Aviation Services Group; Government Relations Group; and Safety Research Education and Publishing Group.

3.3.2 The CAA has financial resources to implement the State’s responsibility for safety oversight, and most of the funding comes from the revenue of levies and regulatory charges, with some funding from the Crown. The CAA is a centralized agency with no regional offices. The technical staff of the CAA has been provided with the tools and equipment necessary to accomplish their tasks. However, the current level of staffing does not allow for the accomplishment of all the necessary activities, in addition to the daily work to be accomplished, including attendance at training courses, and the development of regulations and guidance material.

3.3.3 All personnel licensing related activities of the CAA are managed by the Personnel Licensing Unit and the Medical Unit established under the Personnel Licensing and Aviation Services Group (PLAS). The two units are reasonably staffed for the level of activities that are conducted by each unit. The duties and responsibilities of all staff members are documented. The unit has also established personnel licensing processes and procedures, including guidance material and checklists, to enable its staff members to effectively undertake their responsibilities. The staff of the unit does not conduct tests or examinations for the issuance of personnel licences, as those activities have been delegated to Aviation Services Limited (ASL) with respect to commercial operations and other training centers with respect to general aviation. The main responsibilities of the unit are to issue licences and ratings and to ensure standardization through the maintenance and updating of the rules, to delegate testing and examination organizations and individual examiners, to conduct oversight over delegated organizations and personnel, and to approve and provide oversight of aviation training centres under the CARs, Part 141. Aviation medical examinations have been delegated both within New Zealand and internationally. The Medical Unit has a professional staff of four doctors, including the CAA principal medical officer, who is the unit manager. Actual medical examinations are conducted by a large number of medical examiners delegated by the Director of Civil Aviation. Whilst some medical examiners are designated to only conduct the examinations, others are additionally designated to conduct assessments. In all cases, the Medical Unit checks all medical certification documentation, and a sampling methodology is applied for medical reviews.

3.3.4 Oversight of aircraft operations in New Zealand is the responsibility of the Airlines Group, the General Aviation Group and, in respect of aviation security oversight, the PLAS Group. Within the Airlines Group, the Flight Operations Unit is responsible for the safety regulations related to the operation of aircraft, the certification of air operators, and the inspection and monitoring of all air operations, which includes air transport operations and commercial transport operations. The Flight Operations Unit is also responsible for the safety oversight of foreign air operators, including the conduct of ramp checks and the approval of operations into New Zealand. The technical staff of the Flight Operations Unit is responsible for conducting inspections, audits and evaluations in the areas of aircraft operations, cabin safety and the

transportation of dangerous goods assisted by a dangerous goods officer. The Flight Operations Unit airline inspectors are responsible for the oversight of the transport of dangerous goods by air; however, the unit does not have a dedicated dangerous goods specialist. In this respect, an aerodrome officer from the Aeronautical Services Unit of the PLAS Group is also a trained dangerous goods specialist who may be requested to assist the unit.

3.3.5 The General Aviation Group is responsible for the certification and surveillance of airline operations utilizing aeroplanes having less than ten seats or a maximum certified take-off mass of 5 700 kg or less. In addition, the group is responsible for the activities involving helicopter operations, general aviation operations, agricultural, sports and recreation activities. It is divided into three units: the Fixed Wing Unit, the Rotary Wing Unit and the Sports and Recreation Unit. The Fixed Wing Unit is responsible for the operations involving the certification, approval and the continued surveillance of airline operators utilizing small fixed-wing aircraft, including general aviation fixed-wing operations. The Rotary Wing Unit is responsible for the certification of commercial and general aviation operations using helicopters and agricultural operations. The Sports and Recreation Unit handles all activities related to operations involving sports and recreation.

3.3.6 Airworthiness-related issues are handled between the Airlines Group and the General Aviation Group. The Airlines Group has been divided into the Flight Operations Unit, the Airline Maintenance Unit and the Aircraft Certification Unit. The Flight Operations Unit and the Maintenance Unit are responsible for the certification/approval and the continued surveillance of airline operators and aircraft maintenance organizations. The Aircraft Certification Unit is responsible for aircraft registration, issuance of certificates of airworthiness, special flight permits, type certificates, type acceptance certificates and the continued airworthiness of all aircraft on the New Zealand register. The CAA has a system of designees that function under a design organization approval issued by the Aircraft Certification Unit.

3.3.7 The responsibility for safety oversight and other regulatory duties relating to ANS is vested with the Aeronautical Services Unit of the Personnel Licensing and Aviation Services Group. The Aeronautical Services Unit, headed by the Manager, Aeronautical Services, is responsible for ATS, aeronautical telecommunications, navigation, MET and AIS services in the Auckland Oceanic and New Zealand FIRs, in accordance with ICAO SARPs and the New Zealand CARs. The Manager, Aeronautical Services is assisted by five officers and oversees ATS, AIS, MET, cartography and procedures for construction of visual and instrument flight procedures, AIP and aeronautical charts. ACNZ was established in 1987 under the *State-Owned Enterprises Act 1986* and provides ATS, including air traffic control, flight information and alerting within the New Zealand and Auckland Oceanic FIRs from ATS Centres in Christchurch and Auckland and seventeen control towers nationally. Under the Chief Executive Officer and respective group managers, ACNZ also provides related services including AIS, charting, flight inspections of navigation aids and other systems, installation and management of communications, navigation and surveillance systems and ATS services to military users at defence installations as required. MetService, a State enterprise established in 1992, provides Annex 3 aeronautical MET services in New Zealand under a contract with the CAA, the meteorological authority for New Zealand. Located in Wellington, MetService is also the national provider of weather services to the State media and general public, as well as to international and domestic airline customers. MetService also operates the regional volcanic ash advisory centre (VAAC) in Wellington.

3.3.8 The RCCNZ is staffed by a team of trained professionals, twelve SAR officers and three duty managers who provide coverage on a 24-hour basis with close coordination and cooperation with all entities responsible for assisting in SAR operations. SAR agreements with several neighbouring States have been signed. However, New Zealand has yet to establish appropriate agreements with a number of other neighbouring States.

3.3.9 The certification and surveillance activities for aerodromes are the responsibility of the Aeronautical Services Unit of the Personnel Licensing and Aviation Services Group. The Aeronautical Service Unit has two aerodrome service officers with vast experience in aerodrome operations. However, the Aeronautical Services Unit does not have sufficient staff with the technical expertise in rescue fire fighting (RFF), electrical and civil engineering and airport design. In addition, one of the aerodrome service officers has dual responsibilities, the certification and surveillance of aerodromes and the safe transport of dangerous goods by air. The CAA has developed the post descriptions for its aerodrome technical staff; however, the responsibilities for developing aerodrome standards and guidance material are not clearly defined in an official document. Since some of the aerodrome standards are being developed with an ad-hoc approach, aerodrome service officers develop and promulgate these standards as time permits.

3.3.10 The TAIC reports independently to the Minister of Transport and is separate from the CAA. Within the CAA, safety investigations are carried out by the Safety Investigation Unit (SIU), which forms part of the Safety Research, Education and Publishing Group. Both the TAIC and the SIU are organized and supported by technical and non-technical staff. The TAIC has a total of four air accident investigators, and the SIU a total of eleven aircraft accident investigators. The TAIC and the CAA have signed an MOU to coordinate some of their activities. However, the MOU does not address coordination procedures regarding the notification and investigation of occurrences.

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 The technical staff of the Personnel Licensing Unit and of the Medical Unit are provided with recurrent and refresher courses to maintain and enhance their knowledge and competency. Both units have established annual training programmes for their staff members that also include participation in seminars, workshops and conferences. The CAA makes substantial funds available for the training of the technical staff, which enables them to maintain their pilot licences and ratings and also provides for additional rating training should it be necessary. Training records in both units are maintained for technical staff.

3.4.2 The technical staff of the Flight Operations Unit are provided with recurrent and refresher courses to maintain and enhance their knowledge and competency. However, there is no formal training programme, as training is scheduled on need basis identified twice a year during the conduct of a performance assessment review of each individual staff member. Training records of the staff are documented and recorded and referred to during the evaluation process for identifying further training requirements.

3.4.3 The CAA has minimum qualification and experience requirements for the recruitment of airworthiness engineers and inspectors. The induction training of the airworthiness engineers and inspectors is carried out in accordance with a comprehensive training and development policy developed by the CAA. The technical staff is provided with OJT prior to their being issued with a delegation of authority. A system is in place for the conduct of six-month performance and development reviews for each airworthiness engineer and inspector to identify training needs for the development and maintenance of competency on an individual basis. However, a structured approach to determine minimum recurrent training and specialized training for airworthiness technical staff has not been developed. The training records are maintained in the respective units in the individual’s personal file.

3.4.4 In the area of ANS, the Aeronautical Services Unit has staff resources to carry out regulatory oversight in respect to aeronautical telecommunications and ATS providers and to carry out the surveillance programme that has been established. However, there is not sufficient staff in these areas for the preparation of an advisory circular for Part 172, training activities, annual leave, etc. In relation to MET services providers, the CAA has a single meteorological technical specialist to ensure regulatory oversight of Part 174 and Annex 3 provisions. The functions and responsibilities of MET inspectorate staff are not adequately defined, and job descriptions have not been established.

3.4.5 The CAA has developed and established a general training and development policy for its staff; however, this policy does not establish a formal comprehensive training programme for aerodrome service officers, which includes initial, recurrent and OJT with appropriate competence and qualifications checks. The aerodrome service officers have not received formal training in SMS and the development, evaluation and application of aeronautical studies and/or risk assessments. The CAA has established and uses a comprehensive computerized human resources system, CHRIS, for the maintenance of its technical staff training records.

3.4.6 The TAIC and the CAA have established minimum qualification criteria for the recruitment of their technical staff in charge of accident and incident investigations. Both have established and implemented training programmes.

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 In the area of personnel licensing, the CAA has established a licensing system supported by rules, guidance material and checklists to enable it to undertake its functions effectively. Technical guidance material, including various forms to be used by examiners, test providers and applicants, has been developed and published on the CAA website. The guidance material provided addresses all licences issued and the medical certificates required. All relevant documents are readily available to staff members as well as to applicants through Intranet and Internet access as the case may be.

3.5.2 With respect to operation of aircraft, the CAA has established an air operator certification and supervising system supported by rules, guidance material and checklists to enable it to effectively undertake its functions. Although some checklists are available in hard copy, the majority of the guidance material provided to the operations inspectors is available on the Intranet and the CAA’s website. Guidance and application information is also made available to the industry through the CAA’s public website. Guidance material provided addresses all certification and supervision related activities, including checklists for conducting safety inspections of aircraft, personnel and facilities.

3.5.3 The CAA has developed procedures for the airworthiness technical staff, as well as an extensive set of advisory circulars developed for the industry, which are available on the Internet. However, the procedures for the issuance of documents attesting to noise certification for carriage on board aircraft have not been developed, and the procedures for type acceptance do not address the capability of the Contracting State which issued the type certificate. In addition, the procedure for the issuance of special flight permits

does not include guidelines for reviewing the operating limitations to be specified on the permit. The CAA has established a technical library with access, either in hard copy, compact disc or on-line subscriptions, to all the documents needed by the CAA staff for the issuance of approvals, including ICAO documents and guidance material and design documentation from the manufacturer for all the aircraft on the New Zealand Register. Although the CAA has a system in place to ensure that the documents contained in the library are up to date, the system has not yet been implemented. The airworthiness technical staff have facilities and equipment (computers, fax machines, cellular phones, etc.) available to them.

3.5.4 The Aeronautical Services Unit of the CAA has established guidance documentation establishing the policies and procedures for the delivery of the work programmes of the unit. Manuals providing detailed guidance on the conduct of inspections and audits, certification processing and other related activities are available. The CAA has developed a comprehensive AIP which is available, free-of-charge, in a downloadable (PDF) format at www.aip.net.nz. However, significant differences to the provisions contained in ICAO Annex 15 SARPs and procedures are not specifically indicated in the AIP. The production of guidance and safety critical information, such as AIS, aeronautical charts, notices to airmen (NOTAMs) and the New Zealand AIP, is carried out by the Aeronautical Information Management Unit of the ACNZ through an ISO-compliant quality management system.

3.5.5 SAR operations are conducted by the RCCNZ using Volumes 1, 2 and 3 of the International Aeronautical and Maritime SAR (IAMSAR) Manual. The RCCNZ also uses a comprehensive in-house procedures manual to detail the manner in which SAR operations are to be conducted.

3.5.6 In the area of aerodromes, guidance material to assist both the technical staff and the industry in the application of Annex 14 provisions and related national regulations is limited in scope. In addition, an aerodrome certification manual for aerodrome service officers has not been developed. The Aeronautical Service Unit uses the library to keep and maintain all of the aerodrome manuals and related manuals submitted by the aerodrome operator as well as the aerodrome general files. The CAA has developed some guidance material and procedures for its technical staff for the certification and operation of aerodromes; however, some essential guidance covering the principles and application of SMS and risk assessments has not been developed. The industry visit to Wellington International Airport confirmed that the aerodrome operator has not installed airfield signs in accordance with ICAO Annex 14 and national regulations. The Aeronautical Services Unit is equipped with sufficient office equipment and the necessary tools for aerodrome service officers to enable them to carry out their safety oversight functions.

3.5.7 The TAIC and the SIU provide their staff with all the necessary facilities, equipment and documentation. Both of them have developed comprehensive guidance material for their technical staff in the form of fully controlled manuals. The CAA and the TAIC publish information related to their investigations on their respective websites. Furthermore, the CAA has issued advisory circulars related to the notification of occurrences (Circular AC 12-1) and the investigation of incidents (Circular AC 12-2). The CAA has also published and disseminated information booklets on how to report occurrences and how to deal with an aircraft accident site. New Zealand has established a process for receiving and acting upon notifications of aircraft accidents and incidents on a 24-hour basis. Provisions for the coordination between the TAIC and the CAA are contained in the MOU signed between the two organizations. In general, New Zealand, through the TAIC and the CAA, has established a process for the investigation of accidents and incidents and for its participation in investigations conducted by other States.

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, the CAA has established a comprehensive system for the issuance of licences. The system also addresses the conditions for the designation of training establishments and the delegation of an examination and testing organization for all professional licences. Examination and/or testing of licence applicants is carried out by ASL under delegation from the Director of Civil Aviation and by training centres certificated under Part 141. The CAA issues licences and ratings on the basis of the results from ASL and the Medical Unit. Nevertheless, the Personnel Licensing Unit, prior to the issuance of the licence, conducts an assessment of the documents presented. In addition to the ASL and Part 141 training centres, individual examiners and test providers are delegated in accordance with the Act. Requirements for the delegation of organizations and individuals for examining and testing purposes are contained in the Act, CARs and other relevant documents. New Zealand has established a personnel licensing system including issuance of medical certificates. The CAA issues all the licences outlined in Annex 1 with the exception of flight navigator, flight engineer, operations officer/flight dispatcher and non-commercial free balloon pilot licences.

3.6.2 Regulatory requirements for the certification of air operators do not fully address the requirements contained in Annex 6 SARPs. However, the industry visits during the audit confirmed that the requirements prescribed in Annex 6, Part I are implemented.

3.6.3 In the area of airworthiness, the CAA policies, advisory circulars, procedures and checklists have been implemented. The CAA has implemented requirements and procedures to ensure that applicants have demonstrated compliance for the issuance of the following approvals: certificates of registration, certificates of airworthiness, maintenance arrangements under an AOC, AMOs, type certificates, type acceptance certificates, supplemental type certificates, design organization approvals, and production approval certificates.

3.6.4 The Aeronautical Services Unit of the CAA has implemented the processes and procedures to oversee the comprehensive certification requirements for aeronautical telecommunications, ATS, aviation meteorological services and AIS described in the CARs, Parts 171, 172, 174 and 175, respectively. Also, the ATS personnel licences and ratings stipulations are described in Part 65 and are managed by the Personnel Licensing and Aviation Services Unit of the CAA.

3.6.5 New Zealand has issued aerodrome operating certificates to aerodromes that serve any aeroplane having a certified seating capacity of more than 30 passengers that are engaged in regular air transport. These aerodrome-operating certificates are issued or granted for a period of up to five years based on satisfactory surveillance conducted by aerodrome aeronautical service officers. The certification process for aerodromes has been established and requires the use of appropriate checklists to ensure compliance with the certification process. The CAA has not established a process to ensure that aerodrome operator’s plan for marking, lighting and signs are integrated as a whole into the aerodrome’s runway incursion and collision avoidance strategy.

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 With respect to personnel licensing and medical examinations, the CAA has established a system of surveillance which enables it to ensure that the delegated organizations and individual examiners are undertaking their responsibilities in accordance to established rules, processes and procedures. To this end, the technical staff of the Personnel Licensing Unit and the Medical Unit perform regular (scheduled) and random inspections and surveillance of all delegated organizations and personnel in New Zealand. In the New Zealand medical certification system all medical examiners, both domestic and foreign, are required to submit medical information to enable the CAA to audit medical assessments.

3.7.2 In the area of operation of aircraft, the CAA has established a system of annual audits to enable it to monitor the safety of aircraft operations in New Zealand. Findings and reports of annual audits are documented. Special-purpose audits and spot checks are conducted on a case-by-case basis to address specific issues. Follow-up on identified deficiencies, if any, is not conducted until the next audit is performed by CAA personnel. Annual audits conducted are multi-disciplinary in nature and may also include supervision of the transport of dangerous goods with the help of the dangerous goods specialist from the Aerodrome Unit. Inspections of facilities and cabin safety are performed during those audits with the use of appropriate checklists. Inspections of training facilities outside New Zealand are conducted only during the initial certification process, and no periodic surveillance of training facilities outside New Zealand is performed. In all instances, most external training is conducted during the initial acquisition of equipment, and the need for continuing and periodic surveillance and inspection is minimal.

3.7.3 The CAA surveillance policy forms the basis of the continuous airworthiness surveillance activities conducted by the CAA technical staff that consists of the Airlines Group and the General Aviation Group. The surveillance activity may include routine audits, special purpose audits and spot check. Routine audits for AOC holders, AMOs, design organizations and manufacturing organizations are conducted annually. Large airlines and organizations are audited based on an annual plan involving a number of modules spread over the entire year. The continued validity of the certificate of airworthiness of an aircraft is dependent on an annual review of the airworthiness performed by the operator and submission of the report to the CAA. In the area of design approvals, the CAA also conducts surveillance of its delegated personnel to ensure the level of competency is maintained to the required level. An established CAA surveillance policy provides the foundation for the day-to-day safety inspections and monitoring carried out by the CAA. It requires that specified categories of participants in the civil aviation system be audited on a programmed basis.

3.7.4 In the area of ANS, the CAA carries out audits in accordance with a surveillance plan established at the time of initial certification. The plan is recorded as a series of audit modules in the CAA database and normally covers all aspects of a document holder’s operation over a 12-month period. The modules are reviewed and adjusted to take account of outcomes from previous audits or other information reported to the CAA. The Aeronautical Services Unit performs a variety of safety oversight and audit activities of operational ATS units and non-operational units, including Airways Training Centre, MET, AIS, cartography and procedures design and aeronautical charts. Audits are conducted primarily against CAR provisions, relevant documents and checklists. ACNZ maintains a separate unit for the surveillance of all areas of their business, including all operational units. Extensive use is made of a contemporary database software to provide structured auditing capability and the tracking and resolution of audit findings and recommendations. ATS operational personnel are subjected to a structured programme for all training, periodic proficiency checks and medical-related requirements for licensing. The CAA examines these arrangements during routine surveillance activities.

3.7.5 State legislation and aviation rules enable the Aerodrome Service Unit to conduct surveillance for all certificated aerodromes and non-certificated aerodromes. All certificated aerodromes are assessed against criteria in CARs, Part 139, through the establishment of a formal certification and ongoing inspection programme. In this case, aerodrome certificates are issued for a period of up to five years based on the satisfactory outcome of their annual audit, and non-certificated aerodromes are audited every three years. Aerodrome service officers follow a formal safety auditing policy established by the CAA, which includes relevant checklists and instructions for the conduct of the safety audits.

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 With respect to the resolution of identified safety concerns, the Act provides the necessary enforcement powers for the Director, including the suspension/revocation of any aviation document where the Director considers such action necessary in the interest of safety. Accordingly, the Personnel Licensing Unit and the Medical Unit have established a system for the follow-up and rectification of deficiencies identified during inspections. A review of inspection reports in both units confirmed that the process has been implemented and action has been taken with respect to personnel licensing and medical examinations, in some cases through the use of court action.

3.8.2 The CAA’s database receives safety information from the monitoring of industry activity, including reports under the CARs, Part 12 mandatory reporting system and findings from the CAA’s routine and ad hoc safety audits and inspections. The Airlines Group and the General Aviation Group analyse reports on faults, defects and malfunctions and take appropriate action for the continuing airworthiness of the aircraft registered in New Zealand. The CARs provide for the direct adoption of the continuing airworthiness information from the State of Design. However, the CAA may also issue additional mandatory actions if it believes that the actions provided by the State of Design are inadequate. The CAA may also issue airworthiness directives based on the reports on faults, malfunctions, defects and occurrences received that warrant such a corrective action. New Zealand, as a State of Design, issues its own continuing airworthiness information in the form of airworthiness directives for the aircraft under its responsibility.

3.8.3 The airworthiness inspectors/engineers conduct safety audits of the certificate holders annually based on the surveillance policy of the CAA. The audit is conducted using comprehensive procedures which require the completion and retention of audit checklists, amongst other requirements, and also includes an exhaustive database package for scheduling, recording and tracking of findings. However, the system in place does not ensure the timely and effective resolution of the deficiencies in a consistent manner.

3.8.4 ACNZ provides a full-time ATS-related safety investigation capability, under a separate manager, supported by a formalized ATS incident reporting mechanism and safety database to enable the timely notification, investigation and resolution of ATS-related incidents. ACNZ utilize structured remedial training programmes for the ATS operational staff, where necessary, which include directed theoretical and simulator training to address specific matters identified by the ACNZ investigation process. Of significance in ACNZ’s resolution of ATS safety issues is the recent adoption of concepts and practices, which have been widely accepted by ATS operational staff.

3.8.5 With respect to aerodromes, a formal procedure for the resolution of safety concerns has been established by the CAA, in which a finding notice will be issued to aerodrome operators in the case of non-compliance or non-conformance during surveillance activities. The finding notices issued to the aerodrome operators are classified as critical, major or minor, depending on the severity of the finding, and a deadline is established by the aerodrome service officer to ensure a timely corrective action by the aerodrome operator. If the corrective action is not taken by the aerodrome operator to close the finding, action may be taken against the aviation document or the document holder.

3.8.6 The TAIC and the CAA issue safety recommendations related to their respective investigations. Based on the provisions of the MOU signed between the two organizations, the CAA and the TAIC shall submit accident/incident data reporting (ADREP) system preliminary reports and data reports to ICAO and entitled States for the investigations that they respectively undertake. Procedures related to the forwarding of draft final reports and final reports are not adequately documented to ensure systematic compliance with the provisions of Annex 13. The occurrence reporting system established by the CAA, while providing for the mandatory reporting of accidents and incidents to the CAA, allows persons reporting aircraft incidents to request confidentiality, based on the provisions of paragraph 12.61 of the CARs, Part 12. This reporting system has been managed by the CAA. Within the aviation safety monitoring system (ASMS), the CAA has established a process to analyse safety information derived from investigations, audits and inspections. The data is analysed to look for patterns and determine where safety improvement efforts should be targeted. This information is used to assist in the development of the CAA's annual planning and five-year safety targets.

4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS

4.1 Accompanied by staff members of the State's civil aviation system, the audit team visited 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 was to validate the capability of the State to supervise the activities of these service providers, airlines and organizations. The audit team visited the following organizations: Air New Zealand Link operated by Air Nelson Limited; Helicopters NZ Ltd; Pacific Aerospace Corporation, Ltd; Wellington International Airport; Airways Corporation of New Zealand – Auckland Oceanic Centre; Christchurch ATCC; Christchurch Air Traffic Control Tower; Airways Training Centre; Aeronautical Information Management Unit; Charting Unit; Rescue Coordination Centre New Zealand by Maritime New Zealand; Meteorological Services of New Zealand Limited (Met Service); and Air Nelson and Aviation Services Limited.

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 safety oversight (ICAO Doc 9734, Part A refers) in New Zealand 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. New Zealand has submitted its SAAQ to ICAO, which can be found at 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. New Zealand has submitted its CCs to ICAO, which can be found at www.icao.int/soa.

8. FOLLOW-UP ACTION

8.1 In accordance with the MOU agreed to between New Zealand and ICAO, New Zealand submitted an action plan on 23 August 2006 addressing all the findings and recommendations contained in this report. The action plan submitted was reviewed by the Safety Oversight Audit (SOA) Section and was found to be satisfactory. The proposed action plan, including comments and clarifications provided by the State, are attached as Appendix 3 to this report. Comments by ICAO on each corrective action are found in Appendix 1 to this report.

APPENDIX 1

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

Auditee: NEW ZEALAND	LEG/01 1.109;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

Doc 8335, 9.6; Doc 9734, Part A, 3.2

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

The delegation of authority issued by the Director of Civil Aviation to the technical staff responsible for conducting inspection and surveillance does not include the power to detain aircraft for just cause given to the Director under Section 21(2) of the *Civil Aviation Act 1990*.

RECOMMENDATION:

The Director of Civil Aviation should amend the delegation of authority issued to the technical staff responsible for surveillance activities to include the power to detain aircraft for just cause given to the Director under the *Civil Aviation Act 1990*, or implement procedures to ensure that the technical staff of the CAA can effectively invoke the Director's powers to detain an aircraft for just cause.

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: 30/06/2007

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	LEG/02 1.151; 4.385; 5.347;								
DOCUMENT REFERENCE: CC Art. 83 <i>bis</i> ; CIR 295									
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CE-1 X	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8		
FINDING: New Zealand ratified Article 83 <i>bis</i> to the Chicago Convention on 17 March 1993; however, the Civil Aviation Rules (CARs) do not provide for the recognition of certificates of airworthiness or pilot licences issued by the State of the Operator under an Article 83 <i>bis</i> agreement.									
RECOMMENDATION: The Minister of Transport should amend the CARs to provide for the recognition of certificate of airworthiness and pilot licences issued by the State of the Operator under an Article 83 <i>bis</i> agreement. Once the CARs are amended, procedures should be developed for the transfer and acceptance of tasks under 83 <i>bis</i> agreement and for relevant notification to be provided to ICAO.									
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. <p style="text-align: right;">Estimated Implementation Date: 31/07/2008</p>									
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>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>LEG/03 1.205;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A15, 4.1.2</p>									
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CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>Although the CAA has developed a comprehensive Aeronautical Information Publication (AIP), significant differences to the provisions contained in ICAO Annex 15 Standards and Recommended Practices (SARPs) and procedures are not specifically indicated in the AIP. The AIP only provides information guiding interested parties to look for information related to differences in the CAA website, which contains all of the differences.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should include significant differences in the AIP in conformance with Annex 15 requirements.</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: 31/07/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-1-04
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

Auditee: NEW ZEALAND	LEG/04 3.007; 4.005; 5.001; 8.001; 8.015;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

CC Art. 12, 28, 37 & 38; Doc 9734, Part A, 3.2; Doc 9760, Vol. I, 2.1.3

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

New Zealand has developed and promulgated CARs. However, these CARs do not fully address ICAO SARPs, and the rule-making process to bring the rules in line with ICAO SARPs is not given a high priority. As a result, promulgation of technical CARs takes a long time.

RECOMMENDATION:

The Minister of Transport should revise and promulgate CARs to ensure that they are in conformance with ICAO SARPs.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-1-4 of this report.

Estimated Implementation Date: 30/09/2009

COMMENTS BY ICAO:

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

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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>ORG/01 5.033; 5.473; 7.417;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A3, 2.1.5; Doc 9734, Part A, 3.4 & 3.5; Doc 9760, Vol. I, 3.3 & 4.4</p>									
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CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>The current CAA staffing levels do not take into consideration activities beyond daily work being conducted, for example: time away from the office for training, development of guidance material and procedures, and vacation. In addition, some areas are not staffed adequately, given the assigned responsibilities and levels of activity.</p>									
<p>RECOMMENDATION:</p> <p>The Director of Civil Aviation should ensure all units of the CAA are adequately staffed to allow time for training, development of guidance material and procedures, and vacation, in addition to performing their day-to-day activities.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-2-1 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/03/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

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

Auditee: NEW ZEALAND	OPS/01 4.121; 4.141; 4.161; 4.163; 4.189;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A6, Part I, 3.3, 4.2.2, 6.1.3, App. 2 & Att. H; Doc 9376

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

Although potential applicants for an air operator certificate (AOC) are required to present a number of documents as part of the certification process, the CARs do not include a requirement for air operators to establish and maintain a flight safety document system to include a system for providing aircraft operating information to the operations staff and flight crew including mandatory revisions; and a system for ensuring that air operators include certification limitations and operating limitations in the aircraft operating manual.

RECOMMENDATION:

The Minister of Transport should amend the CARs to include requirements for air operators to establish and maintain a flight safety documentation system, including a system to provide aircraft operating information to the operations staff and flight crew mandatory revisions. The CAA should also ensure that air operators include certification limitations and operating limitations in the aircraft operating manual.

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: 30/06/2007

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	OPS/02 4.157; 4.203; 4.205;								
DOCUMENT REFERENCE: STD A6, Part I, 3.2.3, 3.2.4, 3.3, 4.2.2 & App. 2, 2.1.34									
<table border="1" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2</td><td style="text-align: center;">CE-3</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5</td><td style="text-align: center;">CE-6 X</td><td style="text-align: center;">CE-7</td><td style="text-align: center;">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: Although industry visits conducted indicated that air operators have implemented a flight safety and accident prevention programme, including a non-punitive flight data analysis programme containing adequate safeguards to protect the sources of the data, no regulatory requirement has been established in the CARs for such programme.									
RECOMMENDATION: The Minister of Transport should amend the CARs to include a requirement for air operators to establish and maintain a flight safety and accident prevention programme, including a non-punitive flight data analysis programme, in conformance with ICAO Annex 6 SARPs.									
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. <div style="text-align: right;">Estimated Implementation Date: 30/06/2007</div>									
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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	OPS/03 4.251; 4.253;								
DOCUMENT REFERENCE: STD A6, Part I, 4.2.10.2 & 4.2.10.3; Doc 9376, C5									
<hr/> <table border="0" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2</td><td style="text-align: center;">CE-3</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5</td><td style="text-align: center;">CE-6 X</td><td style="text-align: center;">CE-7 X</td><td style="text-align: center;">CE-8</td></tr></table> <hr/>		CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7 X	CE-8
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7 X	CE-8		
FINDING: New Zealand, as the State of the Operator, has not established rules specifying the limits applicable to flight time, flight duty periods and rest periods for cabin crew members.									
RECOMMENDATION: The Minister of Transport should amend the CARs to specify the limits applicable to flight time, flight duty periods and rest periods for cabin crew members.									
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. <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>OPS/04 4.301; 4.303;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A6, Part I, 4.2.7 & Part III, Sect. II, 2.2.7.1</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center;">CE-1</td><td style="width: 12.5%; text-align: center;">CE-2</td><td style="width: 12.5%; text-align: center;">CE-3</td><td style="width: 12.5%; text-align: center;">CE-4</td><td style="width: 12.5%; text-align: center;">CE-5</td><td style="width: 12.5%; text-align: center;">CE-6 X</td><td style="width: 12.5%; text-align: center;">CE-7</td><td style="width: 12.5%; text-align: center;">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		
<p>FINDING:</p> <p>The CARs do not require air operators to establish aerodrome operating minima for each aerodrome to be used in operations.</p>									
<p>RECOMMENDATION:</p> <p>The Minister of Transport should amend the CARs to include the requirements for air operators to establish aerodrome operating minima for each aerodrome to be used in operations. The CAA should also approve the method of determination of such minima.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-4-4 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	OPS/05 4.369;								
DOCUMENT REFERENCE: STD A18, 9.6									
<table border="1"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2</td><td style="text-align: center;">CE-3</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5</td><td style="text-align: center;">CE-6 X</td><td style="text-align: center;">CE-7</td><td style="text-align: center;">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: The CARs do not include a requirement for an air operator to develop procedures to convey information to emergency services and appropriate authorities in the event of an incident or accident involving aircraft carrying dangerous goods.									
RECOMMENDATION: The Minister of Transport should amend the CARs to include a requirement for an air operator to develop procedures to convey information to emergency services and to appropriate authorities in the event of an incident or accident involving an aircraft carrying dangerous goods.									
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. <p style="text-align: right;">Estimated Implementation Date: 30/01/2007</p>									
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

Auditee: NEW ZEALAND	OPS/06 4.401;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
STD A6, Part I, 13.2.1; Doc 9811							
<hr/>							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING:							
The CARs do not include a requirement for air operators to establish a policy and procedures to enable cabin crew to discretely communicate with flight crew in the event of suspicious activity or security breaches in the passenger cabin.							
<hr/>							
RECOMMENDATION:							
The Minister of Transport should amend the CARs to include a requirement for air operators to establish a policy and procedures to enable cabin crew to discretely communicate with flight crew in the event of suspicious activity or security breaches in the passenger cabin.							
<hr/>							
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.							
Estimated Implementation Date: 31/01/2007							
<hr/>							
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

Auditee: NEW ZEALAND	AIR/01 5.153;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
STD A6, Part I, C6							
<hr/>							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
The CARS do not contain requirements for all the operations-derived equipment which are not part of the type certification of the aircraft or helicopter to be installed in accordance with the requirements of Annex 6, Part I, Chapter 6 and Part III, Section II, Chapter 4.							
RECOMMENDATION:							
The Minister of Transport should establish requirements for all the operations-derived equipment which are not part of the type certification of the aircraft or helicopter to be installed in accordance with the requirements of Annex 6, Part I, Chapter 6 and Part III, Section II, Chapter 4.							
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: 30/06/2007							
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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIR/02 5.163; 5.165;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A6, Part I, 6.13; STD A16, Vol. I, Part II, 1.2 & 1.4</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-1</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-2 X</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-3</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-4</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-5 X</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-6</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-7</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-8</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>New Zealand, as a State of Registry, has not developed procedures for the issuance of documents attesting to noise certification, and a requirement does not exist for such documents to be carried on board aircraft engaged in international operations in conformance with ICAO Annexes 6 and 16.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should develop procedures for the issuance of documents attesting to noise certification and establish a requirement for these documents to be carried on board aircraft engaged in international operations.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-5-2 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIR/03 5.363;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A6, Part I, 8.5.2 & Part III, 6.5.2; Doc 9760, Vol. II, Part B, 8.3.4</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center;">CE-1</td><td style="width: 12.5%; text-align: center;">CE-2 X</td><td style="width: 12.5%; text-align: center;">CE-3</td><td style="width: 12.5%; text-align: center;">CE-4</td><td style="width: 12.5%; text-align: center;">CE-5</td><td style="width: 12.5%; text-align: center;">CE-6</td><td style="width: 12.5%; text-align: center;">CE-7</td><td style="width: 12.5%; text-align: center;">CE-8</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>The CARs do not contain a requirement for operators of aeroplanes over 5 700 kg and helicopters over 3 180 kg maximum certificated take-off mass to obtain and assess continuing airworthiness information from the organization responsible for the type design.</p>									
<p>RECOMMENDATION:</p> <p>The Minister of Transport should establish a requirement for operators of aeroplanes over 5 700 kg and helicopters over 3 180 kg maximum certificated take-off mass to obtain and assess continuing airworthiness information from the organization responsible for the type design.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-5-3 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AIR/04 5.535;								
DOCUMENT REFERENCE: STD A6, Part I, 8.3 & Part III, Section II, 6.3									
<hr/> <table border="0" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2 X</td><td style="text-align: center;">CE-3</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5</td><td style="text-align: center;">CE-6</td><td style="text-align: center;">CE-7</td><td style="text-align: center;">CE-8</td></tr></table> <hr/>		CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8		
FINDING: The CARs do not contain a requirement for human factors principles to be observed in the design and application of operators maintenance programmes for aeroplanes and helicopters engaged in international air transport operations.									
RECOMMENDATION: The Minister should establish a requirement for human factors principles to be observed in the design and application of operators maintenance programmes for aeroplanes and helicopters engaged in international air transport operations.									
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: 30/06/2007</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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIR/05 5.105; 5.505;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A8, Part II, 4.3.3; Doc 9760, Vol. I, 4.6</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-1</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-2</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-3</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-4</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-5 X</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-6</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-7</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-8</td></tr></table>		CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>Although the CAA has developed a procedure for the aviation technical document collection contained in the library to be audited annually to ensure that the documents are maintained up-to-date, no evidence was found to indicate that such an audit had been conducted in the past twelve months.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should ensure that a system is implemented to maintain the aviation technical documents contained in the library up-to-date.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-5-5 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/07/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

Auditee: NEW ZEALAND	AIR/06 5.149;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A8, Part II, 3.2; Doc 9760, Vol. I, 5.2.2

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

The CARs, Part 21 requires that every aircraft type imported into New Zealand be issued a type acceptance certificate based on compliance with either the United States Federal Aviation Regulations (FARs) airworthiness design standards or a set of standards that comply with ICAO Annex 8 and have been accepted by the Director as equivalent to the FARs. The CAA has developed procedures for type acceptance based on a type certificate issued by an authority of a Contracting State of ICAO. However, the procedures do not include the criteria used to determine the level of review of the type certification data required depending on the assessed capability of and established confidence in the type certifying authority.

RECOMMENDATION:

The CAA should revise its procedures for the issuance of a type acceptance certificate to include the criteria used to determine the level of review of the type certification data depending on the assessed capability of and established confidence in the type certifying authority.

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.

Estimated Implementation Date: 31/07/2007

COMMENTS BY ICAO:

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

APPENDIX 1-5-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIR/07 5.187;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A8, Part II, 3.3.1, Fig. 1</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-1</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-2</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-3</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-4</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-5</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-6 X</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">CE-7</td><td style="width: 12.5%; text-align: center; border-top: 1px solid black;">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		
<p>FINDING:</p> <p>The reference to the CARs on the New Zealand certificate of airworthiness is not sufficient to adequately define the airworthiness code used for the type acceptance of each aircraft in compliance with ICAO Annex 8.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should revise the New Zealand certificate of airworthiness for each aircraft to include an adequate reference to the airworthiness code used to issue the type acceptance or type certificate.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-5-7 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 08/01/2008</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-5-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

Auditee: NEW ZEALAND	AIR/08 5.233;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A8, Part II, 3.6.3; Doc 9760, Vol. I, 5.4

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

The procedures for the issuance of special flight permits are mainly administrative and do not include guidelines for the review and acceptance of the criteria necessary for safe flight and the operating limitations supplied by the applicant, as well as any additional limitations to be specified on the permit.

RECOMMENDATION:

The CAA should revise its procedures for the issuance of special flight permits to include guidelines for the review and acceptance of the criteria necessary for safe flight and the operating limitations supplied by the applicant, as well as any additional limitations to be specified on the permit.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-5-8 of this report.

Estimated Implementation Date: 31/07/2007

COMMENTS BY ICAO:

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

APPENDIX 1-5-09
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

Auditee: NEW ZEALAND	AIR/09 5.685;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
Doc 9734, Part A, 3.9							
<hr/>							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
FINDING:							
<p>The CAA has established a database for recording, among other things, the deficiencies identified during safety audits. However, one safety audit report reviewed by the ICAO audit team contained findings that had not been assigned a due date or a level of severity and had not been recorded in the database to ensure a timely and appropriate follow-up. Inspection checklists are only used as guidance, and there is no requirement to retain them as part of the inspection records.</p>							
RECOMMENDATION:							
<p>The CAA should revise the system for follow-up of deficiencies identified during safety audits to ensure that a timely and effective resolution is conducted in a consistent manner. In addition, inspection checklists should be retained as part of the inspection record.</p>							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
<p>Corrective action plan and comments submitted by the State are found at Appendix 3-5-9 of this report.</p>							
Estimated Implementation Date: 10/01/2007							
COMMENTS BY ICAO:							
<p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>							

APPENDIX 1-5-10
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIR/10 5.047; 5.485;</p>								
<p>DOCUMENT REFERENCE:</p> <p>Doc 9734, Part A, 3.5 Doc 9734, Part A, 3.5; Doc 9760, Vol. I, 3.3</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center;">CE-1</td><td style="width: 12.5%; text-align: center;">CE-2</td><td style="width: 12.5%; text-align: center;">CE-3</td><td style="width: 12.5%; text-align: center;">CE-4 X</td><td style="width: 12.5%; text-align: center;">CE-5</td><td style="width: 12.5%; text-align: center;">CE-6</td><td style="width: 12.5%; text-align: center;">CE-7</td><td style="width: 12.5%; text-align: center;">CE-8</td></tr></table>		CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>The CAA has not developed a structured approach to determine the minimum recurrent and specialized training that should be provided to each airworthiness inspector and engineer.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should develop a structured approach to determine the minimum recurrent and specialized training that should be provided to airworthiness technical staff.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-5-10 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/12/2006</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

Auditee: NEW ZEALAND	AIG/01 6.005; 6.011; 6.013;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 3.1 & 5.4; RP A13, 5.4.1; Doc 9756, Part I, 2.1 & 2.2.1

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

The *Transport Accident Investigation Commission Act 1990* (TAIC Act) requires the TAIC, New Zealand's independent investigation authority, to carry out aircraft accident and incident investigations where it believes that the circumstances of the accident or incident have, or are likely to have, significant implications for transport safety. All other investigations are undertaken by the CAA in its capacity as the responsible safety and security authority. As a result, full independence is not achieved for all investigations of aircraft accidents and serious incidents in New Zealand. In addition, for those investigations carried out by the CAA, no guarantee exists that they will be totally separate from administrative proceedings related to enforcement.

RECOMMENDATION:

New Zealand should review its legislation to require that all investigations of aircraft accidents and serious incidents occurring in the State be conducted by or under the responsibility of an independent authority, with the sole objective of preventing future occurrences.

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.

Estimated Implementation Date: 29/02/2008

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

Auditee: NEW ZEALAND	AIG/02 6.015; 6.017;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

CC Art. 37 & 38; Doc 9734, Part A, 3.3

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

The Ministry of Transport and the CAA have established a formal process for the amendment of the legislation and regulations related to aircraft accident and incident investigations, as well as for the identification and notification to ICAO of the differences regarding Annex 13. However, the TAIC has not established an internal process for proposing amendments to the TAIC Act and for contributing to the identification of differences regarding Annex 13.

RECOMMENDATION:

The TAIC should establish a formal internal process for proposing amendments to the *Transport Accident Investigation Commission Act 1990* and for contributing to the identification of differences regarding Annex 13.

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.

Estimated Implementation Date: 01/09/2006

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

Auditee: NEW ZEALAND	AIG/03 6.031;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

AR 33-17; STD A13, 5.12 & 5.12.1

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

While the TAIC Act protects from the disclosure of cockpit voice recorder (CVR) recordings and other elements obtained during an investigation, in conformance with paragraph 5.12 of Annex 13, such protection of the information is not provided for by the New Zealand legislation in the case of investigations carried out by the CAA. According to the MOU signed between the TAIC and the CAA, the TAIC would be requested to investigate if CVR recordings were necessary, allowing therefore for the non-disclosure thereof. Medical information is also protected from disclosure in all cases. However, in the case of investigations undertaken by the CAA, all other records are not protected from disclosure.

RECOMMENDATION:

New Zealand should review its legislation to protect from disclosure of CVR recordings and other elements obtained during an investigation, in conformance with paragraph 5.12 of Annex 13, for all accident and incident investigations carried out by the State.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-3 of this report.

Estimated Implementation Date: 29/02/2008

COMMENTS BY ICAO:

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

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AIG/04 6.025;
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DOCUMENT REFERENCE:

STD A13, 5.4 & 5.6

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

The TAIC Act gives the TAIC the right to carry out detailed examination of relevant material or evidence without delay. However, for those investigations undertaken by the CAA, no specific regulatory provision allows the CAA to carry out such examinations.

RECOMMENDATION:

New Zealand should review its legislation to allow the CAA, when it acts as the investigation authority, to carry out detailed examination of relevant material or evidence without delay.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-4 of this report.

Estimated Implementation Date: 29/02/2008

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

Auditee: NEW ZEALAND	AIG/05 6.035;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
STD A13, 5.13							
<hr/>							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
Section 13 of the TAIC Act provides the circumstances when the TAIC would investigate an occurrence and allows the re-opening of an investigation if new and significant evidence becomes available. However, the TAIC has not established a documented procedure for the re-opening of an investigation.							
RECOMMENDATION:							
The TAIC should establish a documented procedure for the re-opening of an investigation if new and significant evidence becomes available.							
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.							
Estimated Implementation Date: 01/09/2006							
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

Auditee: NEW ZEALAND	AIG/06 6.311;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 4.1; Doc 9756, Part I, C4

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

Both the TAIC and the CAA make available to their respective staff contact information of aircraft accident investigation authorities of other States. However, the contact list made available by the CAA is not totally up to date.

RECOMMENDATION:

The CAA should ensure that the contact list of aircraft accident investigation authorities of other States made available to its staff is up to date.

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.

Estimated Implementation Date: 21/08/2006

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

Auditee: NEW ZEALAND	AIG/07 6.315;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 4.1; Doc 9756, Part I, 4.2

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

New Zealand has established a system to receive and act upon notifications of aircraft accidents and incidents on a 24-hour basis. All notifications are received by the CAA and the CAA must, in turn, notify the TAIC of all accidents and serious incidents. However, the CAA and the TAIC have not established a formal coordination process to ensure that all notifications that the TAIC wishes to receive are effectively received in a timely manner.

RECOMMENDATION:

The CAA and the TAIC should establish a formal coordination process to ensure that all notifications that the TAIC wishes to receive are effectively received in a timely manner.

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.

Estimated Implementation Date: 31/08/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND	AIG/08 6.321;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 4.1 & 4.2

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

The CAA has established and implemented procedures to ensure that it forwards notifications of accidents and serious incidents to entitled States and to ICAO, as applicable, in conformance with Chapter 4 of Annex 13, and in a timely manner. However, on one occasion, the notification of an accident to ICAO has been omitted.

RECOMMENDATION:

The CAA should ensure that it systematically forwards, in a timely manner, notifications of accidents and serious incidents to entitled States and to ICAO, as applicable, in conformance with Annex 13, Chapter 4.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-8 of this report.

Estimated Implementation Date: 21/08/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-09
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AIG/09 6.325; 6.393; 6.395; 6.397;
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DOCUMENT REFERENCE:

STD A13, 4.6, 4.10, 5.19, 5.20, 5.22 & 5.27

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

The CAA has established procedures for acting upon aircraft accident and incident notifications forwarded by other States, including items related to the appointment of New Zealand's accredited representative. However, there is no documented procedure covering the coordination between the CAA and the TAIC for the appointment of this accredited representative and the information thereof to the State conducting the investigation. The Memorandum of Understanding (MOU) signed between the CAA and the TAIC does not address this issue. In addition, there are no documented procedures related to:

- a) the appointment of advisers to New Zealand's accredited representative;
- b) the appointment of an expert when New Zealand wishes to participate in an investigation as a State having suffered fatalities or serious injuries to its citizens, in conformance with Annex 13, paragraph 5.27; and
- c) the specific case when the State conducting the investigation requests the appointment of an accredited representative by New Zealand under the provisions of Annex 13, paragraph 5.22.

RECOMMENDATION:

The CAA and the TAIC should establish formal coordination procedures for the appointment of New Zealand's accredited representative and the information thereof to the State conducting the investigation. These procedures should also cover:

- a) the appointment of advisers to New Zealand's accredited representative;
- b) the appointment of an expert when New Zealand wishes to participate to an investigation as a State having suffered fatalities or serious injuries to its citizens, in conformance with Annex 13, paragraph 5.27; and
- c) the specific case when the State conducting the investigation requests the appointment of an accredited representative by New Zealand under the provisions of Annex 13, paragraph 5.22.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-9 of this report.

Estimated Implementation Date: 01/10/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-10
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND	AIG/10 6.361; 6.363;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 5.7; RP A13, 5.8; A13, Att. D

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

In order to facilitate the prompt read-out of flight recorders, the TAIC and the CAA have arrangements with the Australian Transport Safety Bureau (ATSB). However, the TAIC and the CAA have not established documented procedures for the read-out and analysis of flight recorders without delay, covering in particular the participation of entitled States during the flight recorder read-out and analysis operations.

RECOMMENDATION:

The TAIC and the CAA should establish documented procedures for the read-out and analysis of flight recorders, covering in particular the participation of entitled States during the flight recorder read-out and analysis operations, following the guidelines contained in Annex 13, Attachment D.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-10 of this report.

Estimated Implementation Date: 01/09/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-11
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AIG/11 6.365; 6.367; 6.369; 6.371;								
DOCUMENT REFERENCE: STD A13, 5.25 & 5.27; RP A13, 5.19.1, 5.21 & 5.24.1									
<table border="1" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2 X</td><td style="text-align: center;">CE-3</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5 X</td><td style="text-align: center;">CE-6</td><td style="text-align: center;">CE-7</td><td style="text-align: center;">CE-8</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8		
FINDING: The TAIC and the CAA have not clearly documented the specific rights and responsibilities of individuals who may participate in the investigations that they undertake, as accredited representatives, advisers, experts or representatives of the industry, in compliance with Annex 13, Chapter 5.									
RECOMMENDATION: The TAIC and the CAA should document the detailed rights and responsibilities of the individuals who may participate in the investigations that they undertake, as accredited representatives, advisers, experts or representatives of the industry, in compliance with the provisions contained in Annex 13, Chapter 5.									
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-6-11 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/09/2006</div>									
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.									

APPENDIX 1-6-12
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND	AIG/12 6.379;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

Doc 9756, Part I, 5.7

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

The TAIC and the CAA have not established documented policies and procedures for carrying out examination or testing of aircraft parts or components.

RECOMMENDATION:

The TAIC and the CAA should establish documented policies and procedures for carrying out examination or testing of aircraft parts or components.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-12 of this report.

Estimated Implementation Date: 01/09/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-13
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIG/13 6.405;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A13, 6.5; Doc 9756, Part IV, 1.5</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-1</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-2</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-3</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-4</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-5 X</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-6</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-7</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-8</td></tr></table>		CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>The Performance Agreement between the Ministry of Transport and the CAA establishes target dates for the completion of CAA's aircraft accident and incident investigations. These target dates are met in the vast majority of cases. However, three investigations were still opened while the target dates for their completion were overdue.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should ensure that all investigations that it carries out are completed, with a final report released, within the established time frame.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-6-13 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 21/08/2006</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-6-14
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND	AIG/14 6.407;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 6.3; Doc 9756, Part IV, 1.4

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

The processes implemented by the TAIC and the CAA respectively provide a twenty-one-day and a twenty-eight-day period for submission of comments by States that have participated in an accident or incident investigation, while the deadline may be extended to sixty days on request.

RECOMMENDATION:

The TAIC and the CAA should review their procedures in order to automatically provide a sixty-day period for submission of comments by States that have participated in an accident or incident investigation, in conformance with ICAO Annex 13 SARPs.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-14 of this report.

Estimated Implementation Date: 01/09/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-15
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AIG/15 6.409; 6.413; 6.415;
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DOCUMENT REFERENCE:

STD A13, 6.4 & 6.7; RP A13, 6.3.1 & 6.3.2; Doc 9756, Part IV, 1.5 & 1.6

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

The TAIC has not established a procedure for forwarding, through the relevant State conducting an accident or incident investigation a copy of the draft final report, for comments, to the operator and the organizations responsible for the type design and the final assembly of the aircraft. Furthermore, the TAIC has not established a procedure for forwarding the final report to the States that have suffered fatalities or serious injuries to their citizens or to any State that provided relevant information, significant facilities or experts, as well as for the release of the final report, when applicable, to ICAO. While such procedures exist in the CAA manuals, they have not been systematically followed.

RECOMMENDATION:

The TAIC should review its procedures to ensure that:

- a) a copy of the draft final report is forwarded for comments, through the relevant State that has participated in the accident or incident investigation to the operator and the organizations responsible for the type design and the final assembly of the aircraft; and
- b) a copy of the final report is addressed to all entitled States and to ICAO when applicable (or information is sent to ICAO that the final report can be obtained from an official website).

In addition, the CAA, for the investigations that it carries out, should ensure that the procedures established for the forwarding of draft final reports and final reports are systematically followed to ensure compliance with the provisions of Annex 13.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-15 of this report.

Estimated Implementation Date: 01/09/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-16
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AIG/16 6.423;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A13, 6.9</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-1</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-2</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-3</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-4</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-5</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-6</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-7</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black; text-align: center;">CE-8 X</td></tr></table>		CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X		
<p>FINDING:</p> <p>The TAIC has not established a procedure to ensure that safety recommendations involving ICAO documents are addressed to ICAO.</p>									
<p>RECOMMENDATION:</p> <p>The TAIC should establish a procedure to ensure that safety recommendations involving ICAO documents are addressed to ICAO.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-6-16 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 01/09/2006</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-6-17
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND	AIG/17 6.425;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD A13, 6.10

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

The CAA has not established a documented procedure for informing States forwarding a safety recommendation to New Zealand of the preventive action taken or under consideration, or the reasons why no action will be taken.

RECOMMENDATION:

The CAA should establish a documented procedure for informing States forwarding a safety recommendation to New Zealand of the preventive action taken or under consideration, or the reasons why no action will be taken.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-6-17 of this report.

Estimated Implementation Date: 01/09/2006

COMMENTS BY ICAO:

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

APPENDIX 1-6-18
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

Auditee: NEW ZEALAND	AIG/18 6.509;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
RP A13, 8.5							
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CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
FINDING:							
The database established by the CAA uses coding taxonomies that are not all directly compatible with the Accident/Incident Data Reporting (ADREP) system/European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS).							
RECOMMENDATION:							
The CAA should adopt a database using coding taxonomies that are compatible with the ADREP/ECCAIRS system.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-6-18 of this report.							
Estimated Implementation Date: 30/06/2008							
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

Auditee: NEW ZEALAND	ANS/01 7.001;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

CC Art. 12

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

In the application of vertical separation in international portions of the Flight Information Region (FIR) (NZZC), New Zealand has adopted a flight level orientation scheme (FLOS) under which northbound traffic utilizes "odd" flight levels and southbound traffic utilizes "even" flight levels (North Odd South Even [NOSE]). However, the FLOS adopted for the Auckland Oceanic FIR (NZZO) utilizes the East Odd West Even (EOWE) configuration which is preferred under Annex 2 provisions. This necessitates flight level transition arrangements between the NOSE and EOWE orientation schemes, which have not been specified by New Zealand as required by Annex 2, Appendix 3, and the adoption of the NOSE orientation scheme has also not been specified in a regional air navigation agreement as required by Annex 2.

RECOMMENDATION:

The CAA should either adopt the EOWE FLOS throughout or properly fulfill Annex 2 provisions in respect of specifying transition procedures and publishing a regional air navigation agreement in support of the NOSE FLOS.

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.

Estimated Implementation Date: 31/07/2007

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

Auditee: NEW ZEALAND	ANS/02 7.009;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
CC Art. 12; Doc 9734, Part A							
<hr/>							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
The CARs, Part 172 contains information that is not consistent with ICAO provisions, including but not limited to, expansion of rule applicability to include all areas of New Zealand FIRs, fatigue management requirements incorporating, where appropriate, material from ICAO human factors manuals and circulars, reduced runway separation criteria, minimum separations from aircraft dumping fuel and reduced vertical separation minimum (RVSM) monitoring requirements.							
RECOMMENDATION:							
The CAA should ensure that a complete and comprehensive revision of the CARs, Part 172 is completed.							
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.							
Estimated Implementation Date: 30/01/2008							
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

Auditee: NEW ZEALAND	ANS/03 7.019; 7.039;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
Doc 9734, Part A, 3.6.5, PANS Doc 4444, 2.5.2 a)							
<hr/>							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
A sampling of several operational international agreements between the CAA and other parties has indicated that a number of systemic errors in document management exists; for example, some agreements are significantly out of date, reporting requirements to significant bodies including Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG) have not been met, and work teams described in documents no longer exist.							
RECOMMENDATION:							
The CAA should establish and maintain a document management process for the systemic review and update of international agreements, in adherence to ICAO Doc 9734.							
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.							
Estimated Implementation Date: 31/07/2007							
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

Auditee: NEW ZEALAND	ANS/04 7.045;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
Doc 9734, Part A, 3.9							
<hr/>							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
FINDING:							
The CAA has not established a mechanism for the review and elimination of deficiencies identified within the framework of Planning and Implementation Regional Groups (PIRGs).							
<hr/>							
RECOMMENDATION:							
The CAA should establish a mechanism for the review and elimination of deficiencies identified within the framework of PIRGs.							
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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.							
Estimated Implementation Date: 31/07/2007							
<hr/>							
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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>ANS/05 7.107;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A11, 2.1</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-1</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-2 X</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-3</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-4</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-5</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-6</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-7</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-8</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>In order to facilitate Antarctic operations, a substantive portion of the southern part of Auckland Oceanic FIR is release to an alternate ATS (McMurdo) under the terms of a letter of agreement between ACNZ and McMurdo ATS. However, the CAA does not have a mechanism in place to ensure compliance by McMurdo ATS with Annex 11 and the CAA does not conduct effective regulatory oversight over McMurdo ATS.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should establish a mechanism to ensure that all ATS providers within the airspace of New Zealand comply with Annex 11 and conduct an effective regulatory oversight.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-7-5 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/07/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	ANS/06 7.161; 7.163; 7.165; 7.167; 7.169; 7.171; 7.173; 7.175; 7.177; 7.179; 7.181; 7.183; 7.185;								
DOCUMENT REFERENCE: STD A11, 2.26; PANS Doc 4444, 2.5 & C2									
<hr/> <table border="0" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2 X</td><td style="text-align: center;">CE-3 X</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5 X</td><td style="text-align: center;">CE-6 X</td><td style="text-align: center;">CE-7 X</td><td style="text-align: center;">CE-8</td></tr></table> <hr/>		CE-1	CE-2 X	CE-3 X	CE-4	CE-5 X	CE-6 X	CE-7 X	CE-8
CE-1	CE-2 X	CE-3 X	CE-4	CE-5 X	CE-6 X	CE-7 X	CE-8		
FINDING: The CAA has not developed a system to ensure that appropriate safety management programmes are implemented, including, but not limited to, the establishment of policies, regulations, oversight procedures and safety performance targets in relation to the provision of ATS. Furthermore, resources and guidelines to support the implementation of safety management programmes have also not been identified.									
RECOMMENDATION: The CAA should develop a system to ensure that safety management programmes are established and implemented in relation to the provision of ATS. The CAA should also identify required resources and guidelines to support the implementation of the programmes.									
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. <p style="text-align: right;">Estimated Implementation Date: 31/07/2008</p>									
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

Auditee: NEW ZEALAND	ANS/07 7.189;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
PANS Doc 4444, 2.5.2							
<hr/>							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING:							
The CAA has not established and implemented a runway safety programme applicable to aerodromes in New Zealand, including those where the aerodrome control services are not provided by the ACNZ.							
<hr/>							
RECOMMENDATION:							
The CAA should establish and implement a runway safety programme applicable to all aerodromes.							
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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.							
Estimated Implementation Date: 31/07/2007							
<hr/>							
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

Auditee: NEW ZEALAND	ANS/08 7.201; 7.229; 7.241; 7.243;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
Doc 9734, Part A, 3.4 & 3.7; PANS Doc 8168, OPS/611, Vol. II							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING:							
The CAA has not established criteria as a basis for procedure design in the construction and promulgation of visual and instrument flight procedures in accordance with ICAO PANS-OPS provisions. In addition, the CAA has not established minimum qualification requirements, terms of reference and a training programme for procedure specialists or service providers who are responsible for the design of flight procedures.							
RECOMMENDATION:							
The CAA should establish criteria for procedure design in the construction and promulgation of visual and instrument flight procedures in accordance with ICAO PANS-OPS provisions and minimum qualification requirements, terms of reference and a training programme for procedure specialists or service providers who are responsible for the design of flight procedures.							
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.							
Estimated Implementation Date: 31/12/2006							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-09
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

Auditee: NEW ZEALAND	ANS/09 7.265;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

Doc 9734, Part A, 2.4.9

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

ACNZ is the sole Part 175 certificate holder for provision of AIS services in New Zealand. However, ACNZ simultaneously holds both a Part 175 delegation on behalf of the CAA and a commercial contract with the CAA for essentially the same purpose. This has created confusion on which body holds AIS responsibility. In particular, it is not possible to establish whether ACNZ has responsibility simply for publishing the AIP or for the accuracy and content of the AIP material as well.

RECOMMENDATION:

The CAA should review and clarify the certification and arrangements relating to the provision of AIS services, with the object of ensuring adequate and straight forward arrangements that clearly identify the responsibilities of all parties involved, including those of ACNZ and other potential AIS service providers.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-7-9 of this report.

Estimated Implementation Date: 31/07/2007

COMMENTS BY ICAO:

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

APPENDIX 1-7-10
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>ANS/10 7.371;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A10, Vol. II, 2.4.1</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-1</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-2</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-3 X</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-4</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-5</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-6</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-7</td><td style="width: 12.5%; text-align: center; border-bottom: 1px solid black;">CE-8</td></tr></table>		CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>New Zealand has not designated the authority responsible for ensuring that the international aeronautical telecommunication service is conducted in accordance with the procedures in ICAO Annex 10.</p>									
<p>RECOMMENDATION:</p> <p>The Minister of Transport should designate the authority responsible for ensuring that the international aeronautical telecommunication service is conducted in accordance with the procedures in ICAO Annex 10.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-7-10 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-7-11
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

Auditee: NEW ZEALAND	ANS/11 7.469;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE:							
STD A3, 4.1.3, 4.3.1, 4.3.2 & 4.4.2							
<hr/>							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
<hr/>							
FINDING:							
The provisions for "basic weather reporting" in the CARs, Part 174 are not compliant with the provisions for local routine and special reports for take-off and landing in ICAO Annex 3.							
<hr/>							
RECOMMENDATION:							
The CAA should review the CARs, Part 174 to ensure compliance with the provisions of ICAO Annex 3 related to local routine and special reports for take-off and landing. Consequential amendments to the CARs, Parts 121, 125 and 172 in respect of "basic weather reports" should be considered.							
<hr/>							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-11 of this report.							
Estimated Implementation Date: 30/06/2008							
<hr/>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-12
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	ANS/12 7.485; 7.489; 7.491; 7.493; 7.495; 7.497; 7.499; 7.501; 7.503; 7.505; 7.507; 7.517; 7.523;
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DOCUMENT REFERENCE:

STD A12, 2.1.1.2, 3.1.1 & 3.2.1; Doc 9734, Part A, 3.4, 3.5, 3.8 & 3.9

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

The following deficiencies were identified in the search and rescue (SAR) system of New Zealand:

- a) the SAR service system does not include a legal framework, a responsible authority, organized available resources, communication facilities and a workforce skilled in coordination and operational functions;
- b) functions and responsibilities of SAR inspectorate are not adequately defined;
- c) job descriptions and minimum qualifications have not been developed for SAR inspectorate staff;
- d) training programmes, including periodic and on-the-job training (OJT), for SAR inspectorate staff and a mechanism for maintaining training records have not been established;
- e) the State does not coordinate its SAR organization with neighbouring States; and
- f) no arrangements have been made with all aircraft, vessels and local services and facilities which do not form part of the SAR organization to cooperate fully with SAR and to extend any possible assistance to the survivors of aircraft accidents.

RECOMMENDATION:

New Zealand should ensure that:

- a) the SAR service system includes a legal framework, a responsible authority, organized available resources, communication facilities and a workforce skilled in coordination and operational functions;
- b) functions and responsibilities of SAR inspectorate are adequately defined;
- c) job descriptions and minimum qualifications for SAR inspectorate staff are developed;
- d) training programmes, including periodic and OJT, for SAR inspectorate staff and a mechanism for maintaining training records are established;
- e) the State coordinates its SAR organization with neighbouring States; and
- f) arrangements with all aircraft, vessels and local services and facilities which do not form part of the SAR organization are made to cooperate fully with SAR and to extend any possible assistance to the survivors of aircraft accidents.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-7-12 of this report.

Estimated Implementation Date: 31/12/2006

COMMENTS BY ICAO:

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

APPENDIX 1-7-13
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	ANS/13 7.419; 7.421; 7.423; 7.425; 7.427; 7.429;								
DOCUMENT REFERENCE: Doc 9734, Part A, 3.4 & 3.5									
<hr/> <table border="0" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2</td><td style="text-align: center;">CE-3 X</td><td style="text-align: center;">CE-4 X</td><td style="text-align: center;">CE-5</td><td style="text-align: center;">CE-6</td><td style="text-align: center;">CE-7</td><td style="text-align: center;">CE-8</td></tr></table> <hr/>		CE-1	CE-2	CE-3 X	CE-4 X	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2	CE-3 X	CE-4 X	CE-5	CE-6	CE-7	CE-8		
FINDING: The functions and responsibilities of the meteorological services (MET) inspectorate staff are not adequately defined, and job descriptions and minimum qualifications and experience have not been established. In addition, New Zealand does not ensure that a training programme for the MET inspectorate staff has been established and implemented.									
RECOMMENDATION: The CAA should ensure that the functions and responsibilities of the MET inspectorate staff are adequately defined and establish job descriptions and minimum qualifications and experience. In addition, the CAA should ensure that a training programme for the MET inspectorate staff is established and implemented.									
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-13 of this report. <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
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

Auditee: NEW ZEALAND	AGA/01 8.033; 8.039;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

Doc 9734, Part A, 3.4 & 3.5; Doc 9774, 5.2 & 5.4

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

The CAA has developed the post descriptions for its aerodrome technical staff in the Aeronautical Service Unit; however, the post description document does not adequately define the responsibilities for developing aerodrome standards and guidance material. The unit lacks the staff with technical expertise in rescue fire-fighting, civil and electrical engineering, and aerodrome design for the development of aerodrome standards and for supporting aerodrome inspectors with the certification and operation of aerodromes.

RECOMMENDATION:

The CAA should identify and assign the responsibilities for developing aerodrome standards and also ensure that adequate technical expertise is available to fulfil its responsibilities relating to the development and implementation of aerodrome standards.

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.

Estimated Implementation Date: 31/07/2007

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

Auditee: NEW ZEALAND	AGA/02 8.051; 8.053; 8.055; 8.371;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

Doc 9734, Part A, 3.5; Doc 9774, C3, Sect. E, 4.4.3, 5.5 & App. 3

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

The Aeronautical Services Unit has not developed or implemented a comprehensive training programme which includes initial, recurrent and specialized/technical training for its aerodrome aeronautical service officers.

RECOMMENDATION:

The CAA should develop and implement a comprehensive training programme, which includes initial, recurrent and specialized/technical training for its aerodrome aeronautical services officers.

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.

Estimated Implementation Date: 31/12/2006

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

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AGA/03 8.145; 8.147; 8.149; 8.257; 8.323;
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DOCUMENT REFERENCE:

STD A14, Vol. I, 2.9.5, 2.9.6, 2.9.7, 10.2.3 & 10.2.8; RP A14, Vol. I, 2.9.4, 2.9.8, 2.9.9, 2.9.10, 2.9.11, 10.2.9 to 10.2.11; STD A15, C5; Doc 9137; Doc 9157, Part 2; Doc 9774, 3.2 & 3D.7

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

The CAA has not developed or provided information to aerodrome operators for establishing and reporting minimum friction levels for slippery runway conditions when wet and when aerodrome surfaces are covered with snow (where applicable). Also, the CAA does not ensure that aerodrome operators establish procedures for the timely removal of snow.

RECOMMENDATION:

The CAA should develop and provide information to aerodrome operators for reporting and establishing minimum friction levels. The CAA should ensure that aerodrome operators establish procedures for the timely removal of snow (where applicable).

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.

Estimated Implementation Date: 31/12/2006

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

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AGA/04 8.163;</p>								
<p>DOCUMENT REFERENCE:</p> <p>STD A14, Vol. I, 3.5.1, 3.5.2 & 3.5.4, RP A14, Vol. I, 3.5.3 & 3.5.5</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-1</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-2 X</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-3</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-4</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-5</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-6</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-7</td><td style="width: 12.5%; border-top: 1px solid black; border-bottom: 1px solid black;">CE-8</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8		
<p>FINDING:</p> <p>The CARs do not require the provision of a runway end safety area (RESA) at aerodromes in New Zealand, as required by ICAO Annex 14.</p>									
<p>RECOMMENDATION:</p> <p>The Minister of Transport should promulgate CARs containing requirements for the provision of RESA at aerodromes in New Zealand, as required by ICAO Annex 14.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-8-4 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/12/2006</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

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

Auditee: NEW ZEALAND	AGA/05 8.203; 8.205; 8.207; 8.209; 8.221; 8.231;						
Audit Period: 14/03/2006 - 24/03/2006							
DOCUMENT REFERENCE: STD A14, Vol. I, 5.2.15.1 to 5.2.15.3; STD & RP, A14, Vol. I, 5.2.17, 5.4.1, 7.1.7, 9.8; Doc 9157, Part 4; Doc 9380; Doc 9476; Doc 9734, Part A, 2.4.7 & 3.9.4							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6 X	CE-7 X	CE-8
FINDING: The CAA does not ensure that aerodrome operators integrate their surface movement guidance and control system (SMGCS) into a runway incursion and collision avoidance strategy to prevent the inadvertent incursion of aircraft and vehicles onto an active runway or taxiway. In addition, the industry visit at Wellington International indicated that the CAA has not ensured that airfield signs are installed in accordance with the provisions of ICAO Annex 14.							
RECOMMENDATION: The CAA should ensure that aerodrome operators integrate their SMGCS into a runway incursion and collision avoidance strategy to prevent incursion of aircraft and vehicles onto an active runway or taxiway. Furthermore, the CAA should ensure that aerodrome operators install airfield signs in accordance with the provisions of ICAO Annex 14.							
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: 31/07/2007</div>							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-8-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

Auditee: NEW ZEALAND	AGA/06 8.151; 8.295; 8.321;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

A13, C3; STD A14, Vol. I, 9.1.6; RP A14, Vol. I, 2.10, 9.3.1 & 9.3.2; Doc 9137, Part 5; Doc 9683; Doc 9734, Part A, 2.4.7 b) iv); Doc 9774, App. 1, 4.14; Doc 9806

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

The CARs do not require aerodrome operators to observe human factors principles during the development of the aerodrome emergency plan. In addition, there is no requirement for aerodrome operators to have a plan for the removal of disabled aircraft, including arrangements with designated coordinators for the rapid deployment of salvage and removal equipment.

RECOMMENDATION:

The Minister of Transport should amend the CARs to include a requirement for aerodrome operators to incorporate human factors principles in the development of the aerodrome emergency plan, and develop and implement a plan for the coordination of the removal of disabled aircraft.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-8-6 of this report.

Estimated Implementation Date: 31/07/2007

COMMENTS BY ICAO:

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

APPENDIX 1-8-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

Auditee: NEW ZEALAND Audit Period: 14/03/2006 - 24/03/2006	AGA/07 8.329; 8.333; 8.335;								
DOCUMENT REFERENCE: STD & RP A14, Vol. I, 9.4; Doc 9332, 1.2.1; Doc 9774, App. 1, 4.12									
<table border="1" style="width: 100%;"><tr><td style="text-align: center;">CE-1</td><td style="text-align: center;">CE-2 X</td><td style="text-align: center;">CE-3</td><td style="text-align: center;">CE-4</td><td style="text-align: center;">CE-5</td><td style="text-align: center;">CE-6</td><td style="text-align: center;">CE-7</td><td style="text-align: center;">CE-8 X</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X		
FINDING: The CARs do not require the prevention of the establishment of garbage disposal dumps or any other source attracting wildlife activity on, or in the vicinity of, an aerodrome unless an appropriate aeronautical study indicates that they are unlikely to create conditions conducive to a wildlife hazard problem. In addition, New Zealand does not forward bird strike reports to ICAO for inclusion in the ICAO Bird Strike Information System (IBIS) database.									
RECOMMENDATION: The Minister of Transport should promulgate CARs to prevent garbage disposal dumps or any other source attracting wildlife activity on, or in the vicinity of, an aerodrome unless an appropriate aeronautical study indicates that they are unlikely to create conditions conducive to a wildlife hazard problem. In addition, New Zealand should forward bird strike reports to ICAO for inclusion in the IBIS database.									
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-7 of this report. <p style="text-align: right;">Estimated Implementation Date: 30/06/2008</p>									
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.									

APPENDIX 1-8-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

<p>Auditee: NEW ZEALAND</p> <p>Audit Period: 14/03/2006 - 24/03/2006</p>	<p>AGA/08 8.367; 8.369; 8.375;</p>								
<p>DOCUMENT REFERENCE:</p> <p>Doc 9734, Part A, 3.3.7 & 3.6; Doc 9774, C3, Sect. E, App. 3</p>									
<table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 12.5%; text-align: center;">CE-1</td><td style="width: 12.5%; text-align: center;">CE-2 X</td><td style="width: 12.5%; text-align: center;">CE-3</td><td style="width: 12.5%; text-align: center;">CE-4</td><td style="width: 12.5%; text-align: center;">CE-5 X</td><td style="width: 12.5%; text-align: center;">CE-6</td><td style="width: 12.5%; text-align: center;">CE-7 X</td><td style="width: 12.5%; text-align: center;">CE-8</td></tr></table>		CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7 X	CE-8
CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6	CE-7 X	CE-8		
<p>FINDING:</p> <p>The CAA has not issued a formal policy stating the circumstances and rationale under which aeronautical studies and/or risk assessments may be used, and only very limited guidance has been made available to the regulatory staff and aerodrome operators on how to develop and evaluate aeronautical risk assessments.</p>									
<p>RECOMMENDATION:</p> <p>The CAA should promulgate a policy to define the circumstances under which an aeronautical study and/or risk assessment may be used. In addition, the CAA should develop comprehensive guidance on the development and evaluation of aeronautical studies and risk assessments.</p>									
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-8-8 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/06/2007</p>									
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>									

APPENDIX 1-8-09
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

Auditee: NEW ZEALAND	AGA/09 8.361; 8.363;
Audit Period: 14/03/2006 - 24/03/2006	

DOCUMENT REFERENCE:

STD & RP A14, Vol. I, 1.4.4, 1.4.5 & 1.4.6; Doc 9774, 1.2.3, C3, 3B.3.2 e) & 3D.4

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

Although the CARs, Part 139 requires aerodrome operators to establish an internal quality assurance system that addresses some elements of safety management system (SMS), the implementation of an SMS is not yet required. Furthermore, the CAA has not developed guidance material for the development, implementation and evaluation of SMS.

RECOMMENDATION:

The Minister of Transport should amend the CARs to require the implementation of SMS. The CAA should develop guidance material for the development, implementation and evaluation of SMS.

CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:

Corrective action plan and comments submitted by the State are found at Appendix 3-8-9 of this report.

Estimated Implementation Date: 31/12/2006

COMMENTS BY ICAO:

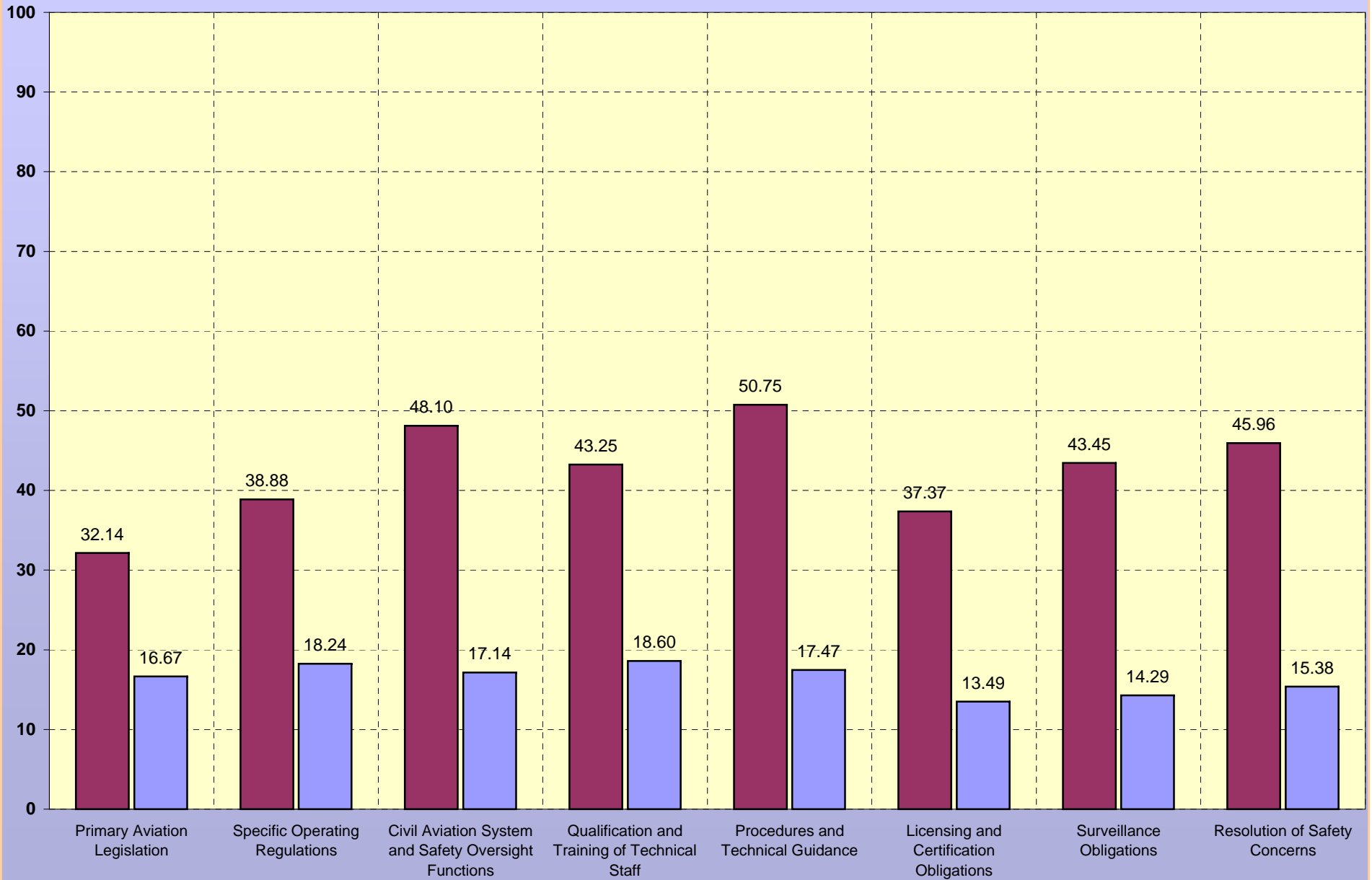
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.

APPENDIX 2

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

■ Global: (28) Audited States: 42.48%

■ Audit of: NEW ZEALAND 16.41%



APPENDIX 3

APPENDIX 3-1-1

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

AUDIT FINDING LEG/01		
<p>The delegation of authority issued by the Director of Civil Aviation to the technical staff responsible for conducting inspection and surveillance does not include the power to detain aircraft for just cause given to the Director under Section 21(2) of the <i>Civil Aviation Act 1990</i>.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>While the Director of Civil Aviation does have the express statutory power to delegate his power under section 21(2) of the Act to detain aircraft, and has in fact delegated the power to the Law Enforcement Investigators employed by the CAA, it is not considered that further delegation of the powers to technical staff is necessary to achieve compliance with ICAO Doc 8355, 9.6; Doc 9734, Part A, 3.2. Under New Zealand law, the statutory power to delegate is discretionary and must be exercised independently by the person who holds the statutory power.</p> <p>The CAA recognises that the current CAA Surveillance Policy does not contain reference to the Director's powers under section 21(2) of the Act and the CAA does not have formal procedures to deal with the situation when a staff member might consider it appropriate to detain an aircraft. Accordingly, the CAA will develop procedures to deal with the exercise of the Director's power under section 21 and give guidance to technical staff when seeking to invoke the Director's powers to detain an aircraft.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Develop procedures to deal with the exercise of the Director's power under section 21 and give guidance to technical staff when seeking authority to detain an aircraft.	GMA GMGA GMPLAS	30 June 2007

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APPENDIX 3-1-2

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

AUDIT FINDING LEG/02		
New Zealand ratified Article 83 <i>bis</i> to the Chicago Convention on 17 March 1993; however, the Civil Aviation Rules (CARs) do not provide for the recognition of certificates of airworthiness or pilot licences issued by the State of the Operator under an Article 83 <i>bis</i> agreement.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Initiate amendment to CAR to provide for the recognition of certificate of airworthiness and pilot licences issued by the State of the Operator under an Article 83bis agreement.	Policy and International Relations	July 2007
Develop procedures to provide for the transfer and acceptance of tasks under an 83 bis agreement.	Policy and International Relations	July 2008

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APPENDIX 3-1-3

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

AUDIT FINDING LEG/03		
<p>Although the CAA has developed a comprehensive Aeronautical Information Publication (AIP), significant differences to the provisions contained in ICAO Annex 15 Standards and Recommended Practices (SARPs) and procedures are not specifically indicated in the AIP. The AIP only provides information guiding interested parties to look for information related to differences in the CAA website, which contains all of the differences.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. New Zealand will publish significant differences between its national regulations and/or practices and the provisions of the Annexes to the Convention, (and/or the provisions of the ICAO Procedures for Air Navigation Services), in AIP New Zealand.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Amend AIP New Zealand, Page GEN 1.7 – 1 to state that significant differences are published in the AIP. (The complete list of differences will remain on the CAA web site.)	Aeronautical Services	July 2007
Publish significant differences in the AIP.	Aeronautical Services	July 2007

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APPENDIX 3-1-4

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

AUDIT FINDING LEG/04		
<p>New Zealand has developed and promulgated CARs. However, these CARs do not fully address ICAO SARPs, and the rule-making process to bring the rules in line with ICAO SARPs is not given a high priority. As a result, promulgation of technical CARs takes a long time.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>It is accepted that CARs do not fully address all ICAO standards. In respect of ICAO Standards and Recommended Practices, New Zealand has either promulgated CARS or filed a difference. These differences have been filed either for a non-compliance or when there are variations according to New Zealand regulations, practice or procedure being more stringent than or different in character to the requirements of the corresponding SARP or there is a documented practice or procedure that achieves the same intent of level of safety.</p> <p>New Zealand is a small country with limited resources including technical capability. We do have a process for identifying when rule changes, including ICAO SARPS, are necessary and for prioritising these on the basis of safety benefit. We are looking at ways of further streamlining the rule making process to obtain greater efficiencies over the next 12 months, including the identification of outstanding ICAO Standards and inclusion of these in the annual Transport Rules Programme over the next three years, or otherwise confirm a difference.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Monitor the effects of recently completed Rules Review Implementation on future SARPS.	Ministry of Transport and CAA	Ongoing
Further streamlining of rules to implement SARPS.	Ministry of Transport and CAA	12 months
Identification of current outstanding ICAO Standard.	CAA and Ministry of Transport	12 months
Inclusion of these in the annual Transport Rules Programme, or otherwise confirmed difference filed.	CAA and Ministry of Transport	12 - 36 months

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APPENDIX 3-1-4 (CONT.)

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

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Conclusion of action with relation to current outstanding ICAO SARPS.	CAA and Ministry of Transport	24 - 60 months
Any new ICAO Standards to be promulgated by ICAO to be addressed systematically.	CAA and Ministry of Transport	Ongoing

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APPENDIX 3-2-1

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO CIVIL AVIATION ORGANIZATION**

AUDIT FINDING ORG/01		
<p>The current CAA staffing levels do not take into consideration activities beyond daily work being conducted, for example: time away from the office for training, development of guidance material and procedures, and vacation. In addition, some areas are not staffed adequately, given the assigned responsibilities and levels of activity.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The CAA accepts the finding with some reservations. CAA operational planning presently makes provision for staff training, leave and for activities such as the development of guidance material and industry liaison etc, as well as the performance of critical safety activities. The CAA accepts, however, that there are some areas of activity where staff levels are marginal and that situations do arise where training, leave, and other non-critical tasks have to be deferred in order to meet particular operational demands. Such demands may include the introduction of a new aircraft type, the certification of a new operator, or the investigation of a particular incident. The CAA has two initiatives underway (the certification project and the risk review) which are expected to improve existing staff utilisation. In addition, CAA proposes to conduct a Capability and Resource Review commencing in September 2006. The initial phase of that review will involve a review of resource needs. The CAA is confident that these measures will ensure that it can continue to perform its safety critical tasks and have the resources available to perform other important but non-critical tasks.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Surveillance Process Project.	DCA	31 December 2006
Risk Assessment and Intervention Project.	DCA	31 December 2006
Capability and Resource Review Project to review the resources required by the CAA to fulfil its obligations; and identify the most viable and equitable options for funding the required resource capability.	DCA	31 March 2007

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APPENDIX 3-3

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

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APPENDIX 3-4-1

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

AUDIT FINDING OPS/01		
<p>Although potential applicants for an air operator certificate (AOC) are required to present a number of documents as part of the certification process, the CARs do not include a requirement for air operators to establish and maintain a flight safety document system to include a system for providing aircraft operating information to the operations staff and flight crew including mandatory revisions; and a system for ensuring that air operators include certification limitations and operating limitations in the aircraft operating manual.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>This finding is accepted. A rule amendment will be initiated through a scoping paper that identifies the need for amendment to Part 119, specifically 119.81. The airline air operator exposition rule will require a new subparagraph that prescribes</p> <p>(a) how aircraft operating information, including mandatory revisions, are disseminated to operations staff and crew; and</p> <p>(b) the need for certification and operations limitations to be included in the aircraft operating manual.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review Annex requirements and raise a rules issue paper and/or recommend an ICAO difference(s) be raised.	ALFC	31 December 2006
Bid for 2007/2008 rule programme.	GSRR	30 June 2007
Implement procedures to ensure that operators establish and maintain a flight safety documentation system, including a system to provide aircraft operating information to the operations staff and flight crew mandatory revisions as well as ensuring that air operators include certification limitations and operating limitations in the aircraft operating manual.	ALFC	Following signing of rule.

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APPENDIX 3-4-2

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

AUDIT FINDING OPS/02		
<p>Although industry visits conducted indicated that air operators have implemented a flight safety and accident prevention programme, including a non-punitive flight data analysis programme containing adequate safeguards to protect the sources of the data, no regulatory requirement has been established in the CARs for such programme.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>This finding is accepted. Part 119.81 requires an exposition from a certificate holder. This rule will be reviewed in association with Annex 6, Part 1 (including Attachment H) to determine areas, such as time critical information, that need to be incorporated in the exposition.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review Annex requirements and raise a rules issue paper to required air operators to establish and maintain a flight safety and accident prevention programme in accordance with Annex 6.	ALFC	31 December 2006
Bid for 2007/2008 rules programme.	GSRR	30 June 2007
Implement procedures to ensure that air operators establish and maintain a flight safety and accident prevention programme in accordance with Annex 6.	ALFC	Following signing of rule.

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APPENDIX 3-4-3

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

AUDIT FINDING OPS/03		
New Zealand, as the State of the Operator, has not established rules specifying the limits applicable to flight time, flight duty periods and rest periods for cabin crew members.		
STATE'S COMMENTS AND OBSERVATIONS*		
This finding is accepted.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review Annex requirements and raise a rules issue paper to require the specification of the limits applicable to flight time, flight duty periods and rest periods for cabin crew members.	ALFC	31 December 2006
Bid for 2007/2008 rules programme.	GSRR	30 June 2007
Implement procedures for the certification and monitoring of the limits applicable to flight time, flight duty periods and rest periods for cabin crew members.	ALFC	Following signing of rule.

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APPENDIX 3-4-4

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

AUDIT FINDING OPS/04		
The CARs do not require air operators to establish aerodrome operating minima for each aerodrome to be used in operations.		
STATE'S COMMENTS AND OBSERVATIONS*		
This finding is accepted. The applicable Annex 6 requirements will be reviewed and the rules amended to require operators to establish aerodrome operating minima for each aerodrome to be used.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review Annex requirements and raise a rules issue paper to amend the NZCARs to include the requirements for air operators to establish aerodrome operating minima for each aerodrome to be used in operations.	ALFC	31 December 2006
Bid for rules programme 2007/2008.	GSRR	30 June 2007
Implement procedures for approving the method of determining aerodrome operating minima for each aerodrome to be used.	ALFC	Following signing of rule.

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APPENDIX 3-4-5

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

AUDIT FINDING OPS/05		
The CARs do not include a requirement for an air operator to develop procedures to convey information to emergency services and appropriate authorities in the event of an incident or accident involving aircraft carrying dangerous goods.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. Existing rule 92.173 requires the operator of an aircraft carrying dangerous goods to provide the pilot with information about those goods for use in emergency response to accidents and incidents involving the dangerous goods being carried. The rules could be amended to extend the operator's responsibility to provide appropriate information to appropriate authorities in the event of an accident or incident involving the aircraft.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Raise rules issues paper to amend Part 92 rules to extend aircraft operator's responsibilities to provide information to appropriate authorities in event of accident or incident involving aircraft carrying dangerous goods.	GMPLAS	31 December 2006
Bid for rules programme 2007/2008.	GSRR	30 January 2007

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APPENDIX 3-4-6

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

AUDIT FINDING OPS/06		
The CARs do not include a requirement for air operators to establish a policy and procedures to enable cabin crew to discretely communicate with flight crew in the event of suspicious activity or security breaches in the passenger cabin.		
STATE'S COMMENTS AND OBSERVATIONS*		
New Zealand accepts this finding to the extent that this requirement could be more specifically identified under 108.53(b) and 108.55(b) as part of the operator's security programme.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Raise a rules issues paper to clearly establish the ICAO reference for this requirement and amend Part 108 to specifically identify the requirement to be part of the operator security programme.	GMPLAS	December 2006
Bid for rules programme 2007/2008.	GSRR	January 2007

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APPENDIX 3-5-1

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/01		
The CARS do not contain requirements for all the operations-derived equipment which are not part of the type certification of the aircraft or helicopter to be installed in accordance with the requirements of Annex 6, Part I, Chapter 6 and Part III, Section II, Chapter 4.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA will review the Annex 6 provisions regarding operations derived equipment and propose rule amendments to establish requirements for that equipment which is not part of the type certification of the aeroplane or helicopter. Where there is a misalignment of implementation dates between the Annex provisions and the Civil Aviation Rules requirements, differences will be notified accordingly.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review Annex 6 requirements and determine differences between the the Annex and CARs.	ALAC	30 November 2006
Raise rules issue paper(s) and/or recommendation for ICAO difference(s) as required.	ALAC	31 December 2006
Bid for 2007/2008 rules programme.	GSRR	30 June 2007
Review and update as necessary the procedures for the ongoing monitoring of ICAO requirements and recommendations.	GSRR	Following signing of rule.

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APPENDIX 3-5-2

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/02		
New Zealand, as a State of Registry, has not developed procedures for the issuance of documents attesting to noise certification, and a requirement does not exist for such documents to be carried on board aircraft engaged in international operations in conformance with ICAO Annexes 6 and 16.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. New Zealand will review rules related to the carriage of documents in aircraft to ensure compliance with Annexes 6 and 16. Prior to the implementation of the rule New Zealand will develop procedures for the issuance of documents attesting to noise certification.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Raise a rules issue paper.	ALAC	31 December 2006
Bid for 2007/2008 rules programme.	GSRR	30 June 2007
Develop a procedure for the issue of a document attesting to noise certification.	ALAC	Following signing of rule.

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APPENDIX 3-5-3

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/03		
The CARs do not contain a requirement for operators of aeroplanes over 5 700 kg and helicopters over 3 180 kg maximum certificated take-off mass to obtain and assess continuing airworthiness information from the organization responsible for the type design.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA accepts this finding. The current rules only require operators to monitor airworthiness directives and to comply with the 'mandatory replacement times, inspection intervals, and related procedures specified in the airworthiness limitations section of a manufacturer's maintenance manual or instructions for continued airworthiness issued for the aircraft'.		
The CAA will propose amendments to Part 91 of the Civil Aviation Rules to require operators of aeroplanes over 5700kg and helicopters over 3180kg to obtain and assess airworthiness information from the organisation responsible for the type design. In addition, clarification will be provided in Part 1 and/or an associated advisory circular on what information constitutes 'airworthiness information'.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Raise a rules issue paper.	ALMC	31 December 2006
Bid for 2007/2008 rules programme.	GSRR	30 June 2007
Develop and implement procedures for assessing and monitoring the new rule requirement as part of the certification and surveillance projects.	ALMC	Following signing of rule.

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APPENDIX 3-5-4

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/04		
<p>The CARs do not contain a requirement for human factors principles to be observed in the design and application of operators maintenance programmes for aeroplanes and helicopters engaged in international air transport operations.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. The current rules require operators to have an approved maintenance programme that contains standards that are at least equivalent to those specified in Part 91 Subpart G of the Civil Aviation Rules and the manufacturer's maintenance programme. There is no specific requirement to consider human factors principles in the design and application of maintenance programmes.</p> <p>The CAA will amend Parts 119, 121, 125 and 135 as applicable to require operators to develop maintenance programmes that contain a requirement for human factors principles to be observed in the design and application of operators maintenance programmes for aeroplanes and helicopters engaged in international air transport operations. The current advisory circular on maintenance programmes will also be amended to include information related to the human factors principles as they relate to the design and application of maintenance programmes.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review ICAO Annex requirements and raise a rules issue paper.	ALMC	31 December 2006
Bid for 2007/2008 rules programme.	GSRR	30 June 2007
Implement procedures for assessing and monitoring new maintenance programmes with regards to the incorporation of human factors principles.	ALMC	Following signing of rule.
Implement a programme to review existing maintenance programmes for compliance with the amended rule.	ALMC	Following signing of rule.

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APPENDIX 3-5-5

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/05		
Although the CAA has developed a procedure for the aviation technical document collection contained in the library to be audited annually to ensure that the documents are maintained up-to-date, no evidence was found to indicate that such an audit had been conducted in the past twelve months.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. As noted in the audit finding, although the CAA has a system to maintain the aviation technical documents contained in the library up-to-date, namely, annual audit, the system has not been adequately implemented as an audit has not been carried out in the past twelve months.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implement the system.	MIS	By July 2007

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APPENDIX 3-5-6

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/06		
<p>The CARs, Part 21 requires that every aircraft type imported into New Zealand be issued a type acceptance certificate based on compliance with either the United States Federal Aviation Regulations (FARs) airworthiness design standards or a set of standards that comply with ICAO Annex 8 and have been accepted by the Director as equivalent to the FARs. The CAA has developed procedures for type acceptance based on a type certificate issued by an authority of a Contracting State of ICAO. However, the procedures do not include the criteria used to determine the level of review of the type certification data required depending on the assessed capability of and established confidence in the type certifying authority.</p>		
<p>STATE'S COMMENTS AND OBSERVATIONS*</p>		
<p>The finding is accepted. The CAA will revise the procedures for the issuance of a type acceptance certificate to include the level of type validation of the type certification data, depending on the assessed capability and the established confidence in the type certifying authority.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Review and amend procedures for the issuance of a type acceptance certificate to include the criteria used to determine the level of review of the type certification data depending on the assessed capability of and established confidence in the type certifying authority.</p>	<p>ALAC</p>	<p>31 July 2007</p>

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APPENDIX 3-5-7

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/07		
The reference to the CARs on the New Zealand certificate of airworthiness is not sufficient to adequately define the airworthiness code used for the type acceptance of each aircraft in compliance with ICAO Annex 8.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA will review Annex 8 and the New Zealand Airworthiness Certificate wording regarding the reference to the airworthiness code used to for the Type Acceptance or Type Certification. The CAA will then revise the New Zealand Airworthiness Certificate template.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review the requirements and define an adequate reference for the airworthiness code to be included on the Airworthiness Certificate.	ALAC	31 July 2007
Review the process for producing the Airworthiness Certificate and implement database system changes to include an adequate reference to the airworthiness code on the certificate.	MIMG	22 December 2007
Implement new format for Airworthiness Certificate.	ALAC	8 January 2008

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APPENDIX 3-5-8

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/08		
The procedures for the issuance of special flight permits are mainly administrative and do not include guidelines for the review and acceptance of the criteria necessary for safe flight and the operating limitations supplied by the applicant, as well as any additional limitations to be specified on the permit.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA will review and implement procedures for the issuance of special flight permits to include guidelines for the review and acceptance of the criteria necessary for safe flight and the operating limitations supplied by the applicant as well as any additional limitations to be specified on the permit.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review and implement procedures for the issuance of special flight permits to include guidelines for the review and acceptance of the criteria necessary for safe flight and the operating limitations supplied by the applicant as well as any additional limitations to be specified on the permit.	ALAC	31 July 2007

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APPENDIX 3-5-9

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/09		
<p>The CAA has established a database for recording, among other things, the deficiencies identified during safety audits. However, one safety audit report reviewed by the ICAO audit team contained findings that had not been assigned a due date or a level of severity and had not been recorded in the database to ensure a timely and appropriate follow-up. Inspection checklists are only used as guidance, and there is no requirement to retain them as part of the inspection records.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. The CAA believes that the present system is basically sound and that the event which gave rise to the finding was an isolated instance of human error. Nevertheless the CAA is presently revising its processes for conducting surveillance/safety audits. The project will involve the introduction of Tablet PC technology to enable the on-site entering of data into the CAA's surveillance database. In our view this will minimise the chances of such human error reoccurring. Under the new system there will be a record of every checklist.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implement system architecture.	MIS	25 September 2006
Conduct user test.	MIS	3 August 2006
Conduct user training.	MIS	15 August 2006
Implement Tablet PC functionality of all auditors.	MIS	10 January 2007

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APPENDIX 3-5-10

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/10		
The CAA has not developed a structured approach to determine the minimum recurrent and specialized training that should be provided to each airworthiness inspector and engineer.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA has a comprehensive training and development policy which establishes the initial, specialist and recurrent training for staff and has a structured approach to the training of airworthiness inspectors. The present training system is being further improved by the development of a human resources computerised record keeping system to assist in the maintenance and tracking of training records and the provision of management training reports on a monthly basis. A new Performance Review and Development System is being implemented that will improve the assessment of airworthiness inspector's ongoing training and development.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implement a human resources computerised record keeping system to assist in the maintenance and tracking of training records and the provision of management training reports on a monthly basis.	BDHR	31 December 2006
Implement a new Performance Review and Development System that will improve the assessment of airworthiness inspector's ongoing training and development.	BDHR	31 August 2006

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APPENDIX 3-6-1

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

AUDIT FINDING AIG/01		
<p>The <i>Transport Accident Investigation Commission Act 1990</i> (TAIC Act) requires the TAIC, New Zealand's independent investigation authority, to carry out aircraft accident and incident investigations where it believes that the circumstances of the accident or incident have, or are likely to have, significant implications for transport safety. All other investigations are undertaken by the CAA in its capacity as the responsible safety and security authority. As a result, full independence is not achieved for all investigations of aircraft accidents and serious incidents in New Zealand. In addition, for those investigations carried out by the CAA, no guarantee exists that they will be totally separate from administrative proceedings related to enforcement.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The recommendation is accepted with regard to investigations under Annex 13.</p> <p>New Zealand has notified ICAO of a Difference with regard to the Standards and Recommended Practices of Annex 13, paragraph 5.4 notifying that in New Zealand aircraft accident and incident investigation may be carried out by either or both the TAIC and the CAA and that it is the TAIC that is the independent accident investigation body.</p> <p>The Ministry of Transport will review the relevant legislation in order to clarify the independence of investigations carried out under Annex 13. If legislative amendments are recommended from this review these will require Ministerial and ultimately governmental approval. As the legislative process from start to completion can take considerable time, the Ministry of Transport will work with CAA and TAIC on the detail for development of possible interim measures that do not require legislative change.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review relevant transport sector legislation to clarify the independence to accident investigations	Ministry of Transport	18 months
Work on the development of possible interim measures that do not require legislative change.	Ministry of Transport, CAA and TAIC	6 months

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APPENDIX 3-6-2

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

AUDIT FINDING AIG/02		
The Ministry of Transport and the CAA have established a formal process for the amendment of the legislation and regulations related to aircraft accident and incident investigations, as well as for the identification and notification to ICAO of the differences regarding Annex 13. However, the TAIC has not established an internal process for proposing amendments to the TAIC Act and for contributing to the identification of differences regarding Annex 13.		
STATE'S COMMENTS AND OBSERVATIONS*		
TAIC accepts this recommendation.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
An amendment to the TAIC Policy and Procedures Manual addressing proposed amendments to legislation has been drafted and submitted for approval.	TAIC	1 September 2006
An amendment to the TAIC Policy and Procedures Manual that provides for a periodic check of Annex 13, and for the notification of differences via the CAA, has been drafted and submitted for approval.	TAIC	1 September 2006

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APPENDIX 3-6-3

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

AUDIT FINDING AIG/03		
<p>While the TAIC Act protects from the disclosure of cockpit voice recorder (CVR) recordings and other elements obtained during an investigation, in conformance with paragraph 5.12 of Annex 13, such protection of the information is not provided for by the New Zealand legislation in the case of investigations carried out by the CAA. According to the MOU signed between the TAIC and the CAA, the TAIC would be requested to investigate if CVR recordings were necessary, allowing therefore for the non-disclosure thereof. Medical information is also protected from disclosure in all cases. However, in the case of investigations undertaken by the CAA, all other records are not protected from disclosure.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>While New Zealand agrees with the premise of this recommendation, it will require Legislative change to implement. As stated in the response to AIG/01, New Zealand intends to review the relevant legislation in order to clarify the independence of investigations carried out under Annex 13. If legislative amendments are recommended from this review these will require Ministerial and ultimately governmental approval. As the legislative process from start to completion can take considerable time, the Ministry of Transport will start work with the sector on the development of possible interim measures that do not require legislative change.</p> <p>As stated in the findings the TAIC Act provides protection from disclosure and the Civil Aviation Act does not. However, the MOU between the two organisations does provide a remedy to this. The Ministry of Transport acknowledges that this is not ideal in terms of conforming to paragraph 5.12 of Annex 13. However, in addressing the ICAO findings AIG/01 this situation should be clarified.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review relevant transport sector legislation to clarify the independence to accident investigations.	Ministry of Transport	18 months
Work with the sector on the development of possible interim measures that do not require legislative change.	Ministry of Transport, CAA and TAIC	6 months

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APPENDIX 3-6-4

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

AUDIT FINDING AIG/04		
The TAIC Act gives the TAIC the right to carry out detailed examination of relevant material or evidence without delay. However, for those investigations undertaken by the CAA, no specific regulatory provision allows the CAA to carry out such examinations.		
STATE'S COMMENTS AND OBSERVATIONS*		
This recommendation is accepted. The Ministry of Transport will review the relevant legislation in order to clarify the independence of investigations carried out under Annex 13. If legislative amendments are recommended from this review these will require Ministerial and ultimately governmental approval. This matter will be included in the review of relevant Legislation and may or may not become redundant on the outcome of this review.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review relevant transport sector legislation to clarify the independence to accident investigations.	Ministry of Transport	18 months

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APPENDIX 3-6-5

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

AUDIT FINDING AIG/05		
Section 13 of the TAIC Act provides the circumstances when the TAIC would investigate an occurrence and allows the re-opening of an investigation if new and significant evidence becomes available. However, the TAIC has not established a documented procedure for the re-opening of an investigation.		
STATE'S COMMENTS AND OBSERVATIONS*		
TAIC accepts this recommendation.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
An amendment to the TAIC Policy and Procedures Manual has been drafted to note that an investigation is closed once the Commission has approved publication of the final report, or approved the closing of the investigation without producing a report. A new procedure for the Policy and Procedures Manual has been drafted to address the receipt of new and significant evidence, and the re-opening of a closed investigation.	TAIC	1 September 2006

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APPENDIX 3-6-6

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

AUDIT FINDING AIG/06		
Both the TAIC and the CAA make available to their respective staff contact information of aircraft accident investigation authorities of other States. However, the contact list made available by the CAA is not totally up to date.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA accepts this recommendation.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The CAA accepts this recommendation and has amended the contact list of aircraft accident investigation authorities of other States made available to its staff by referencing the ICAO web site link in the SIU procedures Manual.	SIU	Done

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APPENDIX 3-6-7

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

AUDIT FINDING AIG/07		
<p>New Zealand has established a system to receive and act upon notifications of aircraft accidents and incidents on a 24-hour basis. All notifications are received by the CAA and the CAA must, in turn, notify the TAIC of all accidents and serious incidents. However, the CAA and the TAIC have not established a formal coordination process to ensure that all notifications that the TAIC wishes to receive are effectively received in a timely manner.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>TAIC and CAA accept this recommendation. TAIC and the CAA have scheduled a meeting to review their Memorandum of Understanding that, inter alia, addresses occurrence notification.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>CAA - The CAA and the TAIC accept this recommendation and have established a formal coordination process to ensure that all notifications that the TAIC wishes to receive are effectively received in a timely manner. CAA and TAIC meet every quarter to discuss this and other matters of interest.</p>	SIU/TAIC	24 July 2006
<p>TAIC - TAIC will, if necessary as a result of the review of its MoU with the CAA, amend its Policy and Procedures Manual in respect of occurrence notification.</p>	TAIC	31 August 2006

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APPENDIX 3-6-8

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

AUDIT FINDING AIG/08		
The CAA has established and implemented procedures to ensure that it forwards notifications of accidents and serious incidents to entitled States and to ICAO, as applicable, in conformance with Chapter 4 of Annex 13, and in a timely manner. However, on one occasion, the notification of an accident to ICAO has been omitted.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA will ensure that it systematically forwards, in a timely manner, notifications of accidents and serious incidents to entitled States and to ICAO, as applicable, in conformance with Annex 13, Chapter 4. Generally all notifications of accidents and serious incidents to entitled States and to ICAO, as applicable, in conformance with Annex 13, Chapter 4 are made in a timely manner, on this one occasion this was not done.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review and amend the CAA quality assurance sampling procedure to detect this type of non conformance and implement corrective actions as necessary to ensure all notifications required under Annex 13 are made in a timely manner.	SIU	Completed

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APPENDIX 3-6-9

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

AUDIT FINDING AIG/09		
<p>The CAA has established procedures for acting upon aircraft accident and incident notifications forwarded by other States, including items related to the appointment of New Zealand's accredited representative. However, there is no documented procedure covering the coordination between the CAA and the TAIC for the appointment of this accredited representative and the information thereof to the State conducting the investigation. The Memorandum of Understanding (MOU) signed between the CAA and the TAIC does not address this issue. In addition, there are no documented procedures related to:</p> <ul style="list-style-type: none"> a) the appointment of advisers to New Zealand's accredited representative; b) the appointment of an expert when New Zealand wishes to participate in an investigation as a State having suffered fatalities or serious injuries to its citizens, in conformance with Annex 13, paragraph 5.27; and c) the specific case when the State conducting the investigation requests the appointment of an accredited representative by New Zealand under the provisions of Annex 13, paragraph 5.22. 		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>TAIC and CAA accept this recommendation. TAIC and the CAA have a scheduled meeting to review their Memorandum of Understanding, and matters related to New Zealand's participation in an investigation conducted by another State will be included in that meeting agenda. These matters include, but are not limited to, the appointment of an Accredited Representative, appointment of advisers to the Accredited Representative, appointment of experts, and provision of information to the State conducting the investigation.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>CAA - The CAA and the TAIC accept this recommendation and will establish formal coordination procedures for the appointment of New Zealand's accredited representative and advising the information thereof to the State conducting the investigation. The MOU between CAA and TAIC will be amended to detail how this coordination will take place.</p>	<p>SIU/TAIC</p>	<p>1 October 2006</p>

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APPENDIX 3-6-9 (CONT.)

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

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>CAA - The CAA will amend the documented procedures for:</p> <p>a) the appointment of advisers to New Zealand's accredited representative;</p> <p>b) the appointment of an expert when New Zealand wishes to participate in an investigation as a State having suffered fatalities or serious injuries to its citizens, in conformance with Annex 13 paragraph 5.27; and</p> <p>c) the specific case when the State conducting the investigation requests the appointment of an accredited representative by New Zealand under the provisions of Annex 13, paragraph 5.22.</p> <p><i>This will be included in the SIU Procedures Manual at Process 2.02.</i></p>	SIU	1 October 2006
<p>TAIC - An amendment to the TAIC Policy and Procedures Manual, covering New Zealand's participation in an investigation conducted by another State, will be drafted following the review of the MoU with the CAA.</p>	TAIC	31 August 2006

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APPENDIX 3-6-10

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

AUDIT FINDING AIG/10		
<p>In order to facilitate the prompt read-out of flight recorders, the TAIC and the CAA have arrangements with the Australian Transport Safety Bureau (ATSB). However, the TAIC and the CAA have not established documented procedures for the read-out and analysis of flight recorders without delay, covering in particular the participation of entitled States during the flight recorder read-out and analysis operations.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>TAIC and CAA accept this recommendation, and notes that there will be some overlap with the corrective action proposed for Finding AIG/11.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>CAA - CAA accepts this recommendation and documented procedures for the read-out and analysis of flight recorders, covering in particular the participation of entitled States during the flight recorder read-out and analysis operations, following the guidelines contained in Annex 13, Attachment D will be added to the SIU Procedures Manual at Process 1.02b and Process 2.02.</p>	<p>SIU</p>	<p>1 September 2006</p>
<p>TAIC - Amendments to the TAIC Policy and Procedures Manual and TAIC Major Accident Investigation Manual are being drafted to specify the procedures for flight recorder read-out and analysis, and the rights of participants in the investigation.</p>	<p>TAIC</p>	<p>1 September 2006</p>

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APPENDIX 3-6-11

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

AUDIT FINDING AIG/11		
The TAIC and the CAA have not clearly documented the specific rights and responsibilities of individuals who may participate in the investigations that they undertake, as accredited representatives, advisers, experts or representatives of the industry, in compliance with Annex 13, Chapter 5.		
STATE'S COMMENTS AND OBSERVATIONS*		
TAIC and CAA accept this recommendation, but will include a proviso that the degree of participation may be at the discretion of the IIC.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAA - CAA accepts this recommendation and documented policies and procedures detailing the rights and responsibilities of the individuals who may participate in the investigations that they undertake, as accredited representatives, advisers, experts or representatives of the industry, in compliance with the provisions contained in Annex 13, Chapter 5 will be added to the SIU Procedures Manual at Process 1.02b.	SIU	1 September 2006
TAIC - An amendment has been drafted to the TAIC Major Accident Investigation Manual to detail the rights and responsibilities of participants as per Annex 13.	TAIC	1 September 2006

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APPENDIX 3-6-12

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

AUDIT FINDING AIG/12		
The TAIC and the CAA have not established documented policies and procedures for carrying out examination or testing of aircraft parts or components.		
STATE'S COMMENTS AND OBSERVATIONS*		
TAIC and CAA accept this recommendation.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAA- CAA accepts this recommendation and documented policies and procedures for carrying out examination or testing of aircraft parts or components will be added to the SIU Procedures Manual at Process 1.02b.	SIU	1 September 2006
TAIC - An amendment to the TAIC Policy and Procedures Manual, that addresses the examination or testing of aircraft parts or components, has been drafted and submitted for approval.	TAIC	1 September 2006

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APPENDIX 3-6-13

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

AUDIT FINDING AIG/13		
<p>The Performance Agreement between the Ministry of Transport and the CAA establishes target dates for the completion of CAA's aircraft accident and incident investigations. These target dates are met in the vast majority of cases. However, three investigations were still opened while the target dates for their completion were overdue.</p>		
<p>STATE'S COMMENTS AND OBSERVATIONS*</p>		
<p>The CAA will ensure that all investigations that it carries out are completed, with a final report released, within the established timeframe.</p> <p>Generally all CAA investigations are completed, with a final report released, within the established timeframe, on these three occasions investigator workload meant that the self imposed target date was not met, an exception report has been included in the regular reports on target completion times.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Review the CAA quality assurance sampling procedure to detect this type of non conformance and implement corrective actions as necessary to ensure all CAA investigations are completed, with a final report released, within the established timeframe.</p>	<p>SIU</p>	<p>Completed</p>

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APPENDIX 3-6-14

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

AUDIT FINDING AIG/14		
The processes implemented by the TAIC and the CAA respectively provide a twenty-one-day and a twenty-eight-day period for submission of comments by States that have participated in an accident or incident investigation, while the deadline may be extended to sixty days on request.		
STATE'S COMMENTS AND OBSERVATIONS*		
TAIC and CAA accept this recommendation and will formalise a 60 day response period to the draft final report on an investigation in which another State has participated. TAIC is considering an increase to 28 days in the response period for domestic investigation.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAA - CAA accepts this recommendation and a documented procedure to automatically provide a sixty day period for submission of comments by States that have participated in an accident or incident investigation, in conformance with ICAO Annex 13 SARPs will be added to the SIU Procedures Manual at Process 1.02e.	SIU	1 September 2006
TAIC - A draft amendment to the TAIC Policy and Procedures Manual, to provide a 60 day response period to the draft final report on an investigation in which another State has participated, has been prepared and submitted for approval.	TAIC	1 September 2006

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APPENDIX 3-6-15

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

AUDIT FINDING AIG/15		
<p>The TAIC has not established a procedure for forwarding, through the relevant State conducting an accident or incident investigation a copy of the draft final report, for comments, to the operator and the organizations responsible for the type design and the final assembly of the aircraft. Furthermore, the TAIC has not established a procedure for forwarding the final report to the States that have suffered fatalities or serious injuries to their citizens or to any State that provided relevant information, significant facilities or experts, as well as for the release of the final report, when applicable, to ICAO. While such procedures exist in the CAA manuals, they have not been systematically followed.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>TAIC accepts this recommendation.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Draft amendments to the TAIC Policy and Procedures Manual, that address the distribution of draft final reports and final reports in accordance with Annex 13, have been prepared and submitted for approval.</p>	<p>TAIC</p>	<p>1 September 2006</p>

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APPENDIX 3-6-16

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

AUDIT FINDING AIG/16		
The TAIC has not established a procedure to ensure that safety recommendations involving ICAO documents are addressed to ICAO.		
STATE'S COMMENTS AND OBSERVATIONS*		
TAIC accepts this recommendation.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A draft amendment to the TAIC Policy and Procedures Manual, to ensure that safety recommendations involving ICAO documents are addressed to ICAO, has been prepared and submitted for approval.	TAIC	1 September 2006

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APPENDIX 3-6-17

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

AUDIT FINDING AIG/17		
The CAA has not established a documented procedure for informing States forwarding a safety recommendation to New Zealand of the preventive action taken or under consideration, or the reasons why no action will be taken.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA accepts this recommendation.		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAA accepts this recommendation and a documented procedure for informing States forwarding a safety recommendation to New Zealand of the preventative action taken or under consideration, or the reasons why no action will be taken will be incorporated in the SIU procedures manual at process 3.01.	SIU	1 September 2006

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APPENDIX 3-6-18

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

AUDIT FINDING AIG/18		
The database established by the CAA uses coding taxonomies that are not all directly compatible with the Accident/Incident Data Reporting (ADREP) system/European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS).		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA database which uses an advanced coding taxonomy is 90% compatible with ADREP/ECCAIRS, however, the Human Factors Taxonomy used in ECCAIRS is problematic in that it can lead to analysis problems due to the number of possible choices available. When the ICAO online web reporting system becomes available New Zealand will use it to report occurrence information using the data translation tools available in MEPHISTO which accompanies the ECCAIRS system.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
New Zealand does not intend to change its database, however, when the ICAO online web reporting system becomes available New Zealand will use it to report occurrence information which, by using the data translation tools available in MEPHISTO which accompanies the ECCAIRS system, will be fully compatible with the ADREP/ECCAIRS system.	SIU	30 June 2008

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APPENDIX 3-7-1

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/01		
<p>In the application of vertical separation in international portions of the Flight Information Region (FIR) (NZZC), New Zealand has adopted a flight level orientation scheme (FLOS) under which northbound traffic utilizes "odd" flight levels and southbound traffic utilizes "even" flight levels (North Odd South Even [NOSE]). However, the FLOS adopted for the Auckland Oceanic FIR (NZZO) utilizes the East Odd West Even (EOWE) configuration which is preferred under Annex 2 provisions. This necessitates flight level transition arrangements between the NOSE and EOWE orientation schemes, which have not been specified by New Zealand as required by Annex 2, Appendix 3, and the adoption of the NOSE orientation scheme has also not been specified in a regional air navigation agreement as required by Annex 2.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted and New Zealand will consider its corrective action options.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Identify corrective action options, and the advantages and disadvantages of each option	Aeronautical Services	July 2007
Determine corrective action after any necessary consultation.	Aeronautical Services	July 2007
Implement corrective action.	Aeronautical Services	July 2007

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APPENDIX 3-7-2

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/02		
<p>The CARs, Part 172 contains information that is not consistent with ICAO provisions, including but not limited to, expansion of rule applicability to include all areas of New Zealand FIRs, fatigue management requirements incorporating, where appropriate, material from ICAO human factors manuals and circulars, reduced runway separation criteria, minimum separations from aircraft dumping fuel and reduced vertical separation minimum (RVSM) monitoring requirements.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>New Zealand accepts this finding and will review the provisions of Annex 11 and Civil Aviation Rules Part 172 with a view to amending the latter to achieve greater compliance with Annex 11.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Identify areas in Part 172 that need review, and why a review is needed.	Aeronautical Services	July 2007
Initiate action to include a review of Part 172 in the Rules Programme.	Aeronautical Services	July 2007
Provide technical assistance for the review and amendment of Part 172.	Aeronautical Services	July 2007
Raise rules issues paper.	Aeronautical Services	December 2007
Bid for 2008/2009 rules programme.	GSRR	30 January 2008

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APPENDIX 3-7-3

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/03		
A sampling of several operational international agreements between the CAA and other parties has indicated that a number of systemic errors in document management exists; for example, some agreements are significantly out of date, reporting requirements to significant bodies including Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG) have not been met, and work teams described in documents no longer exist.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The Civil Aviation Authority has reviewed various Memoranda of Understanding, Letters of Agreement, arrangements and contracts between the CAA and other parties to establish continuing relevance, currency, responsibility and repository. Future reviews and updates to maintain currency will be supported by a robust document management system..		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Establish robust document management system.	Policy and International Relations	July 2007

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APPENDIX 3-7-4

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/04		
The CAA has not established a mechanism for the review and elimination of deficiencies identified within the framework of Planning and Implementation Regional Groups (PIRGs).		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA will produce a procedure for the review and elimination of deficiencies identified with the framework of the Planning and Implementation Regional Groups.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Produce procedure.	Policy and International Relations	July 2007

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APPENDIX 3-7-5

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/05		
<p>In order to facilitate Antarctic operations, a substantive portion of the southern part of Auckland Oceanic FIR is release to an alternate ATS (McMurdo) under the terms of a letter of agreement between ACNZ and McMurdo ATS. However, the CAA does not have a mechanism in place to ensure compliance by McMurdo ATS with Annex 11 and the CAA does not conduct effective regulatory oversight over McMurdo ATS.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. New Zealand will enter into a high level agreement with the Agency providing air traffic services in the McMurdo Sector to ensure that such services are provided in accordance with Annex 11 and to an equivalent standard as that provided by New Zealand Civil Aviation Rules.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Identify options for assigning responsibility for the provision of air traffic services in accordance with Annex 11, 2.1.	Aeronautical Services	July 2007
Consult with other affected States.	Policy and International Relations	July 2007
Initiate changes to legislation if required.	Policy and International Relations	July 2007
Enter into agreements with affected States to assign responsibilities for provision of air traffic services in full compliance with Annex 11.	Policy and International Relations	July 2007

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APPENDIX 3-7-6

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/06		
<p>The CAA has not developed a system to ensure that appropriate safety management programmes are implemented, including, but not limited to, the establishment of policies, regulations, oversight procedures and safety performance targets in relation to the provision of ATS. Furthermore, resources and guidelines to support the implementation of safety management programmes have also not been identified.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. New Zealand accepts that a safety management programme is not currently required by Civil Aviation Rules in relation to the provision of ATS although ATS providers are presently required to have an internal quality management system which addresses most of the aspects of a safety management system. In August 2005 CAA commenced a project to review all requirements related to the provision of Safety Management Systems. New Zealand contributed an information paper to the DGCA conference in Montreal, March 2006, outlining the steps we have taken and the issues being addressed. A decision on the approach to implementation of SMS requirements (in line with the proposed amendments to Annexes 6, 11 & 14 due to take effect in November 2006) for ATS providers is expected in the near future. The assessment of specific requirements for resources and guidelines in this area will be considered in depth as part of the SMS implementation process being considered.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review the safety management requirements in Annex 11, Doc 4444 (PANS/ATM), and other ICAO documents.	Aeronautical Services	July 2007
Identify changes required to existing practices, including oversight procedures, to meet ICAO requirements.	Aeronautical Services	July 2007
Provide required input to proposed Part 172 rule re-write, referred to in finding ANS/02.	Aeronautical Services	December 2007
Develop oversight procedures and any additional resource and guidance material.	Aeronautical Services	July 2008

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APPENDIX 3-7-7

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/07		
The CAA has not established and implemented a runway safety programme applicable to aerodromes in New Zealand, including those where the aerodrome control services are not provided by the ACNZ.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. Runway safety programmes integrate the safety management system requirements of Annex 11 (for air traffic services) and Annex 14 (for aerodrome operators). Polices are being developed regarding safety management systems that will require safety management, to some degree, across the whole of the aviation industry.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Include integration of SMCS required by finding AGA/05 with the actions being taken for this finding.	Aeronautical Services	July 2007
Review the runway safety programme requirements in Annexes 11 and 14, and other ICAO documents.	Aeronautical Services	July 2007
Identify changes required to existing practices, including oversight procedures, to meet ICAO requirements.	Aeronautical Services	July 2007
Develop guidance material for establishing and maintaining runway safety programmes, and for CAA oversight.	Aeronautical Services	July 2007
Publish guidance material in the Part 139 and/or 172 advisory circulars.	Aeronautical Services	July 2007
Implement oversight procedures.	Aeronautical Services	July 2007

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APPENDIX 3-7-8

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/08		
<p>The CAA has not established criteria as a basis for procedure design in the construction and promulgation of visual and instrument flight procedures in accordance with ICAO PANS-OPS provisions. In addition, the CAA has not established minimum qualification requirements, terms of reference and a training programme for procedure specialists or service providers who are responsible for the design of flight procedures.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. New rules to establish requirements for the certification of organisations or individuals who want to provide IFR procedure design and aerodrome operating minima determination services, and rules governing the publishing, bringing into effect, and entry into an official data base (the New Zealand Air Navigation Register) of instrument flight procedures and aerodrome operating minima for flight under instrument flight rules (IFR) are in the final stages of development.</p> <p>A Draft Final Rule is being prepared to be published for industry information and Ministry of Transport review.</p> <p>Proposed Civil Aviation Rule Part 173 will prescribe—</p> <ul style="list-style-type: none"> (1) the rules governing the certification and operation of organisations providing— <ul style="list-style-type: none"> (i) instrument flight procedure design services; and (ii) aerodrome operating minima, for flight under instrument flight rules (IFR). (2) the technical standards for the design and determination of— <ul style="list-style-type: none"> (i) instrument flight procedures; and (ii) aerodrome operating minima, <p>Proposed Civil Aviation Rule Part 95 will prescribe the requirements for—</p> <ul style="list-style-type: none"> (1) instrument flight procedures and aerodrome operating minima that are designed and certified by an organisation certificated under Part 173 to be entered into the New Zealand Air Navigation Register (NZANR); and (2) the publication of instrument flight procedures and aerodrome operating minima and the notification of the effective date. 		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Draft Final Rule review by Ministry of Transport.	Ministry of Transport	To be determined
Signing of Rule.	Minister	Last quarter 2006

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APPENDIX 3-7-9

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/09		
ACNZ is the sole Part 175 certificate holder for provision of AIS services in New Zealand. However, ACNZ simultaneously holds both a Part 175 delegation on behalf of the CAA and a commercial contract with the CAA for essentially the same purpose. This has created confusion on which body holds AIS responsibility. In particular, it is not possible to establish whether ACNZ has responsibility simply for publishing the AIP or for the accuracy and content of the AIP material as well.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. New Zealand will address any perceived confusion regarding the roles and responsibilities with respect to the provision of the Aeronautical Information Service and the production of the Aeronautical Information Publication.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Document the roles and responsibilities of all parties involved in the provision of the AIS and the AIP.	Aeronautical Services	July 2007

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APPENDIX 3-7-10

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/10		
New Zealand has not designated the authority responsible for ensuring that the international aeronautical telecommunication service is conducted in accordance with the procedures in ICAO Annex 10.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The delegation of the function and powers of the Minister of Transport to the Civil Aviation Authority or the Director of Civil Aviation is currently under review by the Ministry of Transport. The designation of an authority responsible for ensuring that international aeronautical telecommunications service is conducted in accordance with Annex 10 will be considered in that review.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Designate the Civil Aviation Authority as the International Aeronautical Telecommunications Authority.	Minister	30 June 2007

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APPENDIX 3-7-11

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/11		
The provisions for “basic weather reporting” in the CARs, Part 174 are not compliant with the provisions for local routine and special reports for take-off and landing in ICAO Annex 3.		
STATE’S COMMENTS AND OBSERVATIONS*		
<p>New Zealand accepts that the provisions for “basic weather reporting” included in Part 174 are not compliant with Annex 3. The definition of “basic weather report” and the rules in Part 174 relating to the provision of “basic weather reports” are not intended to meet any of the requirements set out in Annex 3 for meteorological reporting. A “basic weather report” is not a “meteorological report” and is not intended as a substitute for a meteorological report, which must meet the requirements of Annex 3 and must be provided under the authority of Meteorological Service Organisation Certificate. The provisions in Part 174 relating to basic weather reporting are intended to provide some structure including minimal standards for the basic weather information that operators have been providing to their pilots at unattended aerodromes for many years.</p> <p>As a consequential issue New Zealand will review the provision and use of “basic weather reports” by pilots performing an approach and landing on domestic air operations under Parts 121, 125 and 135 keeping in mind that many of the aerodromes used by Part 125, and more so Part 135, operators do not have a meteorological observation and reporting service.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review the provision and use of “basic weather reports” by pilots performing an approach and landing on domestic air operations under Parts 121, 125 and 135 keeping in mind that many of the aerodromes used by Part 125, and more so Part 135, operators do not have a meteorological observation and reporting service.	GM Airlines GM General Aviation GMPLAS	30 June 2008

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APPENDIX 3-7-12

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/12

The following deficiencies were identified in the search and rescue (SAR) system of New Zealand:

- a) the SAR service system does not include a legal framework, a responsible authority, organized available resources, communication facilities and a workforce skilled in coordination and operational functions;
- b) functions and responsibilities of SAR inspectorate are not adequately defined;
- c) job descriptions and minimum qualifications have not been developed for SAR inspectorate staff;
- d) training programmes, including periodic and on-the-job training (OJT), for SAR inspectorate staff and a mechanism for maintaining training records have not been established;
- e) the State does not coordinate its SAR organization with neighbouring States; and
- f) no arrangements have been made with all aircraft, vessels and local services and facilities which do not form part of the SAR organization to cooperate fully with SAR and to extend any possible assistance to the survivors of aircraft accidents.

STATE'S COMMENTS AND OBSERVATIONS*

The CAA is not responsible for SAR, the body formally nominated to be responsible for overall SAR oversight and governance in New Zealand is the New Zealand SAR Council. The SAR Council consists of the chief executives from the Ministry of Transport, Civil Aviation Authority Maritime New Zealand, NZ Police and the NZ Defence Force, with the Secretary of Transport as permanent Chair. The SAR Council is supported by a full time Secretariat and SAR Consultative Committee which provides technical support to the SAR Council. The SAR Council intends to further improve SAR oversight arrangements for the provision of aviation, maritime and land SAR through the upcoming review of New Zealand's SAR Strategic plan by the SAR Secretariat.

Maritime New Zealand is formally directed by the Minister to have responsibility for major SAR operational coordination in New Zealand, including the RCCNZ operations. The Minister monitors SAR performance through an annual Letter of Expectation and Statement of Intent. Ministry of Transport monitors the SAR service delivery performance measures of MNZ on behalf of the Minister through a Quarterly reporting process.

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APPENDIX 3-7-12 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

STATE'S COMMENTS AND OBSERVATIONS* (CONT.)

New Zealand acknowledges ICAO findings regarding international and domestic alignment, and the need for improved specification and oversight or performance/training/preparedness levels for aircraft, vessels and local services routinely utilized in SAR operations. The SAR Consultative Committee is actively working to improve the alignment of international and domestic SAR procedures and improve training and preparedness levels for SAR operations. The ICAO findings are timely and will be incorporated into the upcoming review of New Zealand's SAR Strategic plan by the SAR Secretariat.

Regarding New Zealand's agreements with neighbouring States, New Zealand has signed Agreements for the coordination of search and rescue with the following countries: Australia, France - New Caledonia, Samoa, Tonga and the United States Coastguard.

New Zealand is currently drafting Agreements for the coordination of search and rescue with the following countries: Chile, Cook Islands, Fiji (although there is currently a Memorandum of Understanding between Fiji and NZDF), Niue, Tahiti and Tokolau.

The Ministry of Transport thanks ICAO for its detailed findings. We are aware of the issues ICAO had identified. The ICAO audit is timely and the findings will be incorporated into and addressed by officials in the review of the SAR Strategic Plan scheduled for this year and in the review of the SAR Secretariat by the Ministry of Transport also scheduled for this year.

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review of New Zealand Search and Rescue Strategic Plan with specific emphasis on the ICAO findings and recommendations.	SAR Secretariat	2006/07
Review of New Zealand SAR Secretariat.	Ministry of Transport	Late 2006

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APPENDIX 3-7-13

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/13		
The functions and responsibilities of the meteorological services (MET) inspectorate staff are not adequately defined, and job descriptions and minimum qualifications and experience have not been established. In addition, New Zealand does not ensure that a training programme for the MET inspectorate staff has been established and implemented.		
STATE'S COMMENTS AND OBSERVATIONS*		
This finding is accepted and will be addressed in the context of the CAA Capability and Funding review to commence September 2006.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Define functions and responsibilities of MET inspectorate staff	GMPLAS	30 June 2007
Establish job descriptions and minimum qualifications and experience for MET inspectorate staff	GMPLAS	30 June 2007
Establish and implement a training programme for MET inspectorate staff.	GMPLAS	30 June 2007

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APPENDIX 3-8-1

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/01		
<p>The CAA has developed the post descriptions for its aerodrome technical staff in the Aeronautical Service Unit; however, the post description document does not adequately define the responsibilities for developing aerodrome standards and guidance material. The unit lacks the staff with technical expertise in rescue fire-fighting, civil and electrical engineering, and aerodrome design for the development of aerodrome standards and for supporting aerodrome inspectors with the certification and operation of aerodromes.</p>		
<p>STATE'S COMMENTS AND OBSERVATIONS*</p>		
<p>This finding is accepted. The Civil Aviation Authority Aeronautical Services Unit will revise its policies and procedures to include the Units role regarding the development of Aerodrome Standards and provisions for contracting in technical expertise when not available within the unit. Where necessary position descriptions will be amended accordingly.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review Aeronautical Services Policies and Procedures to ensure they state that the unit is responsible for development of Aerodrome Standards.	Aeronautical Services	July 2007
Document policy and procedures for contracting in technical expertise when this is not available within the unit.	Aeronautical Services	July 2007
Review Job Descriptions to ensure they reflect the policies and procedures.	Aeronautical Services	July 2007

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APPENDIX 3-8-2

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/02		
<p>The Aeronautical Services Unit has not developed or implemented a comprehensive training programme which includes initial, recurrent and specialized/technical training for its aerodrome aeronautical service officers.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>This finding is accepted. The CAA has a comprehensive training and development policy which establishes the initial, specialist and recurrent training for staff and has a structured approach to the training of aerodrome aeronautical services officers.</p> <p>The present training system is being further improved by the development of a human resources computerised record keeping system to assist in the maintenance and tracking of training records and the provision of management training reports on a monthly basis.</p> <p>A new Performance Review and Development System is being implemented that will improve the assessment of aerodrome aeronautical services officer's ongoing training and development.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implement a human resources computerised record keeping system to assist in the maintenance and tracking of training records and the provision of management training reports on a monthly basis.	BDHR	31 December 2006
Implement a new Performance Review and Development System that will improve the assessment of aerodrome aeronautical services officer's ongoing training and development.	BDHR	31 December 2006

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APPENDIX 3-8-3

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/03		
The CAA has not developed or provided information to aerodrome operators for establishing and reporting minimum friction levels for slippery runway conditions when wet and when aerodrome surfaces are covered with snow (where applicable). Also, the CAA does not ensure that aerodrome operators establish procedures for the timely removal of snow.		
STATE'S COMMENTS AND OBSERVATIONS*		
This finding is accepted. Civil Aviation Rules Part 139 (Aerodromes – Certification, Operation and Use) requires aerodrome operators to maintain the surface of paved runways to provide good friction characteristics, and the maintenance programme is to be included in operator's exposition. New Zealand will, however, incorporate requirements and/or information for establishing and reporting minimum friction levels for wet, slippery and, where applicable, snow covered runways, into Part 139 or it's associated advisory circulars; including snow removal as an item required in aerodrome maintenance programmes for aerodromes likely to be affected by snow.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Identify changes required to existing practices, including oversight procedures, to meet ICAO requirements.	Aeronautical Services	December 2006
Raise a rules issues paper identifying required changes to rule Part 139 and bid for inclusion in the 2007/8 rules programme.	Aeronautical Services	December 2006

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APPENDIX 3-8-4

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/04		
The CARs do not require the provision of a runway end safety area (RESA) at aerodromes in New Zealand, as required by ICAO Annex 14.		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. An amendment to Civil Aviation Rules Part 139 to require:</p> <ul style="list-style-type: none"> • runway end safety areas for runways that are used by aeroplanes conducting regular air transport services to or from New Zealand; • runway end safety areas for runways that are used by aeroplanes with more than 30 passenger seats and conducting regular air transport services if,— <ul style="list-style-type: none"> • the aerodrome becomes certificated in accordance with Part 139; or • the runway is a new runway at a certificated aerodrome; or • the runway is upgraded to an instrument runway; or • the runway is extended by more than a specified distance; <p>is awaiting signature by the Minister of Transport.</p> <p>Note: A 90 metre RESA at the southern end of the runway at Wellington International Airport is under construction. Construction of a 90 metre RESA at the northern end is expected to be commenced before the end of 2006. Projected completion dates, southern end - second quarter of 2007; northern end - fourth quarter of 2007.</p>		
CORRECTIVE ACTION (S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Rule pending.	Minister	End of 2006

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APPENDIX 3-8-5

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/05		
<p>The CAA does not ensure that aerodrome operators integrate their surface movement guidance and control system (SMGCS) into a runway incursion and collision avoidance strategy to prevent the inadvertent incursion of aircraft and vehicles onto an active runway or taxiway. In addition, the industry visit at Wellington International indicated that the CAA has not ensured that airfield signs are installed in accordance with the provisions of ICAO Annex 14.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. The requirement for aerodrome surface movement guidance and control systems will be considered in the broader context of aerodrome safety management systems (see Finding AGA/09). Both Rule Part 139 and Advisory Circular AC139-06 (Aerodrome design, aeroplanes above 5700 kg MCTOW) will be reviewed and revised as necessary to ensure that signage requirements are aligned with the Annex 14 provisions.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Include integration of SMCS with the actions being taken for Finding ANS/07 regarding the adequacy of runway safety programmes. Identify the issue for possible inclusion in the amendment to Rule Part 139 proposed as a corrective action to Findings AGA/03 and 09.</p>	<p>Aeronautical Services</p>	<p>July 2007</p>
<p>Complete amendment of AC139-06 to align signage requirements with Annex 14 SARPS.</p>	<p>Aeronautical Services</p>	<p>July 2007</p>
<p>Notify aerodrome operators of the AC amendment and require them to achieve compliance as soon as practicable.</p>	<p>Aeronautical Services</p>	<p>July 2007</p>

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APPENDIX 3-8-6

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/06		
The CARs do not require aerodrome operators to observe human factors principles during the development of the aerodrome emergency plan. In addition, there is no requirement for aerodrome operators to have a plan for the removal of disabled aircraft, including arrangements with designated coordinators for the rapid deployment of salvage and removal equipment.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA will review the Advisory Circular it is currently developing regarding Aerodrome Emergency Planning to ensure that consideration of human factors principles are included when developing aerodrome emergency plans and that the aerodrome emergency plans include provisions for the removal of disabled aircraft.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Review advisory circular on Aerodrome Emergency Planning (currently under development) to ensure it includes consideration of human factors principles during the development of emergency plans.	Aeronautical Services	July 2007
Review the advisory circular to ensure the coordination of removal of disabled aircraft from runways is considered.	Aeronautical Services	July 2007

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APPENDIX 3-8-7

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/07		
<p>The CARs do not require the prevention of the establishment of garbage disposal dumps or any other source attracting wildlife activity on, or in the vicinity of, an aerodrome unless an appropriate aeronautical study indicates that they are unlikely to create conditions conducive to a wildlife hazard problem. In addition, New Zealand does not forward bird strike reports to ICAO for inclusion in the ICAO Bird Strike Information System (IBIS) database.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The finding is accepted. New Zealand intends amending CAR Part 139 to put the onus on the aerodrome operator to monitor and review any resource consent applications related to land use within the vicinity of the aerodrome and respond accordingly within the provisions of the Resource Management Act.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Liaise with the ICAO Air Navigation Bureau to arrive at a mutually acceptable up-to-date format and medium for the submission of bird strike data to the ICAO Bird Strike Information System.</p>	<p>Manager Safety Analysis /Manager Policy and International Relations</p>	<p>June 2007</p>
<p>Propose an amendment to CAR Part 139 to put the onus on the aerodrome operator to monitor and review any resource consent applications related to land use within the vicinity of the aerodrome and respond accordingly within the provisions of the Resource Management Act.</p>	<p>GMPLAS</p>	<p>June 2008</p>
<p>Liaise with the Ministry for the Environment to further explore their suggestion that a Ministry for the Environment guidance note be prepared outlining best practice for matters relating to airports.</p>	<p>GMPLAS</p>	<p>June 2008</p>

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APPENDIX 3-8-8

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/08		
The CAA has not issued a formal policy stating the circumstances and rationale under which aeronautical studies and/or risk assessments may be used, and only very limited guidance has been made available to the regulatory staff and aerodrome operators on how to develop and evaluate aeronautical risk assessments.		
STATE'S COMMENTS AND OBSERVATIONS*		
The finding is accepted. The CAA will promulgate a policy defining the circumstances under which an aeronautical study and/or risk assessment may be used. The CAA will develop comprehensive guidance on the development and evaluation of aeronautical studies and risk assessments. Such policy will, taking account of the provisions of the ICAO Manual on the Certification of Aerodromes, in particular the guidance material regarding aeronautical studies (ICAO Doc 9774, Appendix 3, Aeronautical Studies), require an aeronautical study to be conducted to assess the impact of deviations from the Annex 14 Standards.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Promulgate a policy defining the circumstances under which an aeronautical study and/or risk assessment may be used.	Manager Policy and International Relations	June 2007
Develop comprehensive procedures and guidance on the development and evaluation of aeronautical studies and risk assessments.	Manager Aeronautical Services	June 2007

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APPENDIX 3-8-9

**CORRECTIVE ACTION PLAN PROPOSED BY NEW ZEALAND
RELATED TO AERODROMES**

AUDIT FINDING AGA/09		
<p>Although the CARs, Part 139 requires aerodrome operators to establish an internal quality assurance system that addresses some elements of safety management system (SMS), the implementation of an SMS is not yet required. Furthermore, the CAA has not developed guidance material for the development, implementation and evaluation of SMS.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>New Zealand accepts that a safety management programme is not currently required by Civil Aviation Rules in relation to the provision of aerodromes although aerodrome operators are presently required to have an internal quality management system which addresses some of the aspects of safety management systems. In August 2005 CAA commenced a project to review all requirements related to the provision of Safety Management Systems. New Zealand contributed an information paper to the DGCA Conference in Montreal, March 2006, outlining the steps we have taken and the issues being addressed. A decision on the approach to implementation of SMS requirements (in line with the proposed Amendments to Annexes 6, 11 and 14 due to take effect in November 2006) for aerodrome operators is expected in the near future. The assessment of specific requirements and for resources and guidelines in this area will be considered in depth as part of the SMS implementation process being considered.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Identify changes required to existing practices, including oversight procedures, to meet ICAO requirements.	Aeronautical Services	December 2006
Raise a rules issues paper identifying required changes to rule Part 139 and bid for inclusion in the 2007/8 rules programme.	Aeronautical Services	December 2006

— END —

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